ISO/IEC JTC 1
Information Technology


ISO/IEC JTC 1 N 5202

DATE:  1998.03.02

REPLACES: JTC 1 N 5170

DOC TYPE:
Request for comments

TITLE:
Draft 4th Edition of the ISO/IEC JTC 1 Directives

SOURCE:
Ad Hoc Meeting on Revision of the JTC 1 Procedures, February 1998 in
San Diego

PROJECT:

STATUS:
As per recommendation 1 of the Ad Hoc Meeting on Revision of the JTC 1
Procedures, February 1998 in San Diego, this document is circulated to
JTC 1 National Bodies and Subcommittees for review and comment with the
goal
of approving the document at the June 1998 JTC 1 Plenary in Sendai.

National Body and Subcommittee comments on this document should be
submitted to the JTC 1 Secretariat no later than 4 May 1998.  If
substantive comments are received, the Procedures Ad Hoc Group
recommends that these comments be the focus of a break out group during
the Sendai Plenary.

ACTION ID:  COM

DUE DATE:  1998.05.04

DISTRIBUTION:  P and L Members


MEDIUM:

DISKETTE NO.:

NO. OF PAGES:  107


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# FOREWORD

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

Information technology standardization 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 standardization, 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.

*Editor's Note: For this draft, the index has not been updated. For the final version, a complete index will be provided by the editor, similar to that provided in the Third Edition*

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*Editor's Note: The references in the list of abbreviations have not been updated for this draft.  Each reference will be checked and updated for the final copy.*

# LIST OF ABBREVIATIONS

| ABBREVIATION | TEXT | FIRST CLAUSE REFERENCE |
|---|---|---|
| AG | Advisory Group | 2.4.4 |
| AMD | Amendment | ~~5.6~~5.7.3 |
| ~~ATS~~ | ~~Abstract Test Suite~~ | |
| ~~CASCO~~ | ~~ISO Committee on Conformity Assessment~~ | ~~2.3.2.2.1~~ |
| CD | Committee Draft | 4.1.4 |
| COR | Technical Corrigendum | ~~5.6~~5.7.3 |
| CT | Collaborative Team | ~~2.6.4.1~~2.5.4.1 |
| 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 | 17.2 |
| IEC | International Electrotechnical Commission | Foreword |
| IS | International Standard | 1.1 |
| ISO | International Organization for Standardization | Foreword |
| ISP | International Standardized Profile | ~~2.5.2~~1.1 |
| ITTF | Information Technology Task Force | Foreword |
| ITU-T | International Telecommunication~~s~~ Union - Telecommunication~~s~~ 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 | ~~2.3.2.2.1~~2.5.3 |
| ~~MO~~ | ~~Maintenance Organization~~ | ~~D2.1~~ |
| NB | National Body | 2.2.3 |
| 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 |
| ~~PICS~~ | ~~Protocol Implementation Conformance Statement~~ | ~~D7.2~~ |
| ~~PTS~~ | ~~Profile Test Suite~~ | ~~D2.2~~ |
| RG | Rapporteur Group | 2.3.3 |
| RG-CAI | Rapporteur Group on Conformity Assessment and Interoperability | 2.3.3 |
| RG-RA | Rapporteur Group on Registration Authorities | 2.3.3 |
| SC | Subcommittee | 2.2.1 |

# 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), and International Standardized Profiles (ISP), 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 authorized 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:  Procedures for the technical work, Annex M, Maintenance agencies, and Annex Q, Justification of proposals for the establishment of standards;

- ISO/IEC Directives - Part 2:  Methodology for the development of International Standards;

- ISO/IEC Directives - Part 3:  Drafting and presentation of International Standards;

- Guide for ITU-T and ISO/IEC JTC 1 Cooperation (incorporated by reference in Annex K of this document);

- ISO/IEC Guide 26:  Justification of Proposals for the Establishment of Standards.

### 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, 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.]

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 standardization, 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 twenty-seven (27) month cycle to align with three Plenary meetings of JTC 1.  The JTC 1 Secretariat is responsible for the ongoing maintenance of these Directives.

# 2  Organization

## 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).

*Per JTC 1 Paris Resolution 8 and JTC 1 N 4473.*

**2.1.2**  The title of JTC 1 is "Information Technology" and its scope is "International Sstandardization 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 Committee of Action (TMB/CA) 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, organization, storage and retrieval of information.

## 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), the Special Group on Functional Standardization (SGFS) and special working groups (SWG), subject to the authority of JTC 1, acting under the general authority of the IEC and ISO Councils.  The work is planned and coordinated 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 organizations.

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

**2.2.4**  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.

**2.2.5**  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 Organizations

### 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;

*Editor's Note:  The following is added in view of JTC 1 N 4478*

- 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:

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- 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 ~~Telecommunications~~ Telecommunication Union - ~~Telecommunications~~ 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~~/SGFS~~ 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.

*Editor's Note:  The Procedures Group added the following to take account of the concept of Technical Directions and material in JTC 1 N 5016*

### 2.3.1.3  Technical Directions

JTC 1 Technical Directions identify a synergistic grouping of work and are of strategic market relevance. .  They are not organizational entities; they are a conceptual tool used to identify specific areas of importance for both standardizers and users.    JTC 1 defines Technical Directions and may create, redefine or eliminate them as external circumstances demand.  National Bodies and SCs may propose new Technical Directions or changes to the title or description of existing Technical Directions.   The work relevant to each Technical Direction is accomplished within one or more WGs or SCs.  When multiple JTC 1 subgroups are doing work that falls under  a common Technical Direction, dialogue is encouraged between them.

## 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.

*Per JTC 1 Ottawa Resolution 21*

### ~~2.3.2.1  SWG-Registration Authorities (SWG-RA)~~

~~**2.3.2.1.1**  SWG-RA  is established to carry out a review for each type of registration in order to avoid inconsistencies within JTC 1 and to assure the international integrity of the registration.  In addition, the SWG-RA shall consider the suitability of any organization(s) proposed for JTC 1 Registration Authorities (see 2.7.2).~~

~~**2.3.2.1.2**  In addition to being open to JTC 1 P-members, SWG-RA members shall  include a~~

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representative of the SC requesting the JTC 1 Registration Authority.

When reviewing a specific nomination of an organization for JTC 1 Registration Authority, the meeting of the SWG-RA shall also be attended by:

- a representative of the NB or category A liaison nominating the JTC 1 Registration Authority candidate

- a representative of the candidate JTC 1 Registration Authority

### 2.3.2.2 SWG-Conformity Assessment (SWG-CA)

**2.3.2.2.1** SWG-CA is established with the following terms of reference:

- To advise and make recommendations to the JTC 1 Plenary meeting concerning JTC 1's conformity assessment role;

- To advise and make recommendations to the JTC 1 Plenary meeting concerning the assignment of specific conformity assessment responsibilities to JTC 1 subsidiary bodies;
  [Note: When making its recommendations, it is expected that SWG-CA will make maximum use of JTC 1 technical subsidiary bodies to carry out the technical portion of JTC 1 conformity assessment work.]

- To provide a coordinating function, including the ability to initiate, by mutual agreement, the establishment, under a specific Subcommittee, of a Joint Working Group (JWG) with terms of reference proposed by SWG-CA, to undertake a specific conformity assessment activity of interest to multiple JTC 1 subsidiary bodies;

- To carry out its activity in cooperation with other groups, both internal and external to JTC 1, in particular ITU-T and the ISO Committee on Conformity Assessment (ISO/CASCO).

**2.3.2.2.2** Membership in SWG-CA shall be open to all P-members of JTC 1, and liaison with SWG-CA shall be open to Category A liaison organizations, Category B liaison organizations and specifically invited Category S liaison organizations.

### 2.3.3 JTC 1 Rapporteur For Strategic Planning

**2.3.3.1** JTC 1 shall appoint a JTC 1 Strategic Planning Rapporteur. As appropriate, and as part of the overall strategic planning function of JTC 1, there shall be a planning function within each SC of JTC 1 to maintain a plan for the future direction of its programme within its area of work.

**2.3.3.2** P-members of JTC 1 may appoint Strategic Planning Rapporteurs for JTC 1 activities. JTC 1 NB Strategic Planning Rapporteurs serve as focal points within their NBs.

**2.3.3.3** The JTC 1 Strategic Planning Rapporteur is responsible for:

- reviewing and updating the JTC 1 Strategic Plan in concert with NB and SC Strategic Planning Rapporteurs;

- collating and distributing information relevant to strategic planning issues to and from JTC 1 NB Strategic Planning Rapporteurs, and, where applicable, SC Strategic Planning Rapporteurs;

- corresponding with and calling meetings of JTC 1 NB Strategic Planning Rapporteurs, and other specialists as appropriate, in response to specific direction from JTC 1.

*Editor's Note: The following clause covers the topic of rapporteur groups. In general, each RG is not named in the Directives since this necessitates a change to the Directives each time JTC 1 creates or disbands an RG. However, the RG-RA and RG-CAI are named below since there are references to them in other Directives clauses. The details are based on the U.S. contribution in JTC 1 N 5146.*

### 2.3.3 JTC 1 Rapporteur Groups (RGs)

JTC 1 may, at its discretion, establish RGs with defined membership to carry out certain responsibilities. Among these shall be a Rapporteur Group on Registration Authorities (RG-RA) and a Rapporteur Group on Conformity Assessment and Interoperability (RG-CAI).

### 2.3.3.1  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 authorized by JTC 1 in the Terms of Reference of the Rapporteur Group, or in response to a specific request by the Rapporteur Group. Unless authorized, 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 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 authorize 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  Subcommittees (SC)

### 2.4.1  Establishment

**2.4.1.1**  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.

**2.4.1.2**  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.

**2.4.1.3**  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.

### 2.4.2  Title, Scope And Responsibilities

**2.4.2.1**  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).

**2.4.2.2**  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 standardization 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 "Standardization of ..." or "Standardization 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: ...."

*Editor's Note:  The following is added in view of JTC 1 N 4478*

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

### 2.4.3  Membership

**2.4.3.1**  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 ~~four~~ three categories of liaison membership at the SC level, A, B~~,~~ and C ~~and S~~ (see 3.3.4.2).  Internal organizations, (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 authorized by their NB or appropriate liaison organization.

**2.4.3.2**  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.

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

### 2.4.4  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.

### ~~2.5  Special Group on Functional Standardization (SGFS)~~

~~**2.5.1** JTC 1 has established a SGFS as part of its permanent structure.  SGFS shall operate under and report directly to JTC 1.  Its modes of operation are essentially those of an SC and in all matters SGFS will have the same relationship with JTC 1 as an SC.  The operating procedures for SGFS are contained in Annex D.~~

~~**2.5.2**  SGFS is charged with the processing of proposed functional standards (or profiles), submitted by organizations which develop them, for possible adoption by JTC 1 as ISPs~~

~~**2.5.3**  The membership of SGFS shall be open to all P- and O- members of JTC 1 who wish to have P- or O- membership in SGFS.  External organizations may establish A, B or S-liaisons (see  3.3.4.2) with SGFS.  SGFS may establish WGs and OWGs, and membership of such groups is open to nomination by P-members and liaison categories A and S of SGFS.  Internal organizations, (e.g., other SCs or other ISO/IEC TCs, see 3.3.3) may also participate in SGFS meetings.  All participants at each SGFS meeting must be authorized by their NB or appropriate liaison organization.~~

## ~~2.6~~ **2.5**  Working Group Organizations

### ~~2.6.1~~ **2.5.1**  Working Groups (WG)

**~~2.6.1.1~~ 2.5.1.1**  Where necessary to expedite development of one or more approved work items, a WG may be established  by JTC 1~~, SGFS~~ or by one of its SCs.  Additional projects may be assigned, where appropriate, to existing WGs.

**~~2.6.1.2~~ 2.5.1.2**  Only NBs that are P-members of the parent body and organizations in liaison Category A~~,~~ and Category C ~~and, in the case of specific projects related to functional standards, Category S,~~ may nominate experts as members of a WG.  Internal organizations, (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 authorized by their NB or appropriate liaison organization.

**~~2.6.1.3~~ 2.5.1.3**  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~~ 2.5.1.4**  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 2.5.2  Other Working Groups (OWG)

**2.6.2.1 2.5.2.1**  JTC 1, SGFS, 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 2.5.2.3).  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 2.5.2.2**  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 2.5.2.3**  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 2.5.2.4**  If continuation of the OWG is required, it shall be reestablished at each meeting of the establishing body.

**2.6.2.5 2.5.2.5**  The following are examples of OWGs:

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

**2.6.2.6 2.5.2.6**  JTC 1, SGFS or SCs may establish editing groups to ensure the best possible editorial presentation of drafts in conformity with ISO/IEC Directives, Part 3.  An editing group works under the responsibility of the Secretariat of JTC 1, SGFS or the SC that established it and provides direction to the Project Editor (see 5.6 5.7).

## 2.6.3 2.5.3  Joint Working Groups (JWG)

In special cases, JTC 1 may authorize 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 2.5.4  Collaborative Relationship With ITU-T

**2.6.4.1 2.5.4.1**  Two modes of collaboration with ITU-T are defined in "Guide for ITU-T and ISO/IEC JTC 1 Cooperation" (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 organization'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 organizations' 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 organization 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 2.5.4.2**  Procedures for the operation of the two modes of collaboration are defined in Annex K. These procedures deal primarily with the synchronization of approval actions by JTC 1 and ITU-T and are intended to supplement, not modify JTC 1 approval requirements.

**2.6.4.3 2.5.4.3**  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 2.6  Other Organizational Entities

### 2.7.1 2.6.1  Workshops

There is occasionally a topic for discussion which crosses multiple SCs and which cannot be handled by normal SC to SC liaison.  Workshops may provide useful vehicles for discussion of such topics, provided that their use is limited.  Since Workshops

are considered extraordinary events, their establishment shall require approval by JTC 1 subject to the following conditions.

- The need for the Workshop shall be endorsed by all concerned SCs.

- Relevant meeting calendars shall be consulted prior to determining dates for Workshops and adequate time shall be given to allow experts to make appropriate arrangements.

- The Workshop shall have an identified sponsor, Convener and Secretariat.

- The 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 a Workshop shall be approved by JTC 1.

- All recommendations from the 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 Workshops shall be open to experts from all NBs and liaison members of the concerned SCs and others that may be identified before the Workshop is approved.

## 2.7.2 2.6.2  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 (organizations which perform registration functions at the international level for JTC 1)

### 2.7.2.1 2.6.2.1  Appointment

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

- Only NBs, SCs and Category A liaisons may nominate organizations 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.

- The ~~SWG-RA~~ RG-RA shall consider those nominations receiving endorsement and provide a recommendation to JTC 1. In reviewing a specific proposal for an organization to serve as a JTC 1 Registration Authority, the following may participate in the RG-RA 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 organization.

- Upon favorable vote, JTC 1 shall submit the nomination to the ITTF for appointment by the ISO~~/~~ and IEC Councils.

### ~~2.7.2.2~~ 2.6.2.2  Qualifications

To qualify for designation as a JTC 1 Registration Authority an organization 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, ~~telex,~~ facsimile, email);

- if it operates with a fee structure, this structure shall be for the purpose of cost recovery, ~~and~~ agreed ~~with~~ by the ~~SWG-RA~~ RG-RA 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~~ 2.6.2.3  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~~ 2.6.2.4  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;

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- 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 2.6.3  JTC 1 Maintenance Agencies

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

## 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.  P-members of JTC 1 have an obligation to vote on FDISs prepared by JTC 1 or its SCs as well as those 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 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 ~~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.

**3.3.1.3** It is emphasized that in order to be effective, liaison shall operate in both directions, and committee Secretariats should ensure that reciprocal arrangements are made by those organizations that are liaison members ~~of JTC 1, its SCs, SWGs or SGFS~~.

**3.3.1.4** JTC 1 should seek the full (and, if possible, formal) backing of the main organizations 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 organization 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 organization and for preparing written liaison reports in a timely manner:

- from the parent body to the outside organization

- to the parent body following attendance at the meeting of the outside organization.

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

### 3.3.2.2  Formal liaison

Formal liaison is a formal exchange of documents between two organizations 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 is 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

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regional organizations and specialized organizations 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 organizations in consultation with the Secretariat of JTC 1 or SCs concerned.

**3.3.4.1.3** ~~Within JTC 1 there are four categories of liaison membership. There are two categories of liaison membership at the JTC 1 plenary group level.~~

### 3.3.4.2 Liaison Categories

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

*Category A*

Organizations 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 organization 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 organization 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*

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

*Category C*

Organizations 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 organization and the organization 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 organization 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.

~~*Category S*~~

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### 3.3.4.3  Liaison with ITU-T

Each SC shall approve a comprehensive listing of its representatives authorized 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 Resolution 1Recommendations 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 2.5.4 and Annex K, particularly Clause 4, Modes of Cooperation.)]

### 3.3.4.4  Liaison Coordinator

If an external liaison organization 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 coordinate 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/CA.

**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 cooperation 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/CA for decision after obtaining, if required, the opinion of an advisory body.  If necessary the TMB/CA 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 ~~a DIS~~ 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 ~~final~~explanatory report (see ~~12.7.4.1~~12.6.3.9**)**.

### 3.4.4  Basic or Coordinating Standards

**3.4.4.1**  In addition to the standards of TCs working in related fields, JTC 1 should comply with basic or coordinating 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 harmonization 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 ~~DISs~~ FCDs (units, equivalence of English and French versions, drawings, tables, etc.);

*Editor's Note:  Wording in N 4523 modified below since ITTF does not distribute FCDs (as stated in N 4523) but only notifies and makes FCDs available upon request.*

- ~~photocopying and distribution~~ notification of availability of ~~DISs~~ FCDs to NBs ~~for~~

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~~approval~~ and to organizations in liaison for information and comments;

- distribution of FDISs and DISs to NBs for approval and to organizations 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 ~~revised texts of~~FDISs and DISs for publication, and distribution of the final report (see ~~12.7.4.4~~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 organizations (invitations to meetings of JTC 1 and its SCs, ISO or IEC technical representation to meetings of such organizations, 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/CA appoint the Secretariat of JTC 1 from among ~~their~~ JTC 1 P-members.  The TMB/CA decide 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/CA 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 cooperation 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 organizations.

### 4.2.3  JTC 1 Special Working Group Administration

~~With the exception of the SWG-RA, t~~The allocation of a JTC 1 SWG Secretariat shall be in accordance with the provisions of 4.3.1 for SC Secretariats.  ~~The JTC 1 Secretariat shall serve as the Secretariat of the SWG-RA due to the need for the JTC 1 Secretariat to work very closely with this group~~.  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 cooperation 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 cooperation 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 organization 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 ~~fax~~facsimile, and telex numbers, and email 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 Conveners 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 organization (NB or liaison organization ) 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 Organizational Entity Administration

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

## 4.6  Responsibility For Keeping Records

**4.6.1**  The responsibility for keeping records concerning JTC 1 work and the background to the publication of ISs is divided between the JTC 1 Secretariat and the ITTF.  The maintenance of such records 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.

**4.6.2**  The Secretariats of JTC 1 and its SCs shall establish and maintain records of all official transactions concerning their committees, in particular reference copies of approved minutes of meetings and resolutions.  Copies of working documents, results of letter ballots, etc., shall be kept at least until such time as the publications to which they refer have been revised or have completed their next periodic review, but in any case for a minimum of five years after the publication of the related ISs or TRs.

**4.6.3**  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 ~~final~~ 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 five 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 Conveners

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.

*Note: The following is based on the U.S. contribution in JTC 1 N 5146*

## 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.

## ~~5.3~~5.4  SC Chairmen

## ~~5.3~~5.4.1  Appointment and Term of Office of a Subcommittee Chairman

**~~5.3~~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.

**~~5.3~~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.

## ~~5.3~~5.4.2  Responsibilities of a Subcommittee Chairman

**~~5.3~~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.

**~~5.3~~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 organizations.  See also 6.4.

**~~5.3~~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).

## ~~5.4~~5.5  WG Conveners

WG Conveners 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 Convener'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 Convenerships 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.

## 5.55.6  Non-Permanent Organizational Entity Officers

Conveners of non-permanent organizational 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 following procedures:

- 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 Convener'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 organizational entity being created and shall have participated in the establishing body discussions which led to the creation of the group if possible.

## 5.65.7  Project Editors

**5.65.7.1**  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.

*Per JTC 1 N 4523 (with editing)*

**5.65.7.2**  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.

**5.65.7.3**  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 14.5.4).  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 strategic business plan (see 2.3.3), 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 Guide 26 ISO/IEC Directives, Part 1, Annex Q).

**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.

> **6.1.4** ~~The agreed programme of work of JTC 1 shall be submitted to the ITTF for approval by the TMB/CA. The programme as approved shall be distributed by the JTC 1 Secretariat in accordance with the instructions in 8.3.~~

## 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, organizations with category A-liaison status to JTC 1 , the ITTF, TMB/CA, 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 organizations in liaison with ISO or IEC will be referred to JTC 1 for consideration. [Note: Organizations 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 3), obtainable from the ITTF, and shall be fully justified (see ~~ISO Guide 26~~ ISO/IEC Directives, Part 1, Annex Q) 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 Annex G). 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 standardization 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 standardization activities identified in the proposal and are encouraged to seek input from the national counterparts to these organizations when developing a position since direct input from

the international organizations 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 4), 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 (see Form 5). If the NP is submitted by an SC, the SC should first assure 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  Form 3 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 standardization activity, with particular emphasis on the aspects of standardization 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 stabilized?  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 organizations.

- Related work in other areas of standardization, including commitments for cooperation or collaboration with organizations external to JTC 1

- The benefits to be gained by the implementation of the proposed standards(s); alternatively, the loss or disadvantage(s) if no standards is are established within a reasonable time. Publicly available industry data Data such as product volume or value of trade should be included and quantified.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 standardization activity is or is likely to be the subject of regulations or to require the harmonization 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.

- **Cooperation and liaison**    Relevant organizations or bodies with which cooperation and liaison should exist, should be listed.

- **Preparatory work**    The proposer should indicate whether he or his organization 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 utilizes 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 standardized or in the process of being standardized.  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 standardizing 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 17.3), 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 recognized later in the course of the standard's development, an NP is required for the companion procedure standard (see 17.4).

**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 organizations, representatives of the other organizations 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 authorizing 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 organizations 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 organizations 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 Conveners).

**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 cooperation 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 prioritize 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 ~~DIS~~ FDIS processing;

- ~~finalization of DIS text for publication;~~

- publication.

**6.3.1.2** The target dates shall be recorded at the ITTF; they 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 organization.

**6.3.1.3** 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.

### 6.3.2  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/CA.

**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.

*The following was deleted by the Procedures Group as no longer applicable*
[Note:  A central ITTF on-line database is planned and JTC 1 intends to maintain readily accessible up-to-date records for access at any time via ITTF services.]

**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

management report business plan for inclusion in part 1 of the report to JTC 1 (see 6.4.2.2).

*Editor's Note: The following is to clarify how progress control criteria apply to subdivided projects. (see also 12.5.8)*

**6.4.1.5**  Except for work items having a specifically notified late start date, if a work item has not progressed to Stage 3 (see 12.6) by the third 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 of the results.  If the SC fails to act, then the project shall automatically be canceled by the JTC 1 Secretariat.

**6.4.1.6**  When the JTC 1 programme of work includes an item which has not progressed to Stage 4 (see 12.7) by the fourth anniversary of the issuance of the first CD, the SC shall consider, either by letter ballot or plenary vote, whether project should be retained (giving specific justification) and advise the JTC 1 Secretariat 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.

### 6.4.2  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.

*Editor's Note: In accordance with JTC 1 N 4478, the Business Plan replaces the Management Report.*
Part 1 shall be a management report and shall:

* evaluate the performance of each SC against its target dates;

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- ~~delineate the problem areas;~~

- ~~identify the actions being taken to address the problems;~~

- ~~provide information about the achievements of the last reporting period, in particular:~~

  - ~~work items published in the period,~~

  - ~~work items which progressed to the next stage (see 12.1) in the period;~~

- ~~identify interrelated projects within the programme of work;~~

- ~~evaluate the effectiveness of liaisons.~~

Part 1 shall be a Business Plan in accordance with the template in Annex G.

Part 2 shall be a statistical report and shall:

- contain an up-to-date list of the P- and O-members and liaisons with other international organizations;

- 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 ~~DIS~~ FDIS processing);

- provide the full name, address, telephone~~,~~ ~~fax and telex~~ and facsimile number~~s~~ and email address for the SC Chairman and Secretariat, WG Convener(s) and Secretariat(s) and all Project Editors.

# 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 Conveners 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 nine-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.

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.

**7.2.3**  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. ~~This is intended to eliminate the confusion caused by arrangements which are made verbally with heads of delegations or experts from the concerned NB~~.

**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 organizations when assessing the need for charging fees and in reporting fees to cover meeting arrangements.

- Lodging cost: covers the delegates 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 recognized 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 organization, 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 recognized 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 organization 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 organization and the total expenses incurred, (i.e., fees collected

should not result in a profit or reduced commitment for the hosting organization).  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 organization 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 organization'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 Canceling Meetings

*Editor's Note:  In view of the TMB discussions on decentralized functions, does JTC 1 wish to take over the function of distributing meeting notices from ITTF?*

**7.5.1**  Within the framework of the meeting plan, the ITTF issues a calling notice for a JTC 1 or SC plenary meeting on instruction from the Secretariat 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 Conveners 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, the ITTF shall be informed at the earliest possible moment in order to give adequate notice to all those concerned.

*Per JTC 1 N 5211 from the Ad Hoc on Implementing IT*
**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

*Editor's Note:  In view of the TMB discussions on decentralized functions, does JTC 1 wish to take over the function of distributing meeting notices from ITTF?*
**7.6.1**  For JTC 1 and SCs, the draft agenda is prepared by the committee Secretariat and shall be sent to the ITTF, whenever possible in both English and French, four months in advance of the meeting, and simultaneously to the members of the committee.  The ITTF shall distribute the formal notice for the meeting not less than three months in advance.   WG agendas shall be distributed by the Convener or Secretariat (not ITTF) 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 two months 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~~,~~ ~~telex,~~ and ~~fax~~facsimile numbers, and email 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 organizations in liaison may attend meetings. As a general policy, any group operating under the aegis of JTC 1 shall not limit the number of authorized NB representatives. Exceptions must be approved by consensus of the parent committee.

**7.7.2** Chairmen of SCs ~~and the SGFS~~ and Conveners 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 organizations 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 should be represented at meetings whenever possible (see 3.1.1). When circumstances prevent such representation, a P-member may arrange for another member attending the meeting to present its views. In the

course of the meeting, a P-member may inform another P-member of its views on the subject matter of the agenda, with such instruction as it may find necessary. The committee Secretariat shall be notified of any proxy arrangements in advance of the meeting. No P-member may represent more than one other P-member.

**7.7.8** Members unable to attend a meeting may submit written statements. Under the appropriate agenda item or items the Secretariat shall make reference to written statements submitted by members unable to attend . P-members unable to attend a meeting may express their vote by letter, facsimile, ~~telegram~~ email 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.

*The following changes take account of the Australian contribution in NTC 1 N 4823*

### 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

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- 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.

- Contributions which introduce new agenda items shall be submitted to the Secretariat in time for inclusion in, and distribution with, the revised agenda, i.e., two months 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. Other documents shall reach NBs not less than two months in advance of the meeting;

- Contributions addressing established agenda items may be submitted to the Secretariat for distribution or may be distributed directly to the members with a copy to the Secretariat, to arrive as soon as possible before the meeting.

- Any comments on CDs and working documents shall be submitted directly to the committee Secretariat sufficiently in advance of the meeting to permit the latter to duplicate and distribute them and for delegates to study them prior to the opening of the meeting. Comments not made available as described above may, however, be considered if JTC 1 or a subsidiary body so decides.

- When an NB submits a late contribution, it should present to the Secretariat prior to the meeting a sufficient number of copies appropriate for the size of the meeting.

- These should be numbered in accordance with the number issued by the Secretariat prior to distribution. When delegates do not bring sufficient copies of an NB contribution, they should have them copied, at their own expense.

- 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 authorize 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 authorize 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), 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 recognizes 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 alternate 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.

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- 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.

*Editor's note: The following changes are in view of the work of the Ad Hoc on Implementing IT that has been approved by JTC 1*

### 7.11.2 Use of Electronic Messaging

~~7.11.2.1~~ JTC 1, recognizing 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~~. However, JTC 1 recognizes that, because required technology may not be commonly available for widespread implementation within JTC 1, only trial operations are possible at this time.~~

~~7.11.2.2~~ ~~JTC 1~~ and encourages broader use of electronic messaging within its committees~~., especially as availability of the technology and exposure to electronic messaging increases.~~

~~7.11.2.3 In those instances where electronic messaging is a viable means of conducting business, the following criteria shall apply:~~

- ~~Consensus of the interested participants (including interested participants not present when the use of electronic messaging was proposed) shall be required when determining the document interchange standards or specifications to be used.~~

- ~~The Convener or Secretariat, as appropriate, shall give special attention to, and be responsible for, ensuring that electronic messages that are formal contributions, significant project documents, etc. are properly identified (i.e., assigned unique document number), distributed to the membership, and archived.~~

- ~~The Convener or Secretariat, as appropriate, shall be responsible for ensuring that participants without electronic message system access receive information on a timely basis, e.g., through the use of facsimile distribution, express mail, etc.~~

- ~~The Convener or Secretariat, as appropriate, shall ensure that proper documentation of consensus approval is maintained.~~

- ~~Any documents submitted for balloting, as well as meeting notices and agendas, document registers, voting summaries and disposition of comments reports, shall also be distributed in printed form in accordance with the requirements of these Directives.~~

*Editor's Note: The following assumes that full implementation of the JTC 1 web policy will be in effect when these Directives are adopted*

### 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 12-16. 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 15.3.

- 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 15.2).

### 8.1.3  International Standardized Profiles

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

*Editor's Note: NP and WD have been added here since ISP processing is to be identical with IS processing.*
- New Work Item Proposal (NP)
- Working Draft (WD)
- Proposed Draft International Standardized Profile (PDISP/FPDISP)
- Draft International Standardized Profile (DISP/FDISP)
- International Standardized Profile (ISP)

### 8.1.4  Amendments

The following terms, when applicable, shall be used for successive documents drawn up on a single subject.  See  14.5.

- 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 14.4.5.
- Draft Technical Corrigendum (DCOR), see 14.4.9.4.
- Technical Corrigendum (COR), see 14.4.2.

### 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 relating to the work of JTC 1, its SCs or its WGs which is distributed, shall bear at the top right-hand corner of the first page a reference number 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.

**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 calling notices for meetings of JTC 1 and for preparation of final texts for publication.  Some duties may be delegated. (See also 7.5.1, 7.6.1 and 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 organizations 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 ~~reproducible~~ 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 ~~sent~~ posted to the JTC 1 web site in an acceptable document format as specified in Annex H by the JTC 1 Secretariat, ~~by airmail,~~ 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 ~~distribution of documents~~ 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 ~~reproducible~~ 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 ~~sent~~ posted to the SC web site in an acceptable document format as specified by Annex H by the SC Secretariat, ~~by airmail,~~ 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 ~~distribution of documents~~ 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 SGFS (including drafts, working documents, reports of meetings, minutes, resolutions, etc.) shall be sent by the SG Secretariat, by airmail, to:~~

- ~~members of the SGFS;~~

- ~~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 and Category S liaisons, where applicable;~~

- ~~JTC 1 Secretariat;~~

- ~~ITTF.~~

~~A more selective distribution of documents 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.~~

~~8.3.7~~ **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~~, and Category S liaisons where applicable,~~ which nominated individual members, on request.

Alternatively, the WG may distribute documents via email, FTP site or posting to the World Wide Web with email 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 ~~telegram, telefax,~~email, facsimile or letter~~,~~ or by proxy granted to another P-member (see 7.7.7 and 7.7.8). 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. Proxy voting is valid only if the committee Secretariat has been informed in writing in advance of the voting by the P-member granting the proxy. A P-member may not cast a proxy vote on behalf of more than one other P-member (see also 7.7.7 and 7.7.8).

**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,~~returned by mail~~ e-mail, ~~telegram, or telefax~~ 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.

*Editor's note:  The following change is based on JTC 1 Paris Plenary resolution 24.  Also, in view of the current web based document distribution, the Procedures Group has eliminated the additional fourteen days from all ballot periods throughout this document.*

**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 No letter ballot period shall close in less than three months from the fourteenth day after mailing the date of notification of issue.

**9.1.8**  If a P-member of JTC 1 fails to vote on a DIS/FDIS prepared by JTC 1, 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.

## 9.2  Conciliation Panels

JTC 1 may be given the help of a conciliation panel to resolve differences particularly when polarized 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

*Editor's Note: The following modification is to clarify that this requirement applies to JTC 1 and not necessarily to SCs*

**9.3.1**  Each NP shall be voted on by JTC 1 letter ballot (see Form 4), even if it has appeared on the agenda of a meeting.  The normal ballot period for an NP shall be three months and fourteen days from the date of distribution notification of issue (see 6.2.1.3).

**9.3.2**  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 (see Form 5).

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

*Editor's note:  Additions below made for consistency with 12.6.3.2, and to add PDISPs.*

**9.4.1**  If the consideration of a CD/PDAM/PDISP/PDTR is dealt with by correspondence, P-members and TCs and organizations in liaison are asked to submit their comments (and P-members their votes, see 9.1.5) by a specified date (see Form 9).  In the case of CDs/PDAMs/PDISPs /PDTRs, this date should be no less than three months and fourteen days from the date of distribution 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 CDs/PDAMs/PDTRs ballot period up to six months and fourteen days 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 and DISs 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. Care shall be taken, however, in cases where the combined voting procedure may be the first

*Per JTC 1 N 4523 but with DAM changed to FDAM for consistency (per suggestion from Japan)*

## 9.6 ~~Votes on DISs/DAMs~~ **FDIS/DIS/FDAM/FDISP Approval Criteria**

~~9.6.3~~ For a FDIS/DIS/FDAM/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~~, with or without comments~~;

- 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.

~~If these criteria are not met initially, but are subsequently met at the conclusion of ballot resolution in accordance with 12.7.2.5, the DIS/DAM is approved.~~

[Note: If more than 50% of the P-members have not voted, the FDIS/DIS/FDAM/FDISP will have failed. Late votes shall not be counted. No extensions shall be granted].

*Per JTC 1 N 4523, but with DAM changed to FDAM for consistency (as suggested by Japan).*

## 9.6 9.7 **Votes on** ~~DISs/DAMs~~ **FDIS/FDAMs/FDISPs**

~~9.6.1~~ The normal ballot period for a ~~DIS/DAM~~ FDIS/FDAM/FDISP shall be ~~four~~two months. ~~JTC 1 (or the responsible SC via the JTC 1 Secretariat) may request to extend the DIS/DAM ballot period up to two months (i.e., for a total of six months) in instances where the complexity of the text requires additional time for review. A fast-track DIS ballot period shall be six months. Following the failure of a DIS/DAM ballot, the ballot period for subsequent ballots is normally reduced to three months (see 9.6.4).~~

~~9.6.2~~ NBs may reply in one of the following ways:

- approval of the technical content of the ~~DIS/DAM~~ FDIS/FDAM/FDISP as presented ~~(editorial or other comments may be appended)~~;

- disapproval of the ~~DIS/DAM~~ FDIS/FDAM/FDISP~~for technical reasons to be stated, with proposals for changes that would make the DIS/DAM 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.]~~
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.

*Per JTC 1 N 4523*

## 9.6 9.8 **Votes on Fast-track DISs**~~/DAMs~~

~~9.6.1 The normal ballot period for a DIS/DAM shall be four months. JTC 1 (or the responsible SC via the JTC 1 Secretariat) may request to extend the DIS/DAM ballot period up to two months (i.e., for a total of six months) in instances where the complexity of the text requires additional time for review.~~ A fast-track DIS ballot period shall be six months.~~ Following the failure of a DIS/DAM ballot, the ballot period for subsequent ballots is normally reduced to three months (see 9.6.4).~~

~~9.6.2~~ NBs may reply in one of the following ways:

- approval of the technical content of the DIS~~/DAM~~ as presented (editorial or other comments may be appended);

- disapproval of the DIS~~/DAM~~ for technical reasons to be stated, with proposals for changes that would make the DIS~~/DAM~~ 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.]

~~9.6.3  For a DIS/DAM 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, with or without comments;~~

- ~~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.~~

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 ~~12.7.2.5~~ 13.9, the DIS~~/DAM~~ is approved.

~~[Note:  If more than 50% of the P-members have not voted, the DIS/DAM will have failed.  Late votes shall not be counted.  No extensions shall be granted].~~

~~9.6.4  If following the review of comments accompanying votes on a DIS/DAM (see 12.7.2.4) the criteria in 9.6.3 are not met or the criteria in 12.7.3.1 apply, or both, the DIS/DAM cannot go forward and the matter is referred back to the SC Secretariat.  A new draft may be prepared for submission to the NBs; the procedure to be followed is as in 12.7 et seq. with the exception that the time limit for NB voting is reduced to three months but may be extended to six months at the request of one or more of the P-members.~~

*Per JTC 1 N 4523*
## 9.9  Discussion during ballot period

~~9.6.5~~ When a document is out for ~~DIS/DAM~~ ballot at stage 3 or higher, NB/Liaison organizations 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 ~~DIS/DAM~~ ballot.  Documents out for ~~DIS/DAM~~ 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 ~~DIS/DAM~~ 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 ~~DIS/DAM~~ ballot resolution meeting unless they were formally submitted to ITTF as comments accompanying the ~~DIS/DAM~~ ballot.

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

## ~~9.7  Votes on DISPs~~

*JTC 1 Ottawa Resolution 24 and JTC 1 N 5012.  N 5012 specifies that the procedures for ISP approval are the same as for IS approval.  Note that N 4523 had previously said that procedures for DISP ballot are the same as those for fast-track DIS, with certain exceptions.  The editor interprets Ottawa Res 24 as superceding N 4523 and changing the ISP processing to be identical to IS processing (for ISPs developed within JTC 1).  This clause has therefore been eliminated and the ISP stages have been incorporated into the clauses for CDs and DISs (9.4, 9.6, 9.7).  The Procedures Group agreed with this interpretation.*

~~The procedures for DISP ballot are the same as those described for DIS processing (see 9.6) with the following exceptions:~~

- ~~The ballot period for the first and any necessary subsequent DISP ballots shall be four months with no extensions;~~

- ~~The practice following ballot termination shall include specific provisions for ballot resolution meetings to be held, and to be attended, amongst others, by the submitting organization.  These provisions are described in Annex D and apply especially when the circumstances of 9.6.4 or 12.7.3.1 of these directives apply.~~

## ~~9.8~~ 9.10  Votes on DTRs

~~9.8.1~~ 9.10.1  The decision to publish a TR (type 1, 2, or 3) is taken by JTC 1 ballot on a DTR.  P-members and TCs and organizations 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 and fourteen days~~ from the date of ~~distribution~~ notification of issue.  JTC 1 may extend the DTR ballot period ~~up to six months and fourteen days~~ 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.

~~9.8.2~~ 9.10.2  Abstention by an NB on a DTR ballot does not bar the NB from voting on subsequent versions of the document.

~~9.8.3~~ 9.10.3  Publication is accepted if approved by a majority of P-members of JTC 1.

## ~~9.9~~ 9.11  Votes on DCORs

~~9.9.1~~ 9.11.1  Consideration of a DCOR is dealt with by correspondence, SC P-members and TCs and organizations in liaison are asked to submit their comments (and SC P-members their votes, see 9.1.5) by a specified date~~.  Simultaneously, P-members of JTC 1 that are not P-members of the SC are asked to submit their comments to the SC Secretariat by the same specified date.  In the case of DCORs, this date~~ that should be no less than three months ~~and fourteen days~~ from the date of distribution.

~~9.9.2~~ 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 ~~DIS~~ 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 2:  Methodology for the development of International Standards, Annex A)

## 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 standardized 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 (see 2.4.2.1). 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 characterized 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 organizations. Meanwhile SCs should develop and provide educational material for the FDTs to support their widespread introduction in the NBs and liaison organizations.

### 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 application 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 standardized.

See Annex J for Guidelines on API Standardization.

## 10.6  Standard International (SI) Units

If the IS under review does not comply with ISO/IEC Directives, Part 2 - Methodology for the development 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/CA.

# 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/CA on a decision of JTC 1;

- to the Councils on a decision of the TMB/CA.

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. *Per JTC 1 N 4523*

**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 revised final text to the ITTF (see 12.7.4.1 12.7.2.3 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/CA within one month after receipt of the appeal.

**11.3.4** The TMB/CA shall decide whether an appeal shall be further processed or not. If the decision is in favour of proceeding, the Chairmen of the TMB/CA 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/CA, which will make their decision.

## 11.4 Appeal Against a Decision of the TMB/CAs

An appeal against a decision of the TMB/CA 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 13) 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.

## 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 should try to shall avoid discussion of a document successively at more than two of the three levels -- WG/SC/JTC. Discussion at two levels is appropriate and should be adequate in most cases. These two levels are, in principle, the expert level where technical proposals are discussed and drafts prepared (i.e., WG or SC) and the committee level (i.e., SC or JTC 1) 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. However, cCare shall be taken to ensure that all parties and P-members have been involved at those levels, and their views properly considered.

The DIS Except for fast-track processing, the CD stage is the last at which submission of comments is permissible (including editorial comments and those

of ITTF editors). ~~However,~~ 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 ~~and DISs~~ 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~~ 2.5.1.3) 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~~ 2.5.1.3) at different levels.  NBs shall fulfill their obligation as P-members to vote (see 3.1.1).

*Editor's note:  This wording is taken from JTC 1 N 3659 but has been modified since N 3659 was adopted prior to adoption of the FCD ballot and this process does not apply to FCD ballots; also, the wording accommodates the Australian contribution in N 5188:*

**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.  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 JTC 1 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 standardization (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 ~~section~~ 6.2.

## 12.5  Stage 2, WD under Consideration

**12.5.1**  Upon approval of the NP by JTC 1, the project will be assigned to an 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.

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- 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 5.65.7).  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 3 - Drafting and presentation of International Standards).

*Editor's note: The following is in response to the SWG-GII recommendation in JTC 1 N 4642 modified by the resolution of the ballot comments in N 5011.*

**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.

**12.5.6 12.5.7**  The WD remains in Stage 2 until:

- the main elements have been included in the document;

- it is presented in a form which is essentially that envisaged for the future IS;

- it has been dealt with at least once by JTC 1 or by a working body of JTC 1;

- 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 authorize 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 authorize its Secretariat to issue a combined ballot for CD registration and consideration of the CD/FCD.

**12.5.7 12.5.8** If a work item has not progressed to Stage 3 by the third 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.

*Per JCT 1 N 4523 with the following modifications:*
 *- FCD terminology used in certain places for clarification;*
 *- In view of JTC 1 N 5148, references to "PDTR" in the second paragraph below were deleted.*

**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 finalization 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.]

**12.6.1.2 12.6.1.3** Successive CDs on the same subject shall be marked "second committee draft," "third committee draft," etc., (see Form 8) and the original CD number shall be supplemented by .2, .3, etc. (e.g., CD 1234.2).

**12.6.1.3 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. For an FCD, the Secretariat also forwards the FCD to ITTF for notification of availability to other NBs and organizations 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 organizations.

**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** Organizations 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 shall be made during the FCD ballot (see 12.2.3).

## 12.6.3 Finalization 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 organizations in liaison are asked to submit their comments (and P-members their votes, see 9.1.5) by a specified date (see Form 9). In the case of CDs, this date should be no less than three months and fourteen days from the date of distribution notification of issue. For an FCD, the ballot period shall be no less than four months. The

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SC may extend the ~~CD~~ ballot period ~~up to six months and fourteen days~~ 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 summarized 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 ~~but agreement on it is not reached on that occasion~~, 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~~ 2.5.2), 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 ~~a CD~~ an FCD shall ~~may~~ be obtained ~~at a meeting or~~ by correspondence; this may be either on the ~~CD~~ 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 ~~CD~~ FCD.  The revised ~~CD~~ 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 ~~DIS~~ FDIS text for direct submission to ITTF via the SC Secretariat.

**12.6.3.9**  ~~A CD~~ An FCD shall be advanced to ~~DIS~~ FDIS only if the text has been stabilized, 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 ~~DIS~~ FDIS registration :

- the final ~~camera-ready~~ electronic text, including figures and graphics, of the ~~CD~~ FCD for distribution as ~~a DIS~~ an FDIS, in accordance with the ITSIG guide;

- ~~originals or clear prints of any figures or graphs (see 4.3 of ISO/IEC Directives, Part 3);~~

- an explanatory report (see Form 10, obtainable from the ITTF).

The explanatory report shall contain:

- a brief history of the draft;

- ~~a report on how substantial support of the P-members of the SC (see 12.6.3.5 to 12.6.3.7) was obtained, or in cases where a formal vote of the P-members of the appropriate SC has taken place,~~ a record of the voting on the ~~CD~~ 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 therefor.

**12.6.3.10**  If a work item has not progressed to Stage 4 by the fourth anniversary of the first CD, the SC is required to take action as specified in 6.4.1.6.

*Per JTC 1 N 4523*

**12.7  Stage 4, ~~DIS~~ FDIS under Consideration**

**12.7.1  Registration and Distribution of ~~DIS~~ FDIS**

**12.7.1.1**  The ITTF shall register the ~~CD~~ FCD as a~~n~~ ~~DIS~~ FDIS.

**12.7.1.2**  The ITTF shall distribute the ~~DIS~~ FDIS (see Form 11) together with the explanatory report to all NBs for a ~~four~~ two-month letter ballot (see Form 12).  The ITTF shall at the same time send it to all other TCs and organizations 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 ~~DIS~~ 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.  ~~Any editorial comments from the ITTF on the DIS shall be made during the voting period (see 12.2.3) or at earlier stages.~~

**12.7.2  Processing of ~~DIS~~ FDIS ballots**

**12.7.2.1**  ~~Where the JTC 1 Secretariat has not already carried out a final letter ballot of all P-members, the~~The ITTF shall implement the combined voting procedure (see 9.5).

~~If the final letter ballot on the CD registered as a DIS has already been carried out among the P-members of JTC 1 (since there was no SC involved) and has resulted in the necessary approval, the ITTF only takes account of the second criteria in 9.6.3 when determining if the DIS has been approved.~~

**12.7.2.2**  When a~~n~~ ~~DIS~~ FDIS ballot closes, the ITTF shall inform the JTC 1 and SC Secretariat accordingly and communicate to the SC Secretariat the results of voting ~~and the comments made by NBs~~.  At the same time, the ITTF shall transmit the results of voting to the NBs.  ~~NBs that wish to receive copies of the comments should request these from the SC Secretariat.~~

**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.

~~**12.7.2.3**  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.~~

~~**12.7.2.4**  So that comments accompanying votes on a DIS may be properly considered, the relevant Secretariat is instructed to refer all such comments to the SC .  The SC shall review the comments and make a recommendation to the relevant Secretariat before further processing.  Responsibility for the preparation of a revised DIS text, disposition of comments report, and a recommendation on further~~

processing, including a statement of the degree and substantiveness of changes, may be delegated to subordinate levels as appropriate, e.g., WG, OWG (see 2.6.2), or Project Editor.

12.7.2.5 If, as a result of the review of comments accompanying votes on a DIS, the delegated entity agrees that the criteria in 9.6.3 can be met without making substantive changes to the draft, it may recommend to the SC Secretariat further progression of the document.

SCs should empower their editing group or Secretariat to finalize the revised text of the DIS and to submit it to the ITTF when no significant technical issues are involved.

## 12.7.3 Subsequent DIS ballots

12.7.3.1 When the acceptance of comments made by NBs results in a change in the substance of the draft, a second (or later) edition shall be prepared which shall be submitted for NB voting as provided in 9.6.4 and 12.7.3.2.

In all cases, the degree of change made to the text as a result of the comments received (both technical and editorial) must be carefully evaluated.

The responsibility for deciding whether or not changes are sufficiently substantive to necessitate resubmission as a DIS lies with the SC Secretariat in consultation with the relevant Chairman and the relevant Project Editor.

12.7.3.2 If following the review of comments accompanying votes on a DIS (see 12.7.2.4) the criteria in 9.6.3 are not met or the criteria in 12.7.3.1 apply, or both, the DIS cannot go forward and the matter is referred back to the SC Secretariat. A new draft may be prepared for submission to the NBs; the procedure to be followed is as in 12.7 et seq. with the exception that the time limit for NB voting is reduced to three months but may be extended to six months at the request of one or more of the P-members.

12.7.3.3 The same procedure may be repeated until a DIS vote meets the necessary criteria.

12.7.3.4 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 15).

## 12.7.4 Finalization of IS

12.7.4.1 When the DIS has met the necessary criteria and within a period of three months, the SC Secretariat or designated entity shall prepare:

- a revised text of the DIS;

- a disposition of comments report indicating the action taken on the technical and other comments made by NBs (and, as the case may be, interested organizations), and, if any objections have not been resolved, a clear statement of the reasons (see 3.4.3.4).

- In preparing the final text, the Project Editor responsible for the DIS shall review all comments received. Depending on the nature of the comments, the procedure used (e.g., fast-track), and the usual practice of the SC or WG concerned, final editing may require the appointment by the responsible Secretariat of an editing group for this purpose.

The Project Editor shall ensure that the Foreword of the final text of the standard indicates a statement of the JTC 1 SC responsible for the standard. The Foreword of a revised or consolidated standard shall also contain a clear and complete statement indicating which Amendments and Technical Corrigenda, (if any), have been incorporated into the consolidated text.

The SC Secretariat shall send the revised text and the disposition of comments report to the SC and to the ITTF with the formal request to publish the IS. [Note that the ITTF cannot proceed to publish the IS without an accompanying disposition of comments report.]

12.7.4.2 The ITTF shall be informed within two months by the SC Secretariat if, due to special circumstances and owing to the need for special consultation with the committee members, the Secretariat is unable to meet the deadline. These circumstances shall be communicated to the JTC 1 Secretariat. If the revised text is not returned to ITTF within a period of twelve months, the DIS shall be resubmitted for NB voting as in 12.7.3.2.

12.7.4.3 The Secretaries-General will make a special enquiry into cases where the DIS ballot originally failed, but where the provisions of 12.7.2.5 apply, and will consult the dissenting parties.

~~12.7.4.4 The ITTF prepares a final report giving the results of NB voting and referring to the comments made by the NBs and the action taken thereon by the SC Secretariat. The final report shall be distributed by the ITTF to all P-members of JTC 1 and the responsible SC Secretariat. All NBs shall be informed that the DIS has been accepted for publication. The final report shall be made available to any NB on request.~~

## 12.8  Stage 5,  IS Preparation for Publication

~~12.8.1~~  ~~Th~~The final <u>electronic</u> text shall be sent to the ITTF ~~(together with a recorded medium if available) as a clean retyped document or as camera-ready copy.  Alternatively,~~<u>in</u> <u>an acceptable</u> ~~machine-readable~~ form <u>for publication.</u>~~alone may be used to provide the "master", marked up in accordance with ISO/IEC Directives, Part 3, using ISO 8879 - Standard Generalized Markup Language (SGML), together with a hard copy for information.~~

~~12.8.2  The ITTF editor shall check the text received to ensure that it is in conformance with the ISO/IEC Directives, Part 3.  If amendments are considered necessary, the ITTF editor shall submit proposals for amendment to the Project Editor for approval. No IS shall be published without such approval.~~

~~12.8.3  ITTF shall prepare a proof of the IS and send this to the SC Secretariat, or Project Editor if authorized by the SC Secretariat, for endorsement. The only changes permissible at this stage are corrections of recognized errors in the revised text or of errors introduced by ITTF in preparing the proof.~~

~~Final texts are the result of long, complex discussions by the experts concerned.  These have, in many cases led to delicate compromises in the wording and content.  The texts contain wording agreed by the experts and understood by the users. Therefore, no editorial changes should be proposed which are considered matters of taste.  The following particulars shall be respected:~~

- ~~Many complex standards require a detailed table of contents.  If such a table is included, it shall not be shortened.~~

- ~~If the standard is subdivided into sections, the clauses shall not be renumbered but left as submitted.~~

- ~~In many standards, specific typo-graphical conventions are used (e.g., capital initials, capitalized words). These shall not be changed.~~

- ~~If drawings are redrafted at ITTF, the new drawings, including the arrangement of the figures, shall be submitted to the Project Editor for approval.~~

~~12.8.4  Upon receipt of the endorsed proof from the SC Secretariat or Project Editor, ITTF shall make any final corrections required and proceed with publication of the IS.~~

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

**13.1**  Any P-member <u>of JTC 1</u> or organization in Category A liaison with JTC 1 may propose that an existing standard from any source be submitted without modification directly for vote as a DIS.  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 organization 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.

*Per JTC 1 N 3578R:*

The proposer of a fast-track document is encouraged to make a recommendation concerning the assignment of the document to a given SC.  <u>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.</u>  ~~-~~This recommendation (or in its absence, the JTC 1 Secretariat's recommendation) shall be circulated to JTC 1 NBs together with the DIS ballot.  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 prejudice the vote on technical content.  In cases where the SC

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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 favor of the fast-track procedure (to be initiated by a P-member or a Category A liaison organization 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 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 as a DIS, indicating that the standard belongs in the domain of JTC 1.  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 voting shall be six months.  In order to be accepted the DIS must meet the criteria of ~~9.6.3~~ 9.6.

**13.4**   Upon receipt of notification from the ITTF that a DIS 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 number, title, and ballot period dates, and shall send

the SC Secretariat a copy of the DIS.  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.

**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, 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;

- appoint a Convener for the ballot resolution group ;

*Per JTC 1 N3578 R:*
- ~~appoint a Project Editor for the DIS.  The Project Editor shall be a representative of the organization that submitted the fast-track DIS, and shall be responsible for producing the final DIS text in case of acceptance;~~
- 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 DIS 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 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 ~~9.6.3~~ 9.6 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 the format of the submitting organization. ~~However, subsequent revisions shall be in the format prescribed by the ISO/IEC Directives - Part 3.~~

**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 3. In this case, the ITTF editor shall check the text received to ensure that it is in conformance with the ISO/IEC Directives, Part 3. If amendments are considered necessary, the ITTF editor shall submit proposals for amendment 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 recognized 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.

## 14 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. 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.

### 14.1 Revision

**14.1.1** 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).

**14.1.2** 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.

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

**14.1.4** Where continuous updating of an IS is required, JTC 1 may request the establishment of a maintenance agency (see ~~2.7.3~~ 2.6.3).

**14.1.5** 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 not be used for new designs.

*Editor's Note: While the following clause has not been changed, it should be noted that the voting time has been reduced from four months to two months due to the reduction in approval time for an IS.*

## 14.2  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).

## 14.3  Periodic Review

**14.3.1**  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;

- withdrawn.

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.

**14.3.2**  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 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 ITTF and 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 therefor.

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 favor of confirmation, revision or withdrawal.

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

**14.3.4**  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 14.1 shall apply.  If JTC 1 decides to withdraw an IS, the provisions of 14.2 shall apply.

**14.3.5**  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.

## 14.4  Correction of Defects

## 14.4.1  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.

~~**defect**~~
~~An editorial defect or a technical defect.~~

## 14.4.2  General

**14.4.2.1**  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 organization 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.

**14.4.2.2**  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 14.5.

**14.4.2.3**  Suspected technical errors 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 14.4.3 through 14.4.10 shall apply.  When these procedures are not required, 14.4.11 shall apply.

## 14.4.3  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.

*Per JTC 1 N 4523*

## 14.4.4  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 (see ~~12.7.4.1~~ 12.7.2.3 or 13.9).  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, 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, 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.

## 14.4.5  Defect Reports - Submission

A defect report (see Form 14) may be submitted by an NB, an organization 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 items 2 to 4 and 7 to 10 and, optionally, item 11 of the defect report form (Form 14) and shall send the form to the Convener or Secretariat of the WG with which the relevant editor's group is associated.

## 14.4.6  Defect Reports - Distribution

Upon receipt of a defect report, the WG Convener or Secretariat shall complete items 1, 5 and 6 of the form.  The defect report number contained in item 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.

## 14.4.7  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.

## 14.4.8  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.

## 14.4.9  Processing of Response - WG and SC levels

## 14.4.9.1  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.

## 14.4.9.2  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.]

## 14.4.9.3  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 14.4.9.1 and shall forward the text to the SC Secretariat who shall transmit it to the ITTF for incorporation into a future technical corrigendum.

## 14.4.9.4  Technical Defect

*Per JTC 1 Ottawa Resolution 16 and JTC 1 N 5015*

**14.4.9.4.1**  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 ~~and simultaneous distribution to JTC 1 for review and comment on the draft technical corrigendum by those P-members of JTC 1 that are not P-members of the SC~~.

**14.4.9.4.2**  The SC Secretariat shall ~~forward copies of the defect report, response, and technical corrigendum to~~ notify the JTC 1 Secretariat of the SC ballot on the draft technical corrigendum. ~~for simultaneous SC letter ballot and JTC 1 comment period distribution.  P-members of JTC 1 that are~~

**14.4.9.4.3**  Upon completion of the three-month SC ballot~~/JTC 1 comment~~ 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.

**14.4.9.4.4**  If no comments or disapproval votes were submitted on the material, the SC Secretariat shall forward it to the ITTF for publication, 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 14.4.2.1.

**14.4.9.4.5**  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 14.4.9.4.3 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 14.4.9.4.4 above.  Each technical corrigendum shall list the status of all amendments and technical corrigenda to the current edition of the standard.

**14.4.9.4.6**  If the results of the SC ballot are not positive, in forwarding the voting results to the WG Convener or Secretariat in accordance with 14.4.9.4.3 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.

### 14.4.10  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).

### 14.4.11  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 14.4.2.1.

## 14.5  Amendment

**14.5.1**  A published IS may subsequently be modified by the publication of an amendment.  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.

**14.5.2**  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).  At Stage 4, the document is called a draft amendment (DAM).

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

**14.5.4** At the publication stage (see ~~12.7.4.1~~ 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 organization and the interests of users of the IS, whether to publish an amendment or a new edition of the IS, incorporating the amendment.

[Note: Where it is foreseen that there will be frequent additions to the provisions of an IS, the possibility should be borne in mind at the outset of developing these additions as a series of parts (see ISO/IEC Directives, Part 3)]

# 15 Preparation and Adoption of Technical Reports

## 15.1 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 15.2.1, 15.2.2 or 15.2.3 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 15.3.2).

## 15.2 Types of Technical Reports

### 15.2.1 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 a CD for registration as a DIS, 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.

### 15.2.2 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.

### 15.2.3 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.

### 15.2.4 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.

## 15.3 Outline of Procedures

**15.3.1** The procedures for development of Technical Reports are similar to the procedures for

development of International Standards described in 12.2 and shall be followed unless otherwise noted.

**15.3.2** 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.

**15.3.3** 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.

**15.3.4** In Stage 4, the JTC 1 Secretariat shall distribute the DTR to JTC 1 P-members for a three-month letter ballot.

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

*Editor's Note: The correspondence in JTC 1 N 5148 apparently deals with an amendment to a TR. At present, there is no provision for amendments to TRs. (The amendments wording in clause 14.5 only relates to ISs). The Procedures Group added sections on revision (similar to 14.1) and amendment (similar to 14.5) to clarify this issue.*

## 15.4 Maintenance of Technical Reports

### 15.4.1 Type 1 and Type 2 TRs

**15.4.1.1** 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 reexamine 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.

**15.4.1.2** 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.

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

### 15.4.2 Type 3 TRs

TRs of type 3 shall be subject to review every five years in the same manner as ISs (see 14.3).

### 15.4.3 Revision

**15.4.3.1** 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).

**15.4.3.2** 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.

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

### 15.4.4 Amendment

**15.4.4.1** 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.

**15.4.4.2** The procedure for developing and publishing an amendment shall be as described in 15.3. 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).

**15.4.4.3** 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 organization and the interests of users of the TR, whether to publish an

amendment or a new edition of the TR, incorporating the amendment.

## 15.4.~~3~~5  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 15.3.4).

## 16  International Standardized Profiles and Related Documents

~~Procedures for the preparation and adoption of ISPs are covered in Annex D.~~

## 16.1  International Standardized Profiles (ISP)

An ISP is an internationally agreed-to, harmonized 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.

## 16.2  Taxonomy of Profiles

**16.2.1**  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.

**16.2.2**  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 standardization.  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.

**16.2.3**  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.

**16.2.4**  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.

*Editor's Note:  The following wording follows the direction given in Ottawa Resolution 24 and JTC 1 N 5012. Note, however, that N 5012 also invites S-liaisons to apply to become PAS submitters if they wish to submit documents to JTC 1 for adoption as ISPs, but Supplement 1 on PAS refers to SGFS and Annex D, which do not exist anymore, and there are no procedures in these Directives for processing*

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### 16.3  ISP Preparation and Adoption

**16.3.1**  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 standardized profile (PDISP) or final proposed draft international profile (FPDISP).  At Stage 4, the document is called a final draft international standardized profile (FDISP).

**16.3.2**  Organizations 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 Supplement 1 to these Directives).

### ~~16.3~~ 16.4  Explanatory ~~and Review~~ Reports

~~16.3.1~~ An explanatory report shall be prepared by the originator of a PDISP and shall be submitted ~~to SGFS together~~ 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 ~~(see D4.2)~~.

~~16.3.2  A review report shall be prepared by the review group charged with reviewing a submitted PDISP.  This report shall include an evaluation of the completeness and accuracy of the information in the PDISP and the explanatory report, and an assessment of the degree of harmonization that has been achieved (see D5.3).~~

## 17  Appointment and Operation of Registration Authorities

### 17.1  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 organization, a standard or an automated facility.

### 17.2  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 Organizations

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 organization, 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.

### 17.3  Need for Registration and Registration Authorities

**17.3.1** 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 Add 2).

*The Editor assumes the following responsibility transfers to the RG-RA*

**17.3.2** All requirements for registration must be reviewed and concurred by the ~~SWG-RA~~ RG-RA (see 17.4.2). Procedure standards for JTC 1 Registration Authorities must also be reviewed and concurred by the ~~SWG-RA~~ RG-RA (see 17.4.2). Where registration is performed by a means other than a JTC 1 Registration Authority, the ~~SWG-RA~~ RG-RA must still assure the international integrity of the registration. This involves a review by the ~~SWG-RA~~ RG-RA of the documentation of the process by which other organizations, standards or automated facilities provide the registration and action by the ~~SWG-RA~~ RG-RA 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.

## 17.4  Standards and Publications

**17.4.1** 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 the ~~SWG-RA~~ RG-RA in consultation with the proposed JTC 1 Registration Authority and the ITTF.

**17.4.2** 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 the ~~SWG-RA~~ RG-RA at the beginning of the development of the procedure standard to discuss how the requirements in Annex E (see also 17.3) 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.

## 17.5  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 recognize 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, ~~telex and, if possible, telefax~~facsimile, email 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 3), 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/CA regarding the activities of JTC 1, SC, or WG for which the Secretary is responsible;

- be a good organizer and have training in and ability for managing and administering work, in order to organize and conduct the work of the committee and to promote active participation on the part of committee members and subsidiary bodies.

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:  Stages of Progression of Work Items**

# Annex C:  JTC 1 Policy on Conformity Assessment

## C1  Role of JTC 1 in Conformity Assessment[1]

In order to foster the overall objectives of JTC 1 standardization 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[2] standardization activities related to the assessment of conformity[3] 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[4] requirements are specified,

- to what or whom those requirements apply, and

- how to verify conformity or compliance[4] 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**  It is the responsibility of SGFS to ensure that conformity requirements in ISPs are unambiguous and that conformity to those requirements is verifiable.~~

*Editor's Note: The SWG-CA responsibilities in the following two clauses have been deleted due to the disbandment of SWG-CA.*

~~**C2.4**~~ **C2.3**  Each JTC 1 Subcommittee has the authority and responsibility to specify the conformity assessment methodology applicable to any distinct area of Information Technology that is entirely within the scope of that Subcommittee. ~~For areas of Information Technology which are relevant to more than one JTC 1 Subcommittee, SWG-CA should when necessary advise JTC 1 which Subcommittee should be given the responsibility to specify the relevant conformity assessment methodology, and which other Subcommittees should be involved in the work.~~

~~**C2.5**  SWG-CA has the authority and responsibility to advise JTC 1 on work that needs to be done relevant to conformity assessment 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~~

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[1]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].

[2]Information Technology as defined by the work program of JTC1.

[3]Conformity is fulfilment by a product, process or service of  specified requirements [ISO/IEC Guide 2:1991,13.1].

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[4]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.

~~inadequately covered by existing conformity assessment methodology[5] standards and technical reports.~~

**C2.4** The RG-CAI will normally conduct its business via electronic communication. The Rapporteur will work with the JTC 1 Liaison Officer to ISO/CASCO to ensure that ISO/CASCO Guides, Standards and Drafts are distributed within the Rapporteur Group or to the whole of JTC 1 as appropriate; are evaluated as required; recommendations made to JTC 1 as needed; and regular reports made to JTC 1 on the activities of the Rapporteur Group.

## C3  Mutual Recognition

In the conformity assessment area, JTC 1's objectives include the facilitation of

- 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.

~~SWG-CA will keep these under review for JTC 1 to identify cases in which action needs to be taken within JTC 1 to improve the processes and environment leading to international mutual recognition.   SWG-CA will actively identify and monitor initiatives that are taken outside JTC 1 to achieve mutual recognition agreements both regionally and internationally and will do what it can to support such initiatives if they are considered to be sufficiently open. A priority will be for mutual recognition  agreements among accreditation bodies.~~

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~~[5]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.~~

## Annex D: ISO/IEC JTC 1/SGFS - Taxonomy Update, ISP Approval and Maintenance Process

### D1 Scope

The scope of this ISP process document is to define the ISO/IEC JTC 1 procedural mechanisms by which:

a) An addition or modification to the ISO/IEC TR10000 occurs (see D3);

b) A Proposed Draft International Standardized Profile (PDISP) is submitted (see D4);

c) A review of any submitted PDISP takes place (see D5 );

d) DISP ballot results are resolved (see D6);

e) Defects in ISPs are processed (see D7 and D8);

f) The status of ISPs is recorded and updated in "The Directory of ISPs and the profiles contained therein", called hereafter "The Directory of ISPs", and published in SD-4 (see D9);

g) Authorized subgroups of the SGFS are organized (see D11).

These procedural mechanisms supplement the ISO/IEC JTC 1 procedures.

These procedures cover:

— OSI based profiles and associated Profile Test Suites (PTS);

— Application Environment profiles (AEPs) and associated Profile Test Suites, covering functionality for the Open Systems Environment (OSE).

The procedures cover two situations with respect to ISO/IEC: where the PDISP is solely within the scope of JTC 1 and where more than one Technical Committee (TC) is involved. In the latter case, extra requirements apply, including the existence of a multi-TC ISP cooperative agreement document (see D2 ).

### D2 Use of this Procedure Document

### D2.1 Categories of Use

a) The submission requirements described in D3, D4 and D10 shall be followed by a submitter of a PDISP or a TR10000 change request;

b) The procedures descriptions contained in D5 and D6 form the basis for the processing and approval of ISPs;

c) The maintenance and update provisions for an ISP described in D7 and D8 will be followed by the designated maintenance organization (MO) for an ISP;

d) The updating of "The Directory of ISPs" will be performed by the SGFS secretariat consistent with D9;

e) The organization of authorized subgroups will be performed by the SGFS chair consistent with D11.

[Note: ISPs should be documented in the ISO and IEC catalogs following the prescribed working methods.]

### D2.2 Multi-TC Requirements

In cases D2.1 a) - c) inclusive, further requirements apply if multiple TCs are involved in the approval of a multiple part ISP. In the case of multiple TC involvement, a cooperative agreement shall be developed and agreed jointly by JTC 1, the TC(s) involved and the organization or organizations which are expected to develop the parts of the multi-part ISP. The cooperative agreement shall include at least the following:

a) Identification of which TC is responsible for overall coordination of the multi-part ISP;

b) Identification of which TC is responsible for the format of the profile and/or associated

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PTS and for including the profile in a taxonomy and a directory of profiles if needed. This will normally be the same as the TC in a) above. In the case of JTC 1, the Directory of ISPs in SD-4 and the framework and taxonomy update procedure (D3) shall be used;

c) For each and every part of the multi-part ISP, a unique assignment of the TC responsible for processing that part of the ISP under its own procedures, including calling and conducting ballot resolution meetings.

For those ISPs for which JTC 1 is identified as being responsible in a) above, the procedures in D4, D5.1-D5.3 and D5.4 e) shall apply and will require explanatory and review reports covering all parts. The full submission and approval procedures in D4, D5 and D6 shall only be applied to those parts of a multi-part ISP for which JTC 1 has been identified as responsible in c) above.

## D3 Framework and Taxonomy Update Procedure (ISO/IEC TR10000-1 and -2)

### D3.1 Submission

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

Authorized bodies are:

a) 'A' and 'S' liaison organizations of JTC 1/SGFS;

b) SCs within ISO/IEC JTC 1;

c) An ISO or IEC Technical Committee with a JTC 1 ISP requirement;

d) The JTC 1/SGFS;

e) JTC 1/SGFS 'P' Members.

A submitter shall submit a change request report (see D10) and a proposal for the changes to be made.

If the request to change the taxonomy is a harmonized request from an S-liaison, as indicated in the change request, the SGFS secretariat selects the appropriate procedure from those described in D3.2 to D3.4 below. For all other change requests, the procedure in D3.4 is always used.

### D3.2 Independent Taxonomy Change

This procedure applies to taxonomy changes when:

a) the change affects only TR10000-2; and

b) the change is within the scope of TR10000-1; and

c) the change request is a harmonized request submitted from an S-liaison source.

Recording of the change takes place according to D3.5 below.

Adoption of the change takes place according to D3.3 or D3.4 below.

### D3.3 Combined Taxonomy Changes and PDISP Submission

This procedure applies to change requests when:

a) the change affects only TR10000-2; and

b) the change is within the scope of TR10000-1; and

c) identifies one or more profiles; and

d) the change belongs to a class of changes for which the SGFS has given prior authorization to follow this procedure; and

e) the submission of the change request is done in combination with the submission of the PDISP (or PDISP parts) containing the profiled identified in the change request; and

f) the change request is a harmonized request submitted from an S-liaison source.

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

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

The provisions for successful completion and initiation of the DISP ballot are the same as for the PDISP review (see D5.3 and D5.4). The result of the taxonomy reviews forms part of the review report for the PDISP.

JTC 1 national bodies and liaison organizations will be informed by the cover letter for the DISP that successful completion of the DISP ballot will be taken as agreement to the associated taxonomy change request. Any independent taxonomy change previously recorded in SD-8 which applies to the DISP under combined ballot will be removed from SD-8 if the ballot is successful.

The provisions for the successful completion of the ballot and subsequent ISP publication are the same as those for the DISPs (see D6). If ISP publication is approved, the associated taxonomy change will be incorporated into the next edition of TR10000-2.

## D3.4 Ballot Procedure for Framework and/or Taxonomy Change

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

a) the change affects TR10000-1 (and possibly TR10000-2); and

b) a proposed change to TR10000-2 is received which is not an harmonized change;

c) SGFS decides to ballot a harmonized, independent taxonomy change request.

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

- an authorized subgroup of the SGFS, to bring the proposal into TR10000 format if required, or otherwise to assess the proposal, and to SGFS for information; or

Note: For the procedures associated with an authorized subgroup and its permitted subjects, see D11.

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

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

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

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

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

Each SGFS or authorized subgroup meeting will consider all changes requests submitted to the committee in time for the next meeting. If substantial support is obtained, the change request and the review report will be submitted to the JTC 1 secretariat for JTC 1 ballot and simultaneously to SGFS members for information. The JTC 1 secretariat will distribute these documents for JTC 1 letter ballot. SGFS members will be informed of the ballot by the SGFS secretariat.

The provisions for the successful completion of the ballot and subsequent publication are similar to those for DISPs (see D6 ). In particular, a ballot

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resolution meeting may be held (see D6.2 and D6.3).  If publication is approved the JTC 1 Secretariat will publish the updated parts of TR10000.

## D3.5  Recording of Proposed Taxonomy Changes.

For all proposed taxonomy changes, whether proposed under D3.2, D3.3, or D3.4 above, the SGFS secretariat, after checking that the information required in D10, "change request report and taxonomy update procedure" has been correctly furnished, will incorporate the proposed taxonomy change in the next edition of SGFS SD-8, "Proposed taxonomy changes".  If and when approved, the taxonomy change will be incorporated into TR10000-2 and removed from SD-8.

## D4  Submission of a PDISP

## D4.1  Outline of Procedure

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

   a)   'A' and 'S' liaison organizations of JTC 1/SGFS;

   b)   SCs within ISO/IEC JTC 1;

   c)   An ISO or IEC Technical Committee with a JTC 1 ISP requirement (in the case of multi-TC ISPs, D4.3 also applies);

   d)   JTC 1 or JTC 1/SGFS P-members.

The target processing time of a PDISP from submission to publication is 7-10 months.  To meet the timing targets, potential PDISP submitters should notify the SGFS secretariat of their intention to submit a specific PDISP at least three months before the planned submission date.  Such early notification will enable the SGFS review process (see D5) to be set up before the PDISP submission.

A submitted PDISP shall be accompanied by an explanatory report from the submitter.  Both the PDISP and the explanatory report will be circulated on receipt to SGFS members.  The explanatory report contains a number of items of important information, including a statement about the degree of openness and a description of the degree of

international harmonization which has been reached.  The explanatory report contents are detailed in D4.2.

PDISPs will be reviewed by a review group, the membership and functions of which are described in D5.

## D4.2  Explanatory Report

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

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

   a)   General ISP Information

       1)   Profile identifier (if  assigned);

       2)   Profile and/or PTS title;

       3)   Name of submitting organization and the name of an individual who, as editor, will serve as the contact point during the review and approval process;

       4)   Date of original notification to SGFS;

       5)   A declaration by the submitting organization (or other designated organization) of commitment to maintain the PDISP after its approval and identification of an individual, if known, who will serve as contact point for PDISP maintenance;

       6)   In case of a multi-TC ISP, The reference to the multi-TC ISP cooperative agreement.

   b)   Base Standards Referenced

       1)   A list of ISO, IEC and ISO/IEC standards (including ISPs), technical reports and ITU-T Recommendations referenced in the PDISP together with their numbers, dates and titles.  When an ISP specifies ISO/IEC International Standards or ITU-T Recommendations

which contained aligned or identical text, both the ISO/IEC International standards and/or ITU-T Recommendations shall be referenced in the ISP;

2) In case where the ISP contains PTS, an identification of the ISP or ISPs which contain the profiles which the PTS corresponds to, as well as an identification of base standards which contain the abstract test suites for the base standard on which the profile is based, and an indication of the status of the ATS base standards;

3) A statement stating whether the documentation requirements in ISO/IEC TR10000-1 on conformance have been met;

4) Any aspect of actual or potential non-compliance with base standards should be specifically addressed;

5) An identification of any approved amendments, technical corrigenda or errata to base standards referenced in the profile or the PTS which in the view of the submitting organization are thought to be applicable or not applicable. This information is also included in the PDISP; therefore, if the explanatory report and the PDISP are submitted at the same time , the explanatory report may simply refer to the PDISP for this information.

c) Registration requirements

1) A list of ISO, IEC, ISO/IEC standards, Technical Reports and ITU-T Recommendations which are used as references for registration, including their numbers, dates and titles;

2) A list of any new SGFS ISP registration requirements or procedures required, together with a statement of justification for these;

3) A statement on the object identifiers allocated in the ISP, if any;

4) A list of any national or regional requirement references, including their numbers, dates and titles, together with a statement as to why these are required. These references should be informative, not normative.

d) Relationship to Other Publications

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

e) Profile Purpose

1) An executive summary of the scope and purpose of the profile is required. This summary should be written so that it can be clearly understood by a broad audience which may include people not familiar with details of standards. It should be in the form of an abstract of about a third of a page in length and must be suitable for publication in the Directory of ISPs. In the case of a PTS, the executive summary for the relevant profile should be revised in order to mention the availability of the PTS;

2) A statement on the relationship to any other ISPs or profiles in the taxonomy and the usage of common sections of text as described in TR10000 Part 1. Annex B if known.

f) PDISP development process

1) A statement of the origin and development history of the PDISP together with the dates of major changes of status;

2) A statement of the degree of openness of the PDISP development process and the extent of international harmonization that has been achieved, including for appropriate profiles or profile test suites, whether or not the PDISP has been considered

and/or endorsed by any of the regional workshops for open systems;

3) A statement of the results of any joint planning operation between the submitting organization and ISO/IEC JTC 1/SGFS. This includes a review of the identified purpose for the ISP and identification of liaisons required with those ISO/IEC SCs, other TCs and/or ITU-T SGs responsible for the base standards referenced normatively in the ISP. It shall also identify, when applicable, time frames for finalization of base standards, considering that a reference to a non-approved base standard (e.g., CD/PDAM or DIS/DAM stage) should not appear in an ISP;

4) In the case where the ISP contains PTS, a statement as to whether the corresponding ATS has been standardized, or submitted to the base standards committees, and if applicable, an estimation of time frames for finalization of base standards ATS.

g) ISP content and format

1) A statement as to whether the requirements on ISP content and format as described in TR10000-1 D5.3, D7 and Annex A have been met;

2) If g(1) is not positive, an explanation for the divergence;

3) Whether or not a multi-part ISP structure is envisaged and if so, an explanation of the structure;

4) Whether multi-TC requirements are included.

h) Any other pertinent information

The submitter should indicate any other information that may be appropriate for consideration in the PDISP approval process.

### D4.3 Multi-TC ISPs

When multi-TC ISPs are involved, the submission may be made directly to JTC 1 when JTC 1 has overall coordination responsibility. When that responsibility has been assigned to another TC under the multi-TC cooperative agreement document, parts of the multi-TC ISP for which the JTC 1 review and balloting procedures are to apply will be forwarded to JTC 1 on behalf of the original submitter by the TC which has the overall responsibility. The submission by the coordinating TC should clearly indicate the status that has been achieved within that TC (e.g., authorized for JTC 1 submission by resolution). The submission should also clearly identify that the JTC 1 procedures are to apply so that parts sent for processing under the JTC 1 procedures are distinguished from those submitted through normal liaison for information and/or comment.

### D5 PDISP Review Process

### D5.1 Outline of Procedure

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

If any part or parts of the PDISP will perform registration by standards, the submitter shall make this clear in an accompanying letter of submission. If the letter of submission indicates that registration as defined in D4.2 c) 2) will take place, the SGFS secretariat shall forward a copy of the PDISP to the JTC 1 SWG-RA for their review.

A review report will be produced by a review group of the SGFS duly authorized by the SGFS. Their mode of operation may be correspondence, electronic exchange of information or a meeting. Each review group will assess the explanatory report information and the submitted PDISP and produce a review report in a target period of 1-2 months. The report will contain an assessment as to the acceptability of the PDISPs based upon the criteria stated in D5.3. In case of a favorable review report, the PDISP status will be changed to DISP. The DISP will be forwarded to the ITTF Secretariat for ballot by JTC 1 national bodies, and simultaneously to SGFS members for information. Both the review report and the submitter's explanatory report will be distributed with the DISP to enable JTC 1 members to consider them in their ballot response.

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In case where an internationally harmonized PDISP is submitted by an S-liaison, it is expected that the material for the review report will be submitted at the same time as the PDISP, as a result of harmonization and of co-operation with JTC 1 SCs, other TCs and/or ITU-T SGs during the PDISP definition. In these cases, it should not be necessary to perform a specific review for the PDISP. The SGFS chair and secretariat shall check the review report is complete according to the criteria in items a) to l) of D5.3. In all other cases, a review will be conducted on the PDISP.

## D5.2 Review Process and Composition of Review Groups

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

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

a) SGFS national bodies (P-members);

b) SGFS 'A' and 'S' liaisons;

c) Other ISO or IEC TCs when base standards of that TC are referenced in the PDISP under review;

d) Relevant JTC 1 SCs;

e) Relevant ITU-T SGs.

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

Only a portion of the pool will normally participate in the review of a given PDISP. Typically, this will involve experts from JTC 1 subcommittees and ITU-T study groups which have produced the base standards involved in the PDISP.

The JTC 1 SC, other TC or ITU-T SG experts are not **necessarily** expected to formally represent their respective committees in the review process, but are requested to express their committee's views to the best of their ability.

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

## D5.3 Specific Review Actions

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

a) Ensure that an individual contact point for the ISP has been identified by the PDISP submitting organization. The review process convener will use this individual contact point throughout the ISP approval process;

b) Identify which JTC 1 SCs, other TCs and/or ITU-T SGs need to be advised on the conformance material in the PDISPs, if they have not already been identified;

c) Assess the accuracy of the submitter's declarations in the explanatory report with particular attention to technical consistency in the PDISP in the use of base standards including conformance aspects and any registration requirements;

d) If a PDISP specifies ISO/IEC International Standards and/or ITU-T Recommendations, which contain aligned or identical text, ensure that both the ISO/IEC International Standard and the ITU-T Recommendation are referenced in the ISP;

e) If national or regional standards are referenced in the PDISP, assess as to whether the submitter's case for their inclusion is present and appears sufficient. Specific attention should be paid as to whether the references to them are only informative, not normative. Any exceptions shall be noted in the review report;

f) Evaluate the degree to which international harmonization has been achieved. As part of their assessment, the review group should also give a clear indication if there is another current or planned ISP in the same area;

g) Assure that the PDISP associated profile position , if needed, in the TR10000 taxonomy  has been identified and, if necessary, actioned according to D3.2, D3.3 or D3.4;

h) Review the list of amendments and technical corrigenda for completeness, and the proper identification of status according to D4.2 b) 4).  One part of this information is found in the "Normative References" clause of the PDISP, and the remainder is found in the "Informative References to Amendments and Technical Corrigenda" Annex;

i) In the case of a multi-TC ISP, verify that the cooperative agreement  document exists and that it includes the information described in D2.2 a) - c);

j) In the case where the PDISP contains PTS, assess the accuracy of the submitter's declarations in the explanatory report, with particular attention to the following elements:

- Are the corresponding profiles and ISP properly identified?

- What is the standardization level for the corresponding ATS in the base standards committees?

k) In the case where profiles are defined in the PDISP, assure that objects identifiers have been properly allocated to these.

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

a) The PDISP is modified by the originator and the text is resubmitted;

b) A proposed resolution of the deficiencies is noted in the review report, for incorporation in the final text of the ISP following a successful ballot;

c) A statement of unresolved deficiencies is contained in the review report.

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

For their convenience review group members can use the Review Proforma form in annex G.

## D5.4  PDISP to DISP Transition

The following steps take place:

a) Once the review process for a given PDISP terminates, the review group produces a review report.  The PDISP then becomes a DISP and is balloted according to the procedures in D6 unless the exception in item d) of D5.4 applies;

b) If the PDISP has been modified by the submitter as a result of the SGFS review process, the updates text should be clearly identified as being changed in the DISP ballot text.  Such change requires submitter's approval;

c) For the case of a multi-TC ISP for which JTC 1 is identified as having the Coordinating responsibility, the parts which are to be processed by another TC are forwarded to that TC with a clear status statement.  Those parts identified as being the responsibility of JTC 1 are treated the same as PDISP under to sole control of JTC 1;

d) In either case a) or b) of D5.4 a 4 month DISP letter ballot takes place at the JTC 1 member level.  The procedures to be followed after the ballot are described in D6;

e) A PDISP submitter may withdraw a PDISP at any time;

f) If the PDISP contains PTS for which the corresponding ATS has not reached DIS status in the base standards committee, then the PDISP becomes a DISP, but the procedure in D5 is only invoked when the corresponding ATS has reached DIS level,

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and when the DISP has been updated, if necessary, to align on the DIS ATS.

## D6  Processing of the DISP Ballot

### D6.1  General DISP Ballot Procedure

See 9.7.

### D6.2  Action Following Ballot Termination

At the completion of the ballot period, the votes and received comments will be reviewed by the JTC 1 Secretariat and SGFS chair, who will select one of the following two courses of action:

a)  recommend publication of the DISP text or an editorial revision thereof as an ISP; This course may be followed only if there are no negative votes and no significant technical comment;

b)  call a ballot resolution meeting under the SGFS for review of the ballots cast and their associated comments;

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

### D6.3  Ballot Resolution Meeting Provisions

A ballot resolution meeting should include representation from JTC 1 national bodies, liaisons organizations, the submitting organization and other S-liaisons who have taken part in the harmonization process.  In the case of a multi-part ISP, representation from the other TC(s) involved will be directly sought .  Invitations will be issued to all of them.  The following outcomes are possible:

a)  the NB and liaison organization comments can be resolved without technical change to the DISP; in this case any necessary editorial modifications are made to the text, and publication as an ISP is recommended to the ITTF;

b)  Accommodation of the NB and liaison organization comments and/or resolution of comments associated with NB negative ballots can be achieved only by means of technical changes to the DISP.  In this case such changes should not jeopardize the international harmonization that has been reached.  Such a change must be approved formally by the submitting organization, and the ballot resolution meeting may have to be suspended and subsequently reconvened to enable this process to take place.  If the change is acceptable to both the submitting  organization and the ballot resolution meeting, then a revised text is prepared.  If acceptable to the ballot resolution meeting, the revised text is submitted to the JTC 1 secretariat with a recommendation that it be forwarded to ITTF for publication.  Otherwise, for example if the degree of technical change is so significant that confirmation is necessary, the revised text is submitted to the ITTF for further processing as a second or subsequent DISP ballot of JTC 1 national bodies.

c)  if the national bodies comments cannot be resolved in such a manner as to achieve a sufficient level of national body approval, the DISP is withdrawn.  In this case, the JTC 1 secretariat and the SGFS chair, after consultation with the submitting organization, advise the ITTF and the submitting organization that the DISP has not attracted a sufficient level of approval; this course may be followed only if it is clear that there is no way in which enough negative votes can be reversed.

## D7  ISP Maintenance and Defect Processing

### D7.1  ISP Maintenance Responsibility

The organization responsible for maintenance of an ISP is normally the submitting organization or other designated organization and must be identified at the time the PDISP is submitted.  This organization is known as the maintenance organization (MO).  For multi-TC ISPs,  the organization responsible for maintenance of each part will normally be the organization which submitted the part to the TC identified in the cooperative agreement  as having overall coordination responsibility.  In exceptional

cases such as lack of continuity of the submitting or designated organization, this may be done by an organization designated by the SGFS.

## D7.2  Maintenance of Base Standards

The procedure for "Maintenance/Correction of defects in JTC 1 standards" contained in the ISO/IEC JTC 1 Directives shall apply to base standards included in ISPs.

The MO for the ISP shall monitor publication of amendments , technical corrigenda or new editions of  base standards which the ISP references and submit amended versions of the ISP as appropriate. The submission may occur either before of after an ISP has been approved.  In either case, the MO for the (PD)ISP is responsible for determining the applicability of base standard amendments or new edition to the (PD)ISP and for amending the (PD)ISP.  In any amendment to an ISP, a clear indication shall be made of which published base standard amendments and technical corrigenda are thought to be applicable, and those thought to be not applicable.  This information shall be provided according to TR10000-1 clause D5 and Annex A.

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

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

## D7.3  Defects in Published ISPs

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

Such defects may be submitted to the SGFS secretariat by:

    a.  An ISO/IEC JTC 1 P-member;

    b.  An organization in liaison with JTC 1;

    c.  The Maintenance Organization responsible for the ISP;

    d.  A JTC 1 subcommittee or other ISO or IEC Technical Committee.

It is the responsibility of the MO to  make a preliminary assessment as to whether the defect applies to the ISP itself, or to one of the referenced base standards.  In the base standards defect case, the procedure for defects in base standards (as described in D7.2) is invoked and a warning is issued to the SC or SCs involved .  For a defect in the ISP itself, a correction is normally developed by the organization responsible for maintenance of the ISP through development of an amended ISP. International harmonization of the proposed amendment is highly desirable.

In the event that the MO responsible for maintenance of the ISP becomes unwilling or unable to continue with that responsibility, the SGFS decides on the most appropriate action.  These actions can include the re-assignment of maintenance responsibility to another MO or the SGFS itself.   In the case of the SGFS becoming the maintenance organization, it may decide to freeze the ISP in its then current state or propose its withdrawal according to the JTC 1 Directives.

```
┌─────────────────────┐
│ DEFECT REPORT       │
└─────────────────────┘
          │
┌─────────────────────────┐                                    ┌──────────────────────┐
│ SGFS SECRETARIAT/CONVENOR│   DEFECT ONLY IN                   │ WARNING TO BASE      │
│ 1ST ASSESSMENT          │──────────────────────────────────│ STANDARDS ORG.       │
│ ( MAY RESULT IN REJECTION )│ BASE STANDARD                   │                      │
└─────────────────────────┘                                    └──────────────────────┘
          │
┌─────────────────────────┐    DEFECT IN BASE STANDARD         ┌──────────────────────┐
│ DESIGNATED ISP MAINTENANCE│─────────────────────────────────│ WARNING TO SCs       │
│ ORGANIZATION   (MO)     │                                    │ INVOLVED             │
└─────────────────────────┘                                    └──────────────────────┘
          │                                                              │
      DEFECT                                                             │
      IN ISP                                                             │
          │                                                              │
┌─────────────────────────┐                                    ┌──────────────────────┐
│ CORRECTION BY DESIGNATED│────────────────────────────────────│ CORRECTION           │
│ MO FOR THE ISP          │                                    │ TO STANDARD          │
└─────────────────────────┘                                    └──────────────────────┘
          │
┌─────────────────────────┐                                    
│ MO ASSESSMENT OF        │   ISP PROCESS                      
│ WHETHER FULL APPROVAL   │───────────────────────────┐        
│ IS REQUIRED             │                           │        
└─────────────────────────┘                           │        
          │                                  ┌──────────────────────┐
   JTC1 MAINTENANCE/                         │ INVOKE FULL JTC1 ISP │
   CORRECTION PROCEDURE                      │ APPROVAL PROCEDURE   │
          │                                  └──────────────────────┘
┌─────────────────────────┐                                    
│ JTC1 MAINTENANCE/CORRECTION│                                  
│    PROCEDURE            │                                    
└─────────────────────────┘                                    
          │                                                    
┌─────────────────────────┐                                    
│ ISSUE CORRECTED         │                                    
│ ISP OR CORRECTION SHEET │                                    
└─────────────────────────┘                                    
```
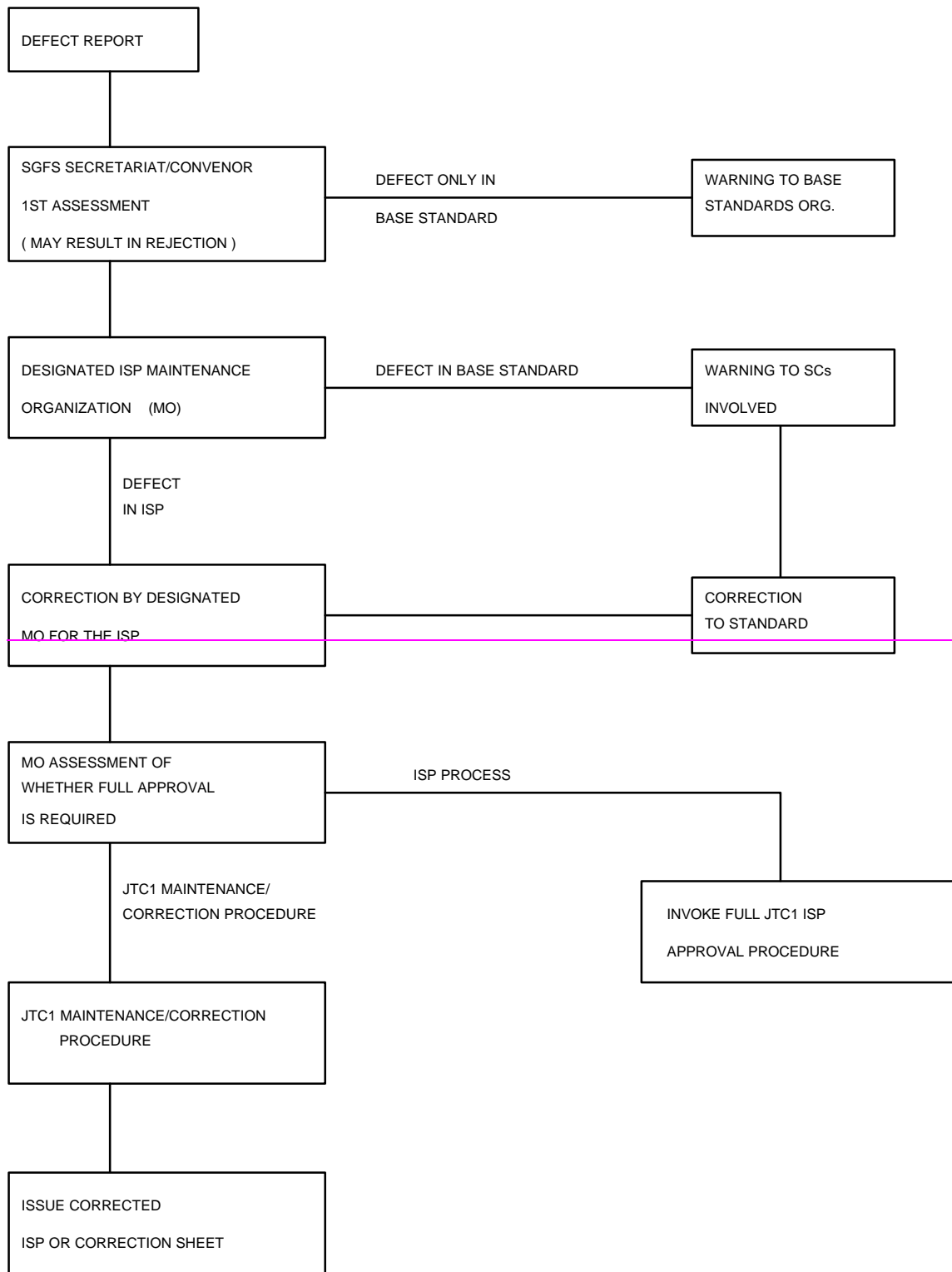
**Figure D1  ISP Defect Processing and Amendment cycle**

## D7.4  Approval of Amended ISPs

An amended ISP, whether amended for base standards defects or for ISP defects as described in D7.3 , will be processed in accordance with the procedures for "Maintenance/Correction of defects in JTC 1 standards", or, if recommended by the MO, the JTC 1 ISP approval procedures will be involved. The ISP amendment cycle is depicted in Figure 1. Any amended ISP shall include an explicit list of published amendments and technical corrigenda to the base standards it references and indicate which of these are thought to be applicable and which are thought not to be applicable according to TR10000-1, clause D5 and Annex A.  Any amended ISP shall include an explicit list of the differences from the previous edition of the ISP.

## D7.5  Periodic Review

The SGFS shall periodically review each approved ISP and determine whether the ISP should be reaffirmed, revised or withdrawn in accordance with Periodic Review procedures defined in the JTC 1 Directives.

## D8  Extensions and Enhancements

## D8.1  Extensions and Enhancements to ISPs

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

## D8.2  Extensions and Enhancements to Base Standards

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

## D9  Update Procedure for The Directory of ISPs

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

Upon receipt of a notification of a proposed change from a recognized PDISP submitter as defined in D4.1, the SGFS secretariat will prepare an update to the table.  The update may take the form of a new entry, deletion, or change to an existing entry to reflect a new status.  The identifiers for status are defined in the Directory of ISPs.

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

## D10  Change Request Report and Taxonomy Update Procedure

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

- Change request title;

- An indication of whether it concerns  a framework or a taxonomy change;

- Name of the submitting organization and the name of an individual who will serve as the contact point, and if necessary as editor, during the approval process;

- Date of submission (filled in by the SGFS Secretariat);

- A statement on the origin and development history of the proposed change;

- A statement on the degree of openness of the development process and the extent of international harmonization that has been achieved, including for appropriate changes, whether or not the proposal has been

considered by any of the regional workshops for open systems;

- For taxonomy changes requests:

  - The rationale for the proposed change;

  - The principles underlying any change to the taxonomy structure;

  - Complete proposed additional or replacement text;

  - If the proposed taxonomy change request is considered to have an impact on existing ISPs, a statement as to how the impact should be handled (e.g., by application of the procedures for maintenance/correction of the base standards).

For taxonomy changes requests, it is recommended that summary descriptions of the profiles be made available together with the taxonomy change request.

SD-8, "Proposed taxonomy changes" contains information on not yet approved, harmonized requests for minor taxonomy changes as described in D3.2, "independent taxonomy change".

## D11 Organization of Authorized Subgroups of SGFS

### D11.1 Rules for Convening a Meeting

The procedures of ISO/IEC JTC 1/SGFS provide for the progression of specific tasks by "an authorized subgroup of the SGFS".

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

- SGFS may authorize such a meeting by resolution or by letter ballot which states the purpose of the meeting;

- The SGFS authorization may permit specific output documents to be balloted by SGFS national bodies or to be conveyed to identify liaison organizations;

- The meeting shall be announced to SGFS members at least two months before the meeting date; the announcement shall indicate amongst other items the time and place of the meeting, the subject, and the chairperson. Specific information about the subject to be addressed at the meeting shall also be made available;
- The meeting may be attended by:

  - SGFS members or their representatives;

  - representatives of organizations having liaison with SGFS.

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

### D11.2 Authorized Subjects for Meetings

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

a) Progression of framework and taxonomy changes limited to OSI and JTC 1 standards;

b) Progression of framework and taxonomy changes in the area of ISO TCs which are applying OSI.

## Annex E:  Registration Definitions and Guidelines for Procedure Standards

# E1  Definitions

For the purpose of registration, the following definitions apply:

**applicant**
An entity (organization, individual etc.) which requests the assignment of a name for an object from a JTC 1 Registration Authority.

**JTC 1 Registration Authority**
An organization 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 SWG-RA and~~ 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 organizations of ISO/IEC;

- a national or international standards committee or subcommittee, or group appointed by such a subcommittee or committee;

- other organizations 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, alpha-numeric, 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 is 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 organization, the name, title, postal/~~electronic mail~~email address, telephone/facsimile/~~telex~~ number of a contact person within the organization (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 organization, the name, title, postal/~~electronic mail~~email address, telephone/facsimile/ ~~telex~~ number of a contact person within the organization.

[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);

- authorization 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 the ~~SWG-RA~~ RG-RA.

## 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 the ~~SWG-RA~~ RG-RA with the cooperation of the technical group responsible for the technical standard.

*The Procedures Group recommends deletion of this annex in view of the Ottawa Plenary decision to disband the SWG on Strategic Planning and to present strategic planning information in the JTC 1 Business Plan.*

## Annex F:  JTC 1 Strategic Policy Statement

### F1  Introduction

This statement has been prepared and is presented by ISO/IEC JTC1 in order to establish a common understanding of its purpose. It is intended both for internal use within its own member and committee structure, and for those outside that immediate environment who have a direct or indirect interest in Information Technology Standardization. The statement presents the strategic objective of JTC 1 and then describes the rationale for that objective.

### F2  Strategic Objective

The objective for ISO/IEC JTC1 is to promote world-wide economies and efficiencies and global trade by creating an international standards environment that will enable IT suppliers to provide IT users with timely means to manage information efficiently, economically, accurately and securely.

This means that it is concerned not only with the making of standards, but also with cooperation and collaboration with other standards bodies  and with providing guidance and support for user implementation.

### F3  Rationale

Information is, and always has been, a principal basis for all enterprise, whether industrial, commercial, military, academic, political, social or artistic. From the very small business that uses information about suppliers and accounts in fairly simple mode, to the big corporation that retains and uses complex and comprehensive information on a much wider front, none could exist without the ability to manage that information.

The invention of the computer only began to impact upon the commercial world in the early nineteen-fifties and even then it took some years to gain acceptance as a commercial, as opposed to an academic and scientific, tool. In those early days, public standards were needed to aid the transfer of data via magnetic tapes and to enable programs to be usable on different equipment, but the majority of "standards" were proprietary and were designed to allow users to build different configurations with products from the same supplier.

Three major changes have influenced the use of what is now termed Information Technology, and consequently caused and continue to cause radical change to the related world of standards:

**F3.1  The Microprocessor.**  The supporting technology for computing has spawned massive reductions in the cost and size of hardware processing elements at the same time as it has increased power and sophistication. The technology has thus become readily available to non-expert individuals within organizations so that the power of the computer is available to all and not just to the technicians in the "Computer Department". This in turn has encouraged enterprises to promote IT from a background supporting role to one of essential foreground existence, and many of them would collapse if the resource were removed.

**F3.2  Communications.**  Business is increasingly interactive, and enterprises need to be able to manage their information resources within their own structure and between themselves and their trading partners. That interaction may be local or it may be across national boundaries. Telecommunications technology has been in use for much longer than IT and has established a universally accepted means of transferring information; the expansion of IT capability has in the first place vastly increased the demand on those facilities, and secondly called for more flexible mechanisms. There is thus convergence of the technologies, and the need to ensure that the technologies and the related standards develop cooperatively.

**F3.3  Open Systems.**  In the nineteen seventies, the user and supplier communities agreed on the justification for developing standards to permit the introduction of the open systems concept. Successful implementation would allow users to buy compatible products from different suppliers, thus allowing them greater freedom of choice in purchasing decisions. The suppliers recognized that this would result in more rapid market growth which

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should more than compensate for any weakening of market penetration. The result of this decision has had a massive effect on the standards programme, both in terms of its content and its modus operandi.

## F4  Standards Categories

ISO/IEC JTC1 recognizes four broad categories of standards in IT:

**F4.1  Category 1** incorporates those standards upon which application of the technology may be built. They create a technical environment to be used by those concerned with the creation of Categories 2 and 3. ISO/IEC JTC1's primary responsibility for standardization is in this category.

**F4.2  Category 2** incorporates `Generic Application Standards' and includes those standards that relate to functional service without being dedicated to a specific sectoral application. They include, for example, such standards as FTAM and MHS. Because of the close links between Categories 1 and 2, the involvement of ISO/IEC JTC1 in this category will vary from responsibility for the standard with a duty to confer with other international standards committees, to participation in work directed by others.

**F4.3  Category 3** consists of `Sectoral Application Standards'. It covers those standards that address applications that are of exclusive interest to specific enterprise sectors such as Medical Informatics or Industrial Automation. ISO/IEC JTC1 will generally have no responsibility for standards in this category; they will usually lie within the province of other international standards committees. However, with the natural expansion in this category, and its dependence upon the availability of standards in Category 2 in particular, ISO/IEC JTC1 clearly has a role to perform.

**F4.4  Category** 4 incorporates Frameworks and Reference Models that support the integration of standards work in Categories 1, 2 and 3. JTC 1 is responsible for standardization in this category.

## F5  Conclusion

All these factors indicate that every part of society has at least an indirect interest in IT standards development. There can be no company or public sector entity, or user of their products or services, that is not impacted by this work to some extent. Because of the rate of development of the technology and because of commercial pressures indicated above, there is impatience on the part of this community for standards solutions, and this demand has fragmented the standards process so that industry and user consortia have instituted their own processes to solve pressing problems. These initiatives are recognized as having weaknesses since they are not universally accepted and, indeed, are sometimes in direct competition with each other. Nevertheless they attract willing resources and make substantial progress. They form part of the environment in which JTC1 must operate.

## Annex G:  Forms

The forms included in the following pages are those used according to the procedures laid down in these directives and are referred to in the text:

**Form 3**      New work item proposal (6.2.1.2)

**Form 4**      Vote on a new work item proposal (6.2.1.3)

**Form 5**      Result of voting on a new work item proposal (6.2.1.3)

**Form 8**      Cover page of CD (12.6.1.2)

**Form 9**      Vote on JTC 1 CD (9.4.1)

**Form 10**     Explanatory report (12.6.3.9)

**Form 11**     Cover page of a JTC 1 DIS (12.7.1.2)

**Form 12**     Vote on JTC 1 DIS (12.7.1.2)

**Form 13**     Cover page of International Standard (12)

**Form 14**     Defect report form (14.4.5)

_____  Cover page of FDIS

_____  Vote on JTC 1 FDIS

_____  ~~PDISP review proforma (D5.3)~~

_____  NP Project Acceptance Criteria

_____  Business Plan Template

# NP Acceptance Criteria

**Principle for NP Acceptance:**

The existing JTC 1 Directives (cl. 6.2.1.3) require the commitment of five National Bodies; in addition the criteria (proforma) defined in this paper shall also be satisfied.

**Assumptions:**

o  That the proposed NP acceptance criteria be applied at the initialization and the approval stages.

o  That in accordance with existing procedures NP's may be initiated by SC's and or NB's.

o  That SC's shall have a business plan which defines and justifies their work program.

o  That NP's shall fall within the scope of the JTC 1 Business Plan and where applicable the SC Business Plan.

o  That when a NP is initiated the proposer shall, in addition to existing requirements, complete the new proforma and submit it along with the NP.  This proforma shall be circulated along with the NP ballot.

?   That NB's during the balloting stage understand that in case of serious doubt, giving a firm negative vote would be helpful to ensure relevance and utilization of critical resources within JTC1.

o  That JTC 1 provide input and direction to emphasize these criteria as a new approach for NP planning and NB balloting.

o  That the JTC 1 secretariat engage in modification to the JTC 1 procedures related to NP's and their balloting.

**NB Procedure for NP Ballot:**

The following proforma is proposed for providing evaluation criteria for NP acceptance.

The procedure for NB determination of a NP ballot remains as in the existing procedure at the NB level.  There is now with this proposed proforma additional information which provides raw intelligence to aid NB's in their determination. The NB's when responding to the NP shall, where possible, relate any comments to the criteria assessments made by the proposer on the Proforma.

| NEW WORK ITEM PROPOSAL - PROJECT ACCEPTANCE CRITERIA | | | |
|---|---|---|---|
| **Criterion** | | **Validity** | **Explanation** |
| **A** | **Business Requirement** | | |
| A.1 | Market Requirement | Essential | |
| | | Desirable | |
| | | Supportive | |
| A.2 | Regulatory Context | Essential | |
| | | Desirable | |
| | | Supportive | |
| | | Not Relevant | |
| **B.** | **Related Work** | | |
| B.1 | Completion/Maintenance of current standards | Yes | |
| | | No | |
| B.2 | Commitment to other organization | Yes | |
| | | No | |
| B.3 | Other sources of standards | Yes | |
| | | No | |
| **C.** | **Technical Status** | | |
| C.1 | Mature Technology | Yes | |
| | | No | |
| C.2 | Prospective Technology | Yes | |
| | | No | |
| C.3 | Models/Tools | Yes | |
| | | No | |
| **D.** | **Conformity Assessment and Interoperability** | | |
| D.1 | Conformity Assessment | Yes | |
| | | No | |
| D.2 | Interoperability | Yes | |
| | | No | |
| **D.E.** | **Other Justification** | | |

## 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 standardization 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 fora external to JTC1 to which a commitment has been made by JTC for cooperation 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 JTC1 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 standardization.

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.**  The proposer shall indicate here if conformity assessment or interoperability are relevant to the project.  If so, indicate how it is addressed in the project plan..

~~D.~~E.      **Any other aspects** of background information justifying this NP shall be indicated here.

## BUSINESS PLAN FOR JTC 1 or JTC 1/SCxx

The specific group to which this business plan relates to including the full group and or subcommittee.

## PERIOD COVERED: Beginning date – ending date

The time frame to which this submission/update relates to, indicating the month and year in full, (from - to).

## SUBMITTED BY

The name of the JTC 1 or JTC 1/SC officer (Chair or Secretariat) making the submission to the Plenary meeting.

## 1. MANAGEMENT SUMMARY

### 1.1 JTC 1 and or JTC 1 SCxx STATEMENT OF SCOPE

The current Scope of work approved for this specific group.

Should the chair 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.

### 1.2 PROJECT REPORT

At this point incorporate the existing and most current project reports highlighting total number of projects, those active, planned withdrawals, target dates etc..

### 1.3 COOPERATION AND COMPETITION

Included here an analysis of the key players in the area pertaining to JTC 1 or its SC, in order to highlight any possibility for cooperation with other JTC 1 SC's, ISO TC's 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. PERIOD REVIEW

This is the report from the chair of JTC 1 and or one of it's 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 chair 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 JTC1's success in this area.

## 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.

## 3. 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(s) afforded by the strategy and or envisioned due to trends and market developments.

*Per JTC 1 Ottawa Resolution 2*

## 3.3 WORK PROGRAMME PRIORITIES

Based on the scope, market needs, strategies, resource availability, ~~and~~ status of existing projects, and need for conformity assessment and interoperability, 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.

## Annex H:  JTC 1 Policy on Electronic Document Distribution Using the World Wide Web

*Editor's Note: The intent is to incorporate the content of JTC 1 N 5180 (or later version thereof), into this annex, as well as the URL for the on-line version.*

This annex incorporates the JTC 1 Policy on Electronic Distribution Using the World Wide Web.

# Annex I: JTC 1 Policy on Interoperability

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 (ref. Annex C of the JTC 1 directives, 3rd edition). 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 standardized 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 recognizes that interoperability is a major user requirement which can be facilitated by standardization. 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.

SGFS has the responsibility to ensure that ISPs clarify whether interoperability should be facilitated by use of that ISP, and how conformity to the ISP 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. For areas of IT which are relevant to more than one JTC 1 Subcommittee, SWG-CA should, when there is a need for such work, advise JTC 1 which Subcommittee should be given the responsibility to specify or identify the relevant assessment methodology, and which other Subcommittees should be involved in the work.

SWG-CA 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.

# ANNEX J Guidelines for API Standardization

## 0  Introduction

After two years, the following guidelines shall be re-examined in light of the experience gained.

## 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 SC22, 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 ~~are recommended~~ 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

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programming languages have incompatible requirements. The following policies ~~are recommended~~ apply:

**J2.2.1** ~~5.~~ **Where a standardization 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** ~~6.~~ **Where a standardization 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** ~~7.~~ **The use of common, standardized 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 9646:1991 and DIS 13210.)

The following policies ~~are recommended~~ apply:

**J2.3.1** ~~8.~~ **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** ~~9.~~ **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** ~~10.~~ **API conformance requirements should include sufficient level of**

specification that verification test methods can be readily derived.

**J2.3.4** ~~11.~~ **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 ~~are recommended~~ apply:

**J2.4.1** ~~12.~~ **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** ~~13.~~ **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 harmonize or address this difference.**

**J2.4.3** ~~14.~~ **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 JTCI 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 characterize 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 characterization, 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 ~~is recommended~~ applies:

**J3.1.1** ~~15.~~ **To expedite placement of future work, an NP or fast-track submission that includes an API component ~~must~~ 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) liaisons 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 ~~is recommended~~ applies:

**J3.2.1** ~~16.~~ **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 Cooperation

This annex incorporates by reference the Guide for ITU-T and ISO/IEC JTC 1 Cooperation, published jointly by ISO, IEC and ITU.

[Note**:**  The designation of this annex as Annex K is for consistency with the previous edition of these Directives, and with the reference to Annex K in the published Guide for ITU-T and ISO/IEC JTC 1 Cooperation. ~~It does not imply the existence of Annexes H through J, which are not used in this edition.~~]

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