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# **ISO/IEC Directives, Part 1 Consolidated ISO Supplement — Procedures specific to ISO**

*Directives ISO/IEC, Partie 1*

*Supplément ISO consolidé — Procédures spécifiques à l'ISO*

Eighth edition, 2017

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[Based on the thirteenth edition (2017) of the ISO/IEC Directives, Part 1]



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## INTRODUCTION TO THE CONSOLIDATED ISO SUPPLEMENT

### 0.1 What is the *Consolidated ISO Supplement*?

The ISO/IEC Directives define the basic procedures to be followed in the development of International Standards and other publications. This *Consolidated ISO Supplement* (also referred to as the “ISO Supplement”) contains both the ISO/IEC Directives, Part 1 and the procedures specific to ISO which were formerly referred to as the “ISO Supplement”.

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

Attention is also drawn to the fact that ISO/IEC JTC 1 Information technology has adopted ISO/IEC Directives, Part 1 together with the [JTC 1 Supplement](#).

### 0.2 The structure of this *Consolidated ISO Supplement*

The clause structure of the *Consolidated ISO Supplement* follows that of Part 1 of the *ISO/IEC Directives*. In order to assist in cross-referencing the texts, the ISO specific clauses are highlighted in blue under the clauses of the ISO/IEC Directives. If there is no highlighted blue text under a particular clause, it means that there are no ISO-specific clauses.

Tables and annexes beginning with “S” in this *Consolidated ISO Supplement* are all unique to ISO and do not follow the order in the *ISO/IEC Directives*. Where a reference in an ISO annex (i.e. beginning with “S”) is made to an annex in the *ISO/IEC Directives, Part 1*, this is explicitly indicated.

The following clauses that have been modified with respect to the previous edition of the ISO Supplement: [1.12.2](#), [2.1.6](#), [2.3.4](#), [2.5.3](#), [2.6.4](#), [2.6.5](#), [2.9.1](#), [2.9.3](#), [4.6](#), Annex SC, Annex SD, Annex SF, Annex SG, Annex SL, Annex SN, Annex SR, and Reference documents. The track change version of this eighth edition should be consulted for the details of the changes made ([www.iso.org/directives](http://www.iso.org/directives)).



## Foreword

The **ISO/IEC Directives** are published in two parts:

- Part 1: Procedures for the technical work
- Part 2: Principles and rules for the structure and drafting of ISO and IEC documents

Furthermore, the International Organization for Standardization (ISO), the International Electrotechnical Committee (IEC) and ISO/IEC Joint Technical Committee (JTC) 1 have published independent supplements to Part 1, which include procedures that are not common.

This part sets out the procedures to be followed within ISO and the IEC in carrying out their technical work: primarily the development and maintenance of International Standards through the activities of technical committees and their subsidiary bodies.

ISO, IEC and ISO/IEC JTC 1 provide additional guidance and tools to all those concerned with the preparation of technical documents on their respective websites ([www.iso.org/directives](http://www.iso.org/directives); [http://www.iec.ch/members\\_experts/refdocs/](http://www.iec.ch/members_experts/refdocs/) and <http://www.jtc1.org>).

This thirteenth edition incorporates changes agreed by the respective technical management boards since publication of the twelfth edition in 2016. Procedures which are not common to the ISO/IEC Directives are published separately in the ISO Supplement (also referred to as the Consolidated ISO Supplement), the IEC Supplement or the ISO/IEC JTC 1 Supplement, respectively. The Supplements are to be used in conjunction with this document.

The following clauses have been modified with respect to the previous edition: [1.9.2](#), [1.11](#), [1.12.2](#), [1.13.2](#), [2.1.3](#), [2.3.5](#), [2.5.3](#), [2.6.4](#), [2.6.5](#), [2.8.1](#), [2.10](#), [2.10.1](#), [2.10.2](#), [2.10.3](#), [2.10.4](#), [3.3.3](#), [4.1](#), [4.2.1](#), and [4.2.2](#). The track changes version of this thirteenth edition should be consulted for the details of the changes made.

These procedures have been established by ISO and IEC in recognition of the need for International Standards to be cost-effective and timely, as well as widely recognized and generally applied. In order to attain these objectives, the procedures are based on the following concepts.

### a) Current technology and project management

Within the framework of these procedures, the work may be accelerated and the task of experts and secretariats facilitated both by current technology (e.g. IT tools) and project management methods.

### b) Consensus

Consensus, which requires the resolution of substantial objections, is an essential procedural principle and a necessary condition for the preparation of International Standards that will be accepted and widely used. Although it is necessary for the technical work to progress speedily, sufficient time is required before the approval stage for the discussion, negotiation and resolution of significant technical disagreements.

For further details on the principle of “consensus”, see [2.5.6](#).

### c) Discipline

National Bodies need to ensure discipline with respect to deadlines and timetables in order to avoid long and uncertain periods of “dead time”. Similarly, to avoid re-discussion, National Bodies have the responsibility of ensuring that their technical standpoint is established taking account of all interests concerned at national level, and that this standpoint is made clear at an early stage of the work rather than, for example, at the final (approval) stage. Moreover, National Bodies need to recognize that substantial comments tabled at meetings are counter-productive, since no opportunity is available for other delegations to carry out the necessary consultations at home, without which rapid achievement of consensus will be difficult.

### **d) Cost-effectiveness**

These procedures take account of the total cost of the operation. The concept of “total cost” includes direct expenditure by National Bodies, expenditure by the offices in Geneva (funded mainly by the dues of National Bodies), travel costs and the value of the time spent by experts in working groups and committees, at both national and international level.

Opportunities for remote participation at meetings should be sought to the extent possible.

### **e) Global relevance of ISO International Standards**

It is ISO’s aim and expectation that each of its International Standards represents a worldwide consensus and responds to global market needs. In order to achieve this aim, it has been recognized that special measures are needed in particular to ensure that the needs of developing countries are taken into account in ISO’s technical work. One such measure is the inclusion of specific provisions for “twinning”, i.e. partnerships between developed and developing countries, in this ISO Supplement to the ISO/IEC Directives. (See 1.7, 1.8.1, 1.8.3, 1.9.2, 1.9.3, and 1.9.4.)

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

### **f) Committee specific procedures**

The ISO/IEC Directives (and Consolidated ISO Supplement) have been developed based on many years of experience with standards development across many committees and fields. Therefore, committees should have little, if any, need to develop committee specific procedures (CSP) (which include committee decisions which are de facto procedures). Where a committee feels that the ISO/IEC Directives (or Consolidated ISO Supplement) do not adequately address a specific issue, the committee should submit a request for a revision/expansion of the ISO/IEC Directives (or Consolidated ISO Supplement) to the ISO Technical Management Board rather than develop a committee specific procedure. In cases where a committee feels the ISO/IEC Directives (or Consolidated ISO Supplement) do not at all address a specific operational issue, the committee may develop a CSP, including a clear rationale for the procedure, and submit it for the consideration of the ISO Technical Management Board who will make every effort to respond quickly to the request.

### **g) General principles for counting votes, policy on proxy voting and exclusion of abstentions**

For votes by correspondence or during a committee meeting, a simple majority of the P-members voting is required for approval unless otherwise specified in the ISO/IEC Directives.

The committee leadership shall ensure that votes submitted in writing, in advance of a committee meeting, are considered at the meeting.

In all votes throughout the various stages of development of a deliverable, abstentions are not counted.

Proxy voting is not permitted in ISO, except in P-member twinning arrangements (see [clause 1.7](#)).

### **h) Addressing sustainability in standards**

When developing standards committees are encouraged to refer to the ISO Guide for addressing sustainability in standards (“Guide 82”) which is available at: <http://isotc.iso.org/livelink/livelink?func=ll&objId=8389141&objAction=browse&viewType=1>.

**i) Terminology used in this document**

NOTE 1 Wherever appropriate in this document, for the sake of brevity the following terminology has been adopted to represent similar or identical concepts within ISO and IEC.

Term	ISO	IEC
National Body	Member Body (MB)	National Committee (NC)
technical management board (TMB)	Technical Management Board (ISO/TMB)	Standardization Management Board (SMB)
Chief Executive Officer (CEO)	Secretary-General	General Secretary
office of the CEO	Central Secretariat (CS)	Central Office (CO)
council board	Council	Council Board (CB)
advisory group	Technical Advisory Group (TAG)	Advisory Committee
For other concepts, ISO/IEC Guide 2 applies.		

NOTE 2 In addition the following abbreviations are used in this document.

<b>JTAB</b>	Joint Technical Advisory Board
<b>JCG</b>	Joint Coordination Group
<b>JPC</b>	Joint Project Committee
<b>JTC</b>	Joint Technical Committee
<b>JWG</b>	joint working group
<b>TC</b>	technical committee
<b>SC</b>	Subcommittee
<b>PC</b>	project committee
<b>WG</b>	working group
<b>PWI</b>	preliminary work item
<b>NP</b>	new work item proposal
<b>WD</b>	working draft
<b>CD</b>	committee draft
<b>DIS</b>	draft International Standard (ISO)
<b>CDV</b>	committee draft for vote (IEC)
<b>FDIS</b>	final draft International Standard
<b>PAS</b>	Publicly Available Specification
<b>TS</b>	Technical Specification
<b>TR</b>	Technical Report



## 1 Organizational structure and responsibilities for the technical work

### 1.1 Role of the technical management board

The technical management board of the respective organization is responsible for the overall management of the technical work and in particular for:

- a) establishment of technical committees;
- b) appointment of chairs of technical committees;
- c) allocation or re-allocation of secretariats of technical committees and, in some cases, subcommittees;
- d) approval of titles, scopes and programmes of work of technical committees;
- e) ratification of the establishment and dissolution of subcommittees by technical committees;
- f) allocation of priorities, if necessary, to particular items of technical work;
- g) coordination of the technical work, including assignment of responsibility for the development of standards regarding subjects of interest to several technical committees, or needing coordinated development; to assist it in this task, the technical management board may establish advisory groups of experts in the relevant fields to advise it on matters of basic, sectoral and cross-sectoral coordination, coherent planning and the need for new work;
- h) monitoring the progress of the technical work with the assistance of the office of the CEO, and taking appropriate action;
- i) reviewing the need for, and planning of, work in new fields of technology;
- j) maintenance of the ISO/IEC Directives and other rules for the technical work;
- k) consideration of matters of principle raised by National Bodies, and of appeals concerning decisions on new work item proposals, on committee drafts, on enquiry drafts or on final draft International Standards.

NOTE 1 Explanations of the terms “new work item proposal”, “committee draft”, “enquiry draft” and “final draft International Standard” are given in [Clause 2](#).

NOTE 2 For detailed information about the role and responsibilities of the ISO technical management board, see the Terms of reference of the TMB — [http://www.iso.org/iso/home/standards\\_development/list\\_of\\_iso\\_technical\\_committees/iso\\_technical\\_committee.htm?commid=4882545](http://www.iso.org/iso/home/standards_development/list_of_iso_technical_committees/iso_technical_committee.htm?commid=4882545) and for the IEC see [http://www.iec.ch/dyn/www/f?p=103:47:0:::FSP\\_ORG\\_ID,FSP\\_LANG\\_ID:3228,25](http://www.iec.ch/dyn/www/f?p=103:47:0:::FSP_ORG_ID,FSP_LANG_ID:3228,25).

### 1.2 Advisory groups to the technical management board

#### 1.2.1 A group having advisory functions in the sense of [1.1 g\)](#) may be established

- a) by one of the technical management boards;
- b) jointly by the two technical management boards.

NOTE In IEC certain such groups are designated as Advisory Committees.

**1.2.2** A proposal to establish such a group shall include recommendations regarding its terms of reference and constitution, bearing in mind the requirement for sufficient representation of affected interests while at the same time limiting its size as far as possible in order to ensure its efficient operation. For example, it may be decided that its members be only the chairs and secretaries of the technical committees concerned. In every case, the TMB(s) shall decide the criteria to be applied and shall appoint the members.

Any changes proposed by the group to its terms of reference, composition or, where appropriate, working methods shall be submitted to the technical management boards for approval.

**1.2.3** The tasks allocated to such a group may include the making of proposals relating to the drafting or harmonization of publications (in particular International Standards, Technical Specifications, Publicly Available Specifications and Technical Reports), but shall not include the preparation of such documents unless specifically authorized by the TMB(s).

**1.2.4** Any document being prepared with a view to publication shall be developed in accordance with the procedural principles given in [Annex A](#).

**1.2.5** The results of such a group shall be presented in the form of recommendations to the TMB(s). The recommendations may include proposals for the establishment of a working group (see [1.12](#)) or a joint working group (see [1.12.6](#)) for the preparation of publications. Such working groups shall operate within the relevant technical committee, if any.

**1.2.6** The internal documents of a group having advisory functions shall be distributed to its members only, with a copy to the office(s) of the CEO(s).

**1.2.7** Such a group shall be disbanded once its specified tasks have been completed, or if it is subsequently decided that its work can be accomplished by normal liaison mechanisms (see [1.16](#)).

### **1.3 Joint technical work**

#### **1.3.1 Joint Technical Advisory Board (JTAB)**

The JTAB has the task of avoiding or eliminating possible or actual overlapping in the technical work of ISO and IEC and acts when one of the two organizations feels a need for joint planning. The JTAB deals only with those cases that it has not been possible to resolve at lower levels by existing procedures. (See [Annex B](#).) Such cases may cover questions of planning and procedures as well as technical work.

Decisions of the JTAB are communicated to both organizations for immediate implementation. They shall not be subject to appeal for at least 3 years.

#### **1.3.2 Joint Technical Committees (JTC) and Joint Project Committees (JPC)**

**1.3.2.1** JTC and JPC may be established by a common decision of the ISO/TMB and IEC/SMB, or by a decision of the JTAB.

**1.3.2.2** For JPC, one organization has the administrative responsibility. This shall be decided by mutual agreement between the two organizations.

Participation is based on the one member/country, one vote principle.

Where two National Bodies in the same country elect to participate in a JPC then one shall be identified as having the administrative responsibility. The National Body with the administrative responsibility has the responsibility of coordinating activities in their country, including the circulation of documents, commenting and voting.

Otherwise the normal procedures for project committees are followed (see [1.10](#)).

### **1.4 Role of the Chief Executive Officer**

The Chief Executive Officer of the respective organization is responsible, *inter alia*, for implementing the ISO/IEC Directives and other rules for the technical work. For this purpose, the office of the CEO arranges all contacts between the technical committees, the council board and the technical management board.

Deviations from the procedures set out in the present document shall not be made without the authorization of the Chief Executive Officers of ISO or IEC, or the ISO/IEC Joint Technical Advisory Board (JTAB), or the technical management boards for deviations in the respective organizations.

## 1.5 Establishment of technical committees

**1.5.1** Technical committees are established and dissolved by the technical management board.

**1.5.2** The technical management board may transform an existing subcommittee into a new technical committee, following consultation with the technical committee concerned.

**1.5.3** A proposal for work in a new field of technical activity which appears to require the establishment of a new technical committee may be made in the respective organization by

- a National Body;
- a technical committee or subcommittee;
- a project committee;
- a policy level committee;
- the technical management board;
- the Chief Executive Officer;
- a body responsible for managing a certification system operating under the auspices of the organization;
- another international organization with National Body membership.

**1.5.4** The proposal shall be made using the appropriate form (see Annex SJ in the Consolidated ISO Supplement to the ISO/IEC Directives and [http://www.iec.ch/standardsdev/resources/docpreparation/forms\\_templates/](http://www.iec.ch/standardsdev/resources/docpreparation/forms_templates/)), which covers

- a) the proposer;
- b) the subject proposed;
- c) the scope of the work envisaged and the proposed initial programme of work;
- d) a justification for the proposal;
- e) if applicable, a survey of similar work undertaken in other bodies;
- f) any liaisons deemed necessary with other bodies.

For additional informational details to be included in the proposals for new work, see [Annex C](#). The form shall be submitted to the office of the CEO.

**1.5.5** The office of the CEO shall ensure that the proposal is properly developed in accordance with ISO and IEC requirements (see [Annex C](#)) and provides sufficient information to support informed decision making by National Bodies. The office of the CEO shall also assess the relationship of the proposal to existing work, and may consult interested parties, including the technical management board or committees conducting related existing work. If necessary, an ad hoc group may be established to examine the proposal.

Following its review, the office of the CEO may decide to return the proposal to the proposer for further development before circulation for voting. In this case, the proposer shall make the changes suggested or provide justification for not making the changes. If the proposer does not make the changes and



requests that its proposal be circulated for voting as originally presented, the technical management board will decide on appropriate action. This could include blocking the proposal until the changes are made or accepting that it be balloted as received.

In all cases, the office of the CEO may also include comments and recommendations to the proposal form.

For details relating to justification of the proposal, see [Annex C](#).

Proposers are strongly encouraged to conduct informal consultations with other National Bodies in the preparation of proposals.

In some instances, the ISO Technical Management Board may consider it appropriate to carry out an informal exploratory enquiry.

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

**1.5.6** The proposal shall be circulated by the office of the CEO to all National Bodies of the respective organization (ISO or IEC), asking whether or not they

- a) support the establishment of a new technical committee providing a statement justifying their decision (“justification statement”), and
- b) intend to participate actively (see [1.7.1](#)) in the work of the new technical committee.

The proposal shall also be submitted to the other organization (IEC or ISO) for comment and for agreement (see [Annex B](#)).

The replies to the proposal shall be made using the appropriate form within 12 weeks after circulation. Regarding [1.5.6](#) a) above, if no such statement is provided, the positive or negative vote of a National Body will not be registered and considered.

The form for replies to the proposals has been replaced by an electronic balloting system. Replies not using the electronic balloting system will not be counted.

**1.5.7** The technical management board evaluates the replies and either

- decides the establishment of a new technical committee, provided that
  - 1) a 2/3 majority of the National Bodies voting are in favour of the proposal, and
  - 2) at least 5 National Bodies who voted in favour expressed their intention to participate actively,and allocates the secretariat (see [1.9.1](#)), or
- assigns the work to an existing technical committee, subject to the same criteria of acceptance.

**1.5.8** Technical committees shall be numbered in sequence in the order in which they are established. If a technical committee is dissolved, its number shall not be allocated to another technical committee.

**1.5.9** As soon as possible after the decision to establish a new technical committee, the necessary liaisons shall be arranged (see [1.15](#) to [1.17](#)).

**1.5.10** A new technical committee shall agree on its title and scope as soon as possible after its establishment, preferably by correspondence.



Agreement of the title and scope of the technical committee requires approval by a 2/3 majority of the P-members voting.

The scope is a statement precisely defining the limits of the work of a technical committee.

The definition of the scope of a technical committee shall begin with the words “Standardization of ...” or “Standardization in the field of ...” and shall be drafted as concisely as possible.

For recommendations on scopes, see [Annex J](#).

The agreed title and scope shall be submitted by the Chief Executive Officer to the technical management board for approval.

**1.5.11** The technical management board or a technical committee may propose a modification of the latter’s title and/or scope. The modified wording shall be established by the technical committee for approval by the technical management board.

## **1.6 Establishment of subcommittees**

**1.6.1** Subcommittees are established and dissolved by a 2/3 majority decision of the P-members of the parent committee voting, subject to ratification by the technical management board. A subcommittee may be established only on condition that a National Body has expressed its readiness to undertake the secretariat.

**1.6.2** At the time of its establishment, a subcommittee shall comprise at least 5 members of the parent technical committee having expressed their intention to participate actively (see [1.7.1](#)) in the work of the subcommittee.

**1.6.3** Subcommittees of a technical committee shall be designated in sequence in the order in which they are established. If a subcommittee is dissolved, its designation shall not be allocated to another subcommittee, unless the dissolution is part of a complete restructuring of the technical committee.

**1.6.4** The title and scope of a subcommittee shall be defined by the parent technical committee and shall be within the defined scope of the parent technical committee.

**1.6.5** The secretariat of the parent technical committee shall inform the office of the CEO of the decision to establish a subcommittee, using the appropriate form. The office of the CEO shall submit the form to the technical management board for ratification of the decision.

**1.6.6** As soon as possible after ratification of the decision to establish a new subcommittee, any liaisons deemed necessary with other bodies shall be arranged (see [1.15](#) to [1.17](#)).

## **1.7 Participation in the work of technical committees and subcommittees**

It is recognized that member bodies in developing countries often lack the resources to participate in all committees which may be carrying out work which is important for their national economy. Developing country member bodies are therefore invited to establish P-member twinning arrangements with P-members from developed countries. Under such arrangements, the lead P-member shall be the developed country member who will undertake to ensure that the views of the twinned P-member are communicated to and taken into consideration by the responsible ISO committee. The twinned P-member shall consequently also have the status of P-member (see note) and be registered as a twinned P-member by the Central Secretariat.

**NOTE** It is left to the member bodies concerned to determine the most effective way of implementing twinning. This may include for example the P-member sponsoring an expert from the twinned member body to participate in committee meetings or to act as an expert in a working group, or it may involve the P-member seeking the views of the twinned member body on particular agenda items/documents and conveying those comments to the committee, including casting a vote on behalf of the twinned member body during meetings. In order to ensure the greatest possible transparency, the twinned member body should provide its positions in writing not only to the twinning partner, but also to the committee secretariat, who should verify that proxy votes cast on behalf of the twinned member are consistent with its written positions.

The details of all twinning arrangements shall be notified to the secretariat and chair of the committee concerned, with the committee members and the office of the CEO being informed accordingly to ensure the greatest possible transparency.

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

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

For more information on twinings, see “Twinning Guidance” a link to which is provided in the Annex “Reference Documents”.

Consistent with the ISO Statutes and Rules of Procedure, correspondent and subscriber members are not eligible for P-memberships. Correspondent members of ISO may register as observers of committees but do not have the right to submit comments.

**1.7.1** All National Bodies have the right to participate in the work of technical committees and subcommittees.

In order to achieve maximum efficiency and the necessary discipline in the work, each National Body shall clearly indicate to the office of the CEO, with regard to each technical committee or subcommittee, if it intends

- to participate actively in the work, with an obligation to vote on all questions formally submitted for voting within the technical committee or subcommittee, on new work item proposals, enquiry drafts and final draft International Standards, and to contribute to meetings (**P-members**), or
- to follow the work as an observer, and therefore to receive committee documents and to have the right to submit comments and to attend meetings (**O-members**).

In ISO, National Bodies that choose to be P-members of a committee have the additional obligation to vote on all systematic review ballots under the responsibility of that committee.

A National Body may choose to be neither P-member nor O-member of a given committee, in which case it will have neither the rights nor the obligations indicated above with regard to the work of that committee. Nevertheless, all National Bodies irrespective of their status within a technical committee or subcommittee have the right to vote on enquiry drafts (see [2.6](#)) and on final draft International Standards (see [2.7](#)).

National Bodies have the responsibility to organize their national input in an efficient and timely manner, taking account of all relevant interests at their national level.

**1.7.2** Membership of a subcommittee is open to any National Body, regardless of their membership status in the parent technical committee.

Members of a technical committee shall be given the opportunity to notify their intention to become a P- or O-member of a subcommittee at the time of its establishment.

Membership of a technical committee does not imply automatic membership of a subcommittee; National Bodies shall notify their intended status in each subcommittee.

**1.7.3** A National Body may, at any time, begin or end membership or change its membership status in any technical committee or subcommittee by informing the office of the CEO and the secretariat of the committee concerned.

**1.7.4** A technical committee or subcommittee secretariat shall notify the Chief Executive Officer if a P-member of that technical committee or subcommittee

- has been persistently inactive and has failed to contribute to 2 successive technical committee/subcommittee meetings, either by direct participation or by correspondence and has failed to appoint any experts to the technical work, or
- In IEC:
  - has failed to vote on questions formally submitted for voting within the technical committee or subcommittee (see [1.7.1](#)).
- In ISO:
  - has failed to vote on over 20 % (and at least 2) of the questions formally submitted for voting on the committee internal balloting (CIB) within the technical committee or subcommittee over one calendar year (see [1.7.1](#)).

Upon receipt of such a notification, the Chief Executive Officer shall remind the National Body of its obligation to take an active part in the work of the technical committee or subcommittee. In the absence of a satisfactory response to this reminder, and upon persistent continuation of the above articulated shortcomings in required P-member behaviour, the National Body shall without exception automatically have its status changed to that of O-member. A National Body having its status so changed may, after a period of 12 months, indicate to the Chief Executive Officer that it wishes to regain P-membership of the committee, in which case this shall be granted.

NOTE This clause does not apply to the development of Guides.

**1.7.5** If a P-member of a technical committee or subcommittee fails to vote on an enquiry draft or final draft International Standard prepared by the respective committee, or in ISO on a systematic review ballot for a deliverable under the responsibility of the committee, the Chief Executive Officer shall remind the National Body of its obligation to vote. In the absence of a satisfactory response to this reminder, the National Body shall automatically have its status changed to that of O-member. A National Body having its status so changed may, after a period of 12 months, indicate to the Chief Executive Officer that it wishes to regain P-membership of the committee, in which case this shall be granted.

NOTE This clause does not apply to the development of Guides.

## **1.8 Chairs of technical committees and subcommittees**

### **1.8.1 Appointment**

Chairs of technical committees shall be nominated by the secretariat of the technical committee and approved by the technical management board, for a maximum period of 6 years, or for such shorter period as may be appropriate. Extensions are allowed, up to a cumulative maximum of 9 years.

Chairs of subcommittees shall be nominated by the secretariat of the subcommittee and approved by the technical committee for a maximum period of 6 years, or for such shorter period as may be appropriate. Extensions are allowed, up to a cumulative maximum of 9 years. Approval criterion for both appointment and extension is a 2/3 majority vote of the P-members of the technical committee.

Secretariats of technical committees or subcommittees may submit nominations for new chairs up to one year before the end of the term of existing chairs. Chairs appointed one year before shall be designated as the “chair elect” of the committee in question. This is intended to provide the chair elect an opportunity to learn before taking over as chair of a committee.

The candidates for chairmanships shall have the competencies and attributes listed in Annex SQ *Selection criteria for people leading the technical work* (see [SQ.3.1](#)).

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

### 1.8.2 Responsibilities

The chair of a technical committee is responsible for the overall management of that technical committee, including any subcommittees and working groups.

The chair of a technical committee or subcommittee shall

- a) act in a purely international capacity, divesting him- or herself of a national position; thus s/he cannot serve concurrently as the delegate of a National Body in his or her own committee;
- b) guide the secretary of that technical committee or subcommittee in carrying out his or her duty;
- c) conduct meetings with a view to reaching agreement on committee drafts (see [2.5](#));
- d) ensure at meetings that all points of view expressed are adequately summed up so that they are understood by all present;
- e) ensure at meetings that all decisions are clearly formulated and made available in written form by the secretary for confirmation during the meeting;
- f) take appropriate decisions at the enquiry stage (see [2.6](#));
- g) advise the technical management board on important matters relating to that technical committee via the technical committee secretariat. For this purpose s/he shall receive reports from the chairs of any subcommittees via the subcommittee secretariats;
- h) ensure that the policy and strategic decisions of the technical management board are implemented in the committee;
- i) ensure the establishment and ongoing maintenance of a strategic business plan covering the activities of the technical committee and all groups reporting to the technical committee, including all subcommittees;
- j) ensure the appropriate and consistent implementation and application of the committee's strategic business plan to the activities of the technical committee's or subcommittee's work programme;
- k) assist in the case of an appeal against a committee decision.

In case of unforeseen unavailability of the chair at a meeting, a session chair may be elected by the participants.

### 1.8.3 Vice-chairs (Twinning)

Committees are encouraged to establish chair/vice-chair twinning arrangements between a developed country member body and a developing country member body (with a limit of one vice-chair per committee). The lead partner (chair) and the twinned partner (vice-chair) will be decided by mutual agreement. Vice-chairs must be a P-member (i.e. any P-member whether through a twinning arrangement or not) in the committee concerned. The same rules apply for the appointment and term of chairs and vice-chairs. The delineation of responsibilities shall be decided by mutual agreement (preferably in a twinning agreement) between the chair and vice-chair, with the committee members and the office of the CEO being informed accordingly.

For more information on twinings, see “Twinning Guidance” a link to which is provided in the Annex “Reference Documents”.

## 1.9 Secretariats of technical committees and subcommittees

### 1.9.1 Allocation

The secretariat of a technical committee shall be allocated to a National Body by the technical management board.

The secretariat of a subcommittee shall be allocated to a National Body by the parent technical committee. However, if two or more National Bodies offer to undertake the secretariat of the same subcommittee, the technical management board shall decide on the allocation of the subcommittee secretariat.

For both technical committees and subcommittees, the secretariat shall be allocated to a National Body only if that National Body

- a) has indicated its intention to participate actively in the work of that technical committee or subcommittee, and
- b) has accepted that it will fulfil its responsibilities as secretariat and is in a position to ensure that adequate resources are available for secretariat work (see [D.2](#)).

Once the secretariat of a technical committee or subcommittee has been allocated to a National Body, the latter shall appoint a qualified individual as secretary (see [D.1](#) and [D.3](#)).

Secretaries shall have the competencies and attributes listed in Annex SQ *Selection criteria for people leading the technical work* (see [SQ.3.2](#)).

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

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

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

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

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

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

### 1.9.2 Responsibilities

The National Body to which the secretariat has been allocated shall ensure the provision of technical and administrative services to its respective technical committee or subcommittee.

The secretariat is responsible for monitoring, reporting, and ensuring active progress of the work, and shall use its utmost endeavour to bring this work to an early and satisfactory conclusion. These tasks shall be carried out as far as possible by correspondence.

The secretariat is responsible for ensuring that the ISO/IEC Directives and the decisions of the technical management board are followed.

A secretariat shall act in a purely international capacity, divesting itself of a national point of view.

The secretariat is responsible for the following to be executed in a timely manner:

a) Working documents:

- 1) Preparation of committee drafts, arranging for their distribution and the treatment of the comments received;
- 2) Preparation of enquiry drafts and text for the circulation of the final draft International Standards or publication of International Standards;
- 3) Ensuring the equivalence of the English and French texts, if necessary with the assistance of other National Bodies that are able and willing to take responsibility for the language versions concerned. (See also [1.11](#) and the respective Supplements to the ISO/IEC Directives);

b) Project management

- 1) Assisting in the establishment of priorities and target dates for each project;
- 2) Notifying the names, etc. of all working group and maintenance team convenors and project leaders to the office of the CEO;
- 3) Proposing proactively the publication of alternative deliverables or cancellation of projects that are running significantly overtime, and/or which appear to lack sufficient support;

c) Meetings (see also [Clause 4](#)), including:

- 1) Establishment of the agenda and arranging for its distribution;
- 2) Arranging for the distribution of all documents on the agenda, including reports of working groups, and indicating all other documents which are necessary for discussion during the meeting (see [E.5](#));
- 3) Regarding the decisions (also referred to as resolutions) taken in a meeting:
  - ensuring that the decisions endorsing working groups recommendations contain the specific elements being endorsed;
  - making the decisions available in writing for confirmation during the meeting (see [E.5](#)); and
  - posting the decisions within 48 hours after the meeting in the committee's electronic folder.
- 4) Preparation of the minutes of meetings to be circulated within 4 weeks after the meeting;
- 5) Preparation of reports to the technical management board (TC secretariat), in the IEC within 4 weeks after the meeting, or to the parent committee (SC secretariat);

d) Advising

Providing advice to the chair, project leaders, and convenors on procedures associated with the progression of projects.

In all circumstances, each secretariat shall work in close liaison with the chair of its technical committee or subcommittee.



The secretariat of a technical committee shall maintain close contact with the office of the CEO and with the members of the technical committee regarding its activities, including those of its subcommittees and working groups.

The secretariat of a subcommittee shall maintain close contact with the secretariat of the parent technical committee and as necessary with the office of the CEO. It shall also maintain contact with the members of the subcommittee regarding its activities, including those of its working groups.

The secretariat of a technical committee or subcommittee shall update in conjunction with the office of the CEO the record of the status of the membership of the committee.

The office of the CEO shall also maintain a register of the membership of its working groups.

Member bodies are encouraged to establish secretariat/co-secretariat twinning arrangements between a developed country member body and a developing country member body (with a limit of one co-secretariat per committee). The lead partner (secretariat) and the twinned partner (co-secretariat) will be decided by mutual agreement. Co-secretariats must be from member bodies holding P-membership in the committee concerned (either directly or via a twinning arrangement). The same rules apply for the allocation of secretariats and co-secretariats, as well as secretaries and co-secretaries. The delineation of responsibilities shall be decided by mutual agreement between the member bodies concerned, with the committee members and the office of the CEO being informed accordingly.

For more information on twinings, see “Twinning Guidance” a link to which is provided in the Annex “Reference Documents”.

### 1.9.3 Change of secretariat of a technical committee

If a National Body wishes to relinquish the secretariat of a technical committee, the National Body concerned shall immediately inform the Chief Executive Officer, giving a minimum of 12 months' notice. The technical management board decides on the transfer of the secretariat to another National Body.

If the secretariat of a technical committee persistently fails to fulfil its responsibilities as set out in these procedures, the Chief Executive Officer or a National Body may have the matter placed before the technical management board, which may review the allocation of the secretariat with a view to its possible transfer to another National Body.

When a member body wishing to relinquish a secretariat has entered into a twinning arrangement with a member body in a developing country, the ISO/TMB shall decide whether to offer the secretariat to the latter or whether to apply the normal procedure for reallocation of the secretariat in 1.9.1.

### 1.9.4 Change of secretariat of a subcommittee

If a National Body wishes to relinquish the secretariat of a subcommittee, the National Body concerned shall immediately inform the secretariat of the parent technical committee, giving a minimum of 12 months' notice.

If the secretariat of a subcommittee persistently fails to fulfil its responsibilities as set out in these procedures, the Chief Executive Officer or a National Body may have the matter placed before the parent technical committee, which may decide, by majority vote of the P-members, that the secretariat of the subcommittee should be re-allocated.

In either of the above cases an enquiry shall be made by the secretariat of the technical committee to obtain offers from other P-members of the subcommittee for undertaking the secretariat.

If two or more National Bodies offer to undertake the secretariat of the same subcommittee or if, because of the structure of the technical committee, the re-allocation of the secretariat is linked with the re-allocation of the technical committee secretariat, the technical management board decides on the re-allocation of the subcommittee secretariat. If only one offer is received, the parent technical committee itself proceeds with the appointment.

When a member body wishing to relinquish a secretariat has entered into a twinning arrangement with a member body in a developing country, the normal procedure for reallocation of the secretariat shall be carried out (see [1.9.1](#)).

### 1.10 Project committees

Project committees are established by the technical management board to prepare individual standards not falling within the scope of an existing technical committee.

NOTE Such standards carry one reference number but may be subdivided into parts.

Procedures for project committees are given in [Annex K](#).

Project committees wishing to be transformed into a technical committee shall follow the process for the establishment of a new technical committee (see [1.5](#)).

### 1.11 Editing committees

It is recommended that committees establish one or more editing committees for the purpose of updating and editing committee drafts, enquiry drafts and final draft International Standards and for ensuring their conformity to the ISO/IEC Directives, Part 2 (see also [2.6.6](#)).

Such committees should comprise at least

- one technical expert of English mother tongue and having an adequate knowledge of French;
- one technical expert of French mother tongue and having an adequate knowledge of English;
- the project leader (see [2.1.8](#)).

The project leader and/or secretary may take direct responsibility for one of the language versions concerned.

Editing committees shall meet when required by the respective technical committee or subcommittee secretariat for the purpose of updating and editing drafts which have been accepted by correspondence for further processing.

Editing committees shall be equipped with means of processing and providing texts electronically (see also [2.6.6](#)).

### 1.12 Working groups

**1.12.1** Technical committees or subcommittees may establish working groups for specific tasks (see [2.4](#)). A working group shall report to its parent technical committee or subcommittee through a convenor appointed by the parent committee.

Working group convenors shall be appointed by the committee for up to three-year terms ending at the next plenary session of the parent committee following the term. Such appointments shall be confirmed by the National Body (or liaison organization). The convenor may be reappointed for additional terms of up to three-years. There is no limit to the number of terms.

Responsibility for any changes of convenors rests with the committee and not with the National Body (or liaison organization).

The convenor may be supported by a secretariat, as needed.

Committees are encouraged to establish convenor/co-convenor twinning arrangements between a developed country member body and a developing country member body (with a limit of one co-convenor per working group). The lead partner (convenor) and twinned partner (co-convenor) will be decided by mutual agreement. Convenors and co-convenors must be from the P-members in the committee



concerned (either directly or via a twinning arrangement). The same rules apply for the appointment of co-convenors and convenors. The delineation of responsibilities shall be decided by mutual agreement (preferably in a twinning agreement) between the convenor and co-convenor, with the parent committee and the office of the CEO being informed accordingly.

Note that co-convenors are only possible through twinning arrangements and Joint Working Groups (JWG) — see [1.12.6](#).

For more information on twinings, see “Twinning Guidance” a link to which is provided in the Annex “Reference documents”.

A working group comprises a restricted number of experts individually appointed by the P-members, A-liaisons of the parent committee and D-liaison organizations, brought together to deal with the specific task allocated to the working group. The experts act in a personal capacity and not as the official representative of the P-member or A-liaison organization (see [1.17](#)) by which they have been appointed with the exception of those appointed by D-liaison organizations (see [1.17](#)). However, it is recommended that they keep close contact with that P-member or organization in order to inform them about the progress of the work and of the various opinions in the working group at the earliest possible stage.

It is recommended that working groups be reasonably limited in size. The technical committee or subcommittee may therefore decide upon the maximum number of experts appointed by each P-member and liaison organizations.

Once the decision to set up a working group has been taken, P-members and A- and D-liaison organizations shall be officially informed in order to appoint expert(s). Working groups shall be numbered in sequence in the order in which they are established.

When a committee has decided to set up a working group, the convenor or acting convenor shall immediately be appointed and shall arrange for the first meeting of the working group to be held within 12 weeks. This information shall be communicated immediately after the committee’s decision to the P-members of the committee and A- and D-liaison organizations, with an invitation to appoint experts within 6 weeks.

**1.12.2** The composition of the working group is defined in the ISO Global Directory (GD) or in the IEC Expert Management System (EMS) as appropriate. Experts not registered to a working group in the ISO GD or the IEC EMS respectively, may not participate in its work.

**1.12.3** Persistently inactive experts, meaning absence of contributions through attendance to working group meetings or by correspondence shall be removed, by the office of the CEO at the request of the technical committee or sub-committee secretary, from working groups after consultation with the P-member.

**1.12.4** On completion of its task(s) — normally at the end of the enquiry stage (see [2.6](#)) of its last project — the working group shall be disbanded, the project leader remaining with consultant status until completion of the publication stage (see [2.8](#)).

**1.12.5** Distribution of the internal documents of a working group and of its reports shall be carried out in accordance with procedures described in the respective Supplements of the ISO/IEC Directives.

**1.12.6** In special cases a joint working group (JWG) may be established to undertake a specific task in which more than one ISO and/or IEC technical committee or subcommittee is interested. Committees who receive requests to establish JWG shall reply to such requests in a timely manner.

NOTE For specific rules concerning JWGs between ISO committees and IEC committees, see [Annex B](#) in addition to the following.

The decision to establish a joint working group shall be accompanied by mutual agreement between the committees on:

- the committee/organization having the administrative responsibility for the project;
- the convenor of the joint working group, who shall be nominated by a P-member from one of the committees, with the option to appoint a co-convenor from the other committee;
- the membership of the joint working group (membership may be open to all P-members and category A-, C- (JTC 1 only) and D-liaisons that wish to participate which may be limited to an equal number of representatives from each committee, if agreed).

The committee/organization with the administrative responsibility for the project shall:

- record the project in their programme of work;
- be responsible for addressing comments (usually referred back to the JWG) and ensure that the comments and votes at all stages of the project are compiled and handled appropriately (see [2.5](#), [2.6](#) and [2.7](#)) — all comments are made available to the leadership of the committees;
- prepare drafts for the committee, enquiry and approval stages according to procedures given in [2.5](#), [2.6](#) and [2.7](#);
- be responsible for maintenance of the publication.

Approval criteria are based on the Directives used by the committee with the administrative lead. If the lead committee is a JTC 1 committee, the Consolidated JTC 1 Supplement also applies.

For proposal stage (NP)

- For ISO/ISO, only one NP ballot is needed — if a NP has already been launched or approved in one committee, it cannot be balloted again in another TC, but two (2) NP are launched for ISO/IEC JWG [one (1) in each organization].
- It is possible to establish a JWG at a later stage, in which case its administrative lead will be confirmed by the TCs concerned.
- Once the joint work is agreed, the committee with the administrative lead informs ISO/CS or IEC/CO respectively, of its lead and of the committees participating in the work.
- The other TCs launch a call for experts for participation in the JWG.

For preparatory stage (WD)

- The JWG functions like any other WG: consensus is required to advance to CD.

For committee stage (CD)

- The CD is circulated for review and comment by each committee.
- The final CD requires consensus by all committees, as defined in the ISO/IEC Directives, Part 1

For DIS and FDIS ballots

- National Bodies are requested to consult all national mirror committees involved to define one position. A statement is included on the cover page to draw attention of NSBs.
- For an ISO/IEC JWG, two DIS/FDIS votes are launched, i.e. one in each organization.

The Foreword identifies all committees involved in the development of the deliverable.

### 1.13 Groups having advisory functions within a committee

**1.13.1** A group having advisory functions may be established by a technical committee or subcommittee to assist the chair and secretariat in tasks concerning coordination, planning and steering of the committee's work or other specific tasks of an advisory nature.

**1.13.2** A proposal to establish such a group shall include recommendations regarding its constitution, bearing in mind the requirement for sufficient representation of affected interests while at the same time limiting its size as far as possible in order to ensure its efficient operation. Members of advisory groups shall be nominated by National Bodies or, as relevant, by A-liaison organizations. The parent committee shall approve the final constitution.

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

**1.13.3** The tasks allocated to such a group may include the making of proposals relating to the drafting or harmonization of publications (in particular International Standards, Technical Specifications, Publicly Available Specifications and Technical Reports), but shall not include the preparation of such documents.

**1.13.4** The results of such a group shall be presented in the form of recommendations to the body that established the group. The recommendations may include proposals for the establishment of a working group (see [1.12](#)) or a joint working group (see [1.12.6](#)) for the preparation of publications.

**1.13.5** The internal documents of a group having advisory functions shall be distributed to its members only, with a copy to the secretariat of the committee concerned and to the office of the CEO.

**1.13.6** Such a group shall be disbanded once its specified tasks have been completed.

### 1.14 Ad hoc groups

Technical committees or subcommittees may establish ad hoc groups, the purpose of which is to study a precisely defined problem on which the group reports to its parent committee at the same meeting, or at the latest at the next meeting.

The membership of an ad hoc group shall be chosen from the delegates present at the meeting of the parent committee, supplemented, if necessary, by experts appointed by the committee. The parent committee shall also appoint a rapporteur.

An ad hoc group shall be automatically disbanded at the meeting to which it has presented its report.

### 1.15 Liaison between technical committees

See Annex SH concerning coordination of the standardization of graphical symbols.

**1.15.1** Within each organization, technical committees and/or subcommittees working in related fields shall establish and maintain liaison. Liaisons shall also be established, where appropriate, with technical committees responsible for basic aspects of standardization (e.g. terminology, graphical symbols). Liaison shall include the exchange of basic documents, including new work item proposals and working drafts.

Committees may pass a resolution to decide on the establishment of an internal liaison. Committees receiving requests for internal liaisons cannot refuse such requests and there is no need for the committee receiving the request to pass a resolution confirming its acceptance.

**1.15.2** The maintenance of such liaison is the responsibility of the respective technical committee secretariats, which may delegate the task to the secretariats of the subcommittees.

**1.15.3** A technical committee or subcommittee may designate an observer, or observers, to follow the work of another technical committee with which a liaison has been established, or one or several of its subcommittees. The designation of such observers shall be notified to the secretariat of the committee concerned, which shall communicate all relevant documents to the observer or observers and to the secretariat of that technical committee or subcommittee. The appointed observer shall make progress reports to the secretariat by which s/he has been appointed.

**1.15.4** Such observers shall have the right to participate in the meetings of the technical committee or subcommittee 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 comments, on matters within the competence of their own technical committee and based on feedback that they have collected from their own committee. They may also attend meetings of working groups of the technical committee or subcommittee, but only to contribute the viewpoint of their own technical committee on matters within its competence, and not to otherwise participate in working group activities.

## **1.16 Liaison between ISO and IEC**

**1.16.1** Arrangements for adequate liaison between ISO and IEC technical committees and subcommittees are essential. The channel of correspondence for the establishment of liaison between ISO and IEC technical committees and subcommittees is through the offices of the CEOs. As far as the study of new subjects by either organization is concerned, the CEOs seek agreement between the two organizations whenever a new or revised programme of work is contemplated in the one organization which may be of interest to the other, so that the work will go forward without overlap or duplication of effort. (See also [Annex B](#).)

**1.16.2** Observers designated by ISO or IEC shall have the right to participate in the discussions of the other organization's technical committee or subcommittee whose work they have been designated to follow, and may submit written comments; they shall not have the right to vote.

## **1.17 Liaison with other organizations**

### **1.17.1 General requirements applicable to all categories of liaisons**

In order to be effective, liaison shall operate in both directions, with suitable reciprocal arrangements.

The desirability of liaison shall be taken into account at an early stage of the work.

The liaison organization shall accept the policy based on the ISO/IEC Directives concerning copyright (see [2.13](#)), whether owned by the liaison organization or by other parties. The statement on copyright policy will be provided to the liaison organization with an invitation to make an explicit statement as to its acceptability. The liaison organization is not entitled to charge a fee for documents submitted.

A liaison organization shall be willing to make a contribution to the technical work of ISO or IEC as appropriate. A liaison organization shall have a sufficient degree of representativity within its defined area of competence within a sector or subsector of the relevant technical or industrial field.

A liaison organization shall agree to ISO/IEC procedures, including IPR (see [2.13](#)).

Liaison organizations shall accept the requirements of [2.14](#) on patent rights.

Technical committees and subcommittees shall review all their liaison arrangements on a regular basis, at least every 2 years, or at every committee meeting.

### 1.17.2 Different categories of liaisons

#### 1.17.2.1 At the technical committee/subcommittee level (Category A and B liaisons)

The categories of liaisons at the technical committee/subcommittee levels are:

- **Category A:** Organizations that make an effective contribution to the work of the technical committee or subcommittee for questions dealt with by this technical committee or subcommittee. Such organizations are given access to all relevant documentation and are invited to meetings. They may nominate experts to participate in a WG (see [1.12.1](#)).
- **Category B:** Organizations that have indicated a wish to be kept informed of the work of the technical committee or subcommittee. Such organizations are given access to reports on the work of a technical committee or subcommittee.

NOTE Category B is reserved for inter-governmental organizations.

#### 1.17.2.2 At the working group level (Category D liaisons)

The category of liaisons at the working group level is:

- **Category D**<sup>1)</sup>: Organizations that make a technical contribution to and participate actively in the work of a working group. This can include manufacturer associations, commercial associations, industrial consortia, user groups and professional and scientific societies. Liaison organizations shall be multinational (in their objectives and standards development activities) with individual, company or country membership and may be permanent or transient in nature.

### 1.17.3 Eligibility

#### 1.17.3.1 At the technical committee/subcommittee level (Category A and B liaisons)

When an organization applies for a liaison with a technical committee/subcommittee, the office of the CEO will check with the member body in the country in which the organization is located. If the member body does not agree that the eligibility criteria have been met, the matter will be referred to the TMB to define the eligibility.

The office of the CEO will also ensure that the organization meets the following eligibility criteria:

- it is not-for-profit;
- is a legal entity — the office of the CEO will request a copy of its statutes;
- it is membership-based and open to members worldwide or over a broad region;
- through its activities and membership demonstrates that it has the competence and expertise to contribute to the development of International Standards or the authority to promote their implementation; and
- has a process for stakeholder engagement and consensus decision-making to develop the input it provides (in ISO, see Guidance for ISO liaison organizations — Engaging stakeholders and building consensus [http://www.iso.org/iso/guidance\\_liaison-organizations.pdf](http://www.iso.org/iso/guidance_liaison-organizations.pdf)).

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1) Category C liaison is reserved for ISO/IEC JTC 1.

#### **1.17.3.2 At the working group level (Category D liaisons)**

When an organization applies for a liaison with a working group, the office of the CEO will check with the member body in the country in which the organization is located and will ensure that the organization meets the following eligibility criteria:

- it is not-for-profit;
- through its activities and membership demonstrates that it has the competence and expertise to contribute to the development of International Standards or the authority to promote their implementation; and
- has a process for stakeholder engagement and consensus decision-making to develop the input it provides (in ISO, see Guidance for ISO liaison organizations — Engaging stakeholders and building consensus [http://www.iso.org/iso/guidance\\_liaison-organizations.pdf](http://www.iso.org/iso/guidance_liaison-organizations.pdf)).

#### **1.17.4 Acceptance (Category A, B and D liaisons)**

Agreement to establish category A, B and D liaisons requires approval of the application by two-thirds of the P-members voting.

Committees are urged to seek out the participation of all parties at the beginning of the development of a work item. Where a request for category D liaison is submitted late in the development stage of a particular work item, the P-members will consider the value that can be added by the organization in question despite its late involvement in the working group.

#### **1.17.5 Rights and obligations**

##### **1.17.5.1 At the technical committee/subcommittee level (Category A and B liaisons)**

Technical committees and subcommittees shall seek the full and, if possible, formal backing of the organizations having liaison status for each document in which the latter is interested.

Any comments from liaison organizations should be given the same treatment as comments from member bodies. It should not be assumed that refusal by a liaison organization to provide its full backing is a sustained opposition. Where such objections are considered sustained oppositions, committees are invited to refer to [clause 2.5.6](#) for further guidance.

##### **1.17.5.2 At the working group level (Category D liaisons)**

Category D liaison organizations have the right to participate as full members in a working group, maintenance team or project team (see [1.12.1](#)) but not as project leaders or convenors.

Category D liaison experts act as the official representative of the organization by which they are appointed. They may only attend committee plenary meetings if expressly invited by the committee to attend. If they are invited by the committee to attend, they may only attend as observers.

#### **1.17.6 Carrying over liaisons when a project committee is converted into a technical committee or a subcommittee**

When a project committee is converted to a technical committee or a subcommittee, the new technical committee or subcommittee shall pass a resolution confirming which category A and B liaisons are carried over. Approval of the resolution requires a 2/3 majority of P-members voting.



## 2 Development of International Standards

### 2.1 The project approach

#### 2.1.1 General

The primary duty of a technical committee or subcommittee is the development and maintenance of International Standards. However, committees are also strongly encouraged to consider publication of intermediate deliverables as described in [Clause 3](#).

International Standards shall be developed on the basis of a project approach as described below.

#### 2.1.2 Strategic business plan

Annex SC describes the objectives of strategic business plans, and the procedure that applies to their development and approval.

Each technical committee shall prepare a strategic business plan for its own specific field of activity,

- a) taking into account the business environment in which it is developing its work programme;
- b) indicating those areas of the work programme which are expanding, those which have been completed, and those nearing completion or in steady progress, and those which have not progressed and should be deleted (see also [2.1.9](#));
- c) evaluating revision work needed (see also the respective Supplements to the ISO/IEC Directives);
- d) giving a prospective view on emerging needs.

The strategic business plan shall be formally agreed upon by the technical committee and be included in its report for review and approval by the technical management board on a regular basis.

**NOTE** In ISO, the TMB approves the first strategic business plan only and committees are responsible for ensuring regular updates and revisions.

#### 2.1.3 Project stages

**2.1.3.1** [Table 1](#) shows the sequence of project stages through which the technical work is developed, and gives the name of the document associated with each project stage. The development of Technical Specifications, Technical Reports and Publicly Available Specifications is described in [Clause 3](#).

**Table 1 — Project stages and associated documents**

Project stage	Associated document	
	Name	Abbreviation
<b>Preliminary stage</b>	Preliminary work item <sup>a</sup>	PWI
<b>Proposal stage</b>	New work item proposal <sup>a</sup>	NP
<b>Preparatory stage</b>	Working draft(s) <sup>a</sup>	WD
<b>Committee stage</b>	Committee draft(s) <sup>a</sup>	CD
<b>Enquiry stage</b>	Enquiry draft <sup>b</sup>	ISO/DIS IEC/CDV
<b>Approval stage</b>	final draft International Standard <sup>c</sup>	FDIS
<b>Publication stage</b>	International Standard	ISO, IEC or ISO/IEC
<sup>a</sup> These stages may be omitted, as described in <a href="#">Annex F</a> .		
<sup>b</sup> Draft International Standard in ISO, committee draft for vote in IEC.		
<sup>c</sup> May be omitted (see <a href="#">2.6.4</a> ).		

**2.1.3.2** [E1](#) illustrates the steps leading to publication of an International Standard.

**2.1.3.3** The ISO and IEC Supplements to the ISO/IEC Directives give a matrix presentation of the project stages, with a numerical designation of associated sub-stages.

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

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

### **2.1.4 Project description and acceptance**

A project is any work intended to lead to the issue of a new, amended or revised International Standard. A project may subsequently be subdivided (see also [2.1.5.4](#)).

A project shall be undertaken only if a proposal has been accepted in accordance with the relevant procedures (see [2.3](#) for proposals for new work items, and the respective Supplements to the ISO/IEC Directives for review and maintenance of existing International Standards).

### **2.1.5 Programme of work**

**2.1.5.1** The programme of work of a technical committee or subcommittee comprises all projects allocated to that technical committee or subcommittee, including maintenance of published standards.

**2.1.5.2** In establishing its programme of work, each technical committee or subcommittee shall consider sectoral planning requirements as well as requests for International Standards initiated by sources outside the technical committee, i.e. other technical committees, advisory groups of the technical management board, policy level committees and organizations outside ISO and IEC. (See also [2.1.2](#).)

**2.1.5.3** Projects shall be within the agreed scope of the technical committee. Their selection shall be subject to close scrutiny in accordance with the policy objectives and resources of ISO and IEC. (See also [Annex C](#).)

**2.1.5.4** Each project in the programme of work shall be given a number (see IEC Supplements to the ISO/IEC Directives for document numbering at the IEC) and shall be retained in the programme of work under that number until the work on that project is completed or its deletion has been agreed upon. The technical committee or subcommittee may subdivide a number if it is subsequently found necessary to subdivide the project itself. The subdivisions of the work shall lie fully within the scope of the original project; otherwise, a new work item proposal shall be made.

**2.1.5.5** The programme of work shall indicate, if appropriate, the subcommittee and/or working group to which each project is allocated.

**2.1.5.6** The agreed programme of work of a new technical committee shall be submitted to the technical management board for approval.



### 2.1.6 Target dates

The technical committee or subcommittee shall establish, for each project on its programme of work, target dates for the completion of each of the following steps:

- completion of the first working draft (in the event that only an outline of a working document has been provided by the proposer of the new work item proposal — see [2.3](#));
- circulation of the first committee draft;
- circulation of the enquiry draft;
- circulation of the final draft International Standard (in agreement with the office of the CEO);
- publication of the International Standard (in agreement with the office of the CEO).

**NOTE** Committees may decide to skip the committee draft (CD) stage in accordance with Annex SS. The final draft International Standard (FDIS) is now skipped by default in accordance with [2.6.4](#).

These target dates shall correspond to the shortest possible development times to produce International Standards rapidly and shall be reported to the office of the CEO, which distributes the information to all National Bodies. For establishment of target dates, see the respective Supplements to the ISO/IEC Directives.

In establishing target dates, the relationships between projects shall be taken into account. Priority shall be given to those projects intended to lead to International Standards upon which other International Standards will depend for their implementation. The highest priority shall be given to those projects having a significant effect on international trade and recognized as such by the technical management board.

The technical management board may also instruct the secretariat of the technical committee or subcommittee concerned to submit the latest available draft to the office of the CEO for publication as a Technical Specification (see [3.1](#)).

All target dates shall be kept under continuous review and amended as necessary, and shall be clearly indicated in the programme of work. Revised target dates shall be notified to the technical management board. The technical management board will cancel all work items which have been on the work programme for more than 5 years and have not reached the approval stage (see [2.7](#)).

#### 2.1.6.1 General

When a proposed new project is approved (whether for a new deliverable or for the revision of an existing deliverable), when submitting the results to the ISO Central Secretariat the committee secretariat shall also indicate the selected standards development track, as follows [all target dates are calculated from the date of adoption as an approved project, AWI (approved work item), stage 10.99]:

**NOTE** The deadlines for the various stages within the development tracks shall be established on a case-by-case basis.

**SDT 18 standards development track — 18 months to publication**

**SDT 24 standards development track — 24 months to publication**

**SDT 36 standards development track — 36 months to publication**

**SDT 48 standards development track — 48 months to publication**

**NOTE** Projects using the 18-month development track shall be eligible for the 'Direct publication process' offered by ISO/CS if they successfully complete the DIS ballot within 13 months of the project's registration. This process reduces publication processing time by approximately one third.

Committee secretariats are reminded to perform risk assessments during project planning in order to identify potential problems in advance and set the target dates accordingly. The target dates shall be kept under continuous review by committee secretariats which shall ensure that they are reviewed and either confirmed or revised at each committee meeting. Such reviews shall also seek to confirm that projects are still market relevant and in cases in which they are found to be no longer required, or if the likely completion date is going to be too late, thus causing market players to adopt an alternative solution, the projects shall be cancelled or transformed into another deliverable (see 2.1.6.2).

**NOTE** Time spent on round-robin testing during the development of a standard shall not be counted in the overall development time. The standards development track is paused on request from the secretariat to ISO/CS during round-robin testing.

#### **2.1.6.2 Automatic cancellation of projects (and their reinstatement)**

If the target date for DIS (stage 40.00) or publication (stage 60.60) is exceeded, the committee shall decide within 6 months on one of the following actions:

- a) projects at the preparatory or committee stages: submission of a DIS — if the technical content is acceptable and mature; projects at the enquiry stage: submission of a second DIS or FDIS — if the technical content is acceptable and mature;
- b) publication of a TS — if the technical content is acceptable but unlikely sufficiently mature for a future International Standard;
- c) publication of a PAS — if the technical content is acceptable but unlikely sufficiently mature for a future International Standard or a TS;
- d) publication of a TR — if the technical content is not considered to be acceptable for publication as a TS or for a future International Standard, is informative in nature and is considered to be of interest to the public;
- e) submission of a request for extension to the ISO/TMB — if no consensus can be reached but there is strong interest from stakeholders to continue — a committee may be granted one extension of up to 9 months for the total project duration but the publication of intermediary deliverables (such as PAS and TS) is recommended;
- f) deletion of the work item — if the committee is unable to find a solution.

If, at the end of the six month period, none of the above actions has been taken, the project shall be automatically cancelled by the ISO Central Secretariat. Projects so deleted may only be reinstated with the approval of the ISO Technical Management Board.

#### **2.1.7 Project management**

The secretariat of the technical committee or subcommittee is responsible for the management of all projects in the programme of work of that technical committee or subcommittee, including monitoring of their progress against the agreed target dates.

If target dates (see 2.1.6) are not met and there is insufficient support for the work (that is, the acceptance requirements for new work given in 2.3.5 are no longer met), the committee responsible shall cancel the work item.

#### **2.1.8 Project leader**

For the development of each project, a project leader (the WG convenor, a designated expert or, if appropriate, the secretary) shall be appointed by the technical committee or subcommittee, taking into account the project leader nomination made by the proposer of the new work item proposal (see 2.3.4). It shall be ascertained that the project leader will have access to appropriate resources for carrying out the development work. The project leader shall act in a purely international capacity, divesting him- or

herself of a national point of view. The project leader should be prepared to act as consultant, when required, regarding technical matters arising at the proposal stage through to the publication stage (see [2.5](#) to [2.8](#)).

The secretariat shall communicate the name and address of the project leader, with identification of the project concerned, to the office of the CEO.

#### **2.1.9 Progress control**

Periodical progress reports to the technical committee shall be made by its subcommittees and working groups (see also ISO and IEC Supplements to the ISO/IEC Directives). Meetings between their secretariats will assist in controlling the progress.

The office of the CEO shall monitor the progress of all work and shall report periodically to the technical management board. For this purpose, the office of the CEO shall receive copies of documents as indicated in the ISO and IEC Supplements to the ISO/IEC Directives.

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

#### **2.1.10 Responsibility for keeping records**

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

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

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

### **2.2 Preliminary stage**

**2.2.1** Technical committees or subcommittees may introduce into their work programmes, by a simple majority vote of their P-members, preliminary work items (for example, corresponding to subjects dealing with emerging technologies), which are not yet sufficiently mature for processing to further stages and for which no target dates can be established.

Such items may include, for example, those listed in the strategic business plan, particularly as given under [2.1.2 d](#)) giving a prospective view on emerging needs.

**2.2.2** All preliminary work items shall be registered into the programme of work.

**2.2.3** All preliminary work items shall be subject to regular review by the committee. The committee shall evaluate the market relevance and resources required for all such items.

All preliminary work items that have not progressed to the proposal stage in the IEC by the expiration date given by the TC/SC and in ISO within 3 years will be automatically deleted from the programme of work.

**2.2.4** This stage can be used for the elaboration of a new work item proposal (see [2.3](#)) and the development of an initial draft.

**2.2.5** Before progressing to the preparatory stage, all such items shall be subject to approval in accordance with the procedures described in [2.3](#).

## **2.3 Proposal stage**

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

**2.3.1** A new work item proposal (NP) is a proposal for:

- a new standard;
- a new part of an existing standard;
- a Technical Specification (see [3.1](#)) or a Publicly Available Specification (see [3.2](#)).

The NP stage ([clause 2.3](#)) is not required for the revision or amendment of an existing standard or a TS (or a PAS if within its 6 year lifespan) provided that the committee passes a resolution containing the following elements: 1) target dates, 2) confirmation of scope, and 3) the convenor or project leader. The committee must however launch a call for experts. (Form 4 is not required).

If the revision or the amendment results in an expanded scope, [2.3](#) applies (NP ballot shall be initiated and Form 4 is required).

**2.3.2** A new work item proposal within the scope of an existing technical committee or subcommittee may be made in the respective organization by

- a National Body;
- the secretariat of that technical committee or subcommittee;
- another technical committee or subcommittee;
- an organization in category A liaison;
- the technical management board or one of its advisory groups;
- the Chief Executive Officer.

**2.3.3** Where both an ISO and an IEC technical committee are concerned, the Chief Executive Officers shall arrange for the necessary coordination. (See also [Annex B](#).)

**2.3.4** Each new work item proposal shall be presented using the appropriate form, and shall be fully justified and properly documented (see [Annex C](#)).

The proposers of the new work item proposal shall

- make every effort to provide a first working draft for discussion, or shall at least provide an outline of such a working draft;
- nominate a project leader;

- discuss the proposal with the committee leadership prior to submitting the appropriate form, in order to decide on an appropriate development track (based on market needs) and draft a project plan including key milestones and the proposed date of the first meeting.

The form shall be submitted to the office of the CEO or to the secretariat of the relevant committee for proposals within the scope of an existing committee.

The office of the CEO or the relevant committee chair and secretariat shall ensure that the proposal is properly developed in accordance with ISO and IEC requirements (see [Annex C](#)) and provides sufficient information to support informed decision making by National Bodies.

The office of the CEO or the relevant committee chair and secretariat shall also assess the relationship of the proposal to existing work, and may consult interested parties, including the technical management board or committees conducting related existing work. If necessary, an ad hoc group may be established to examine the proposal. Any review of proposals should not exceed 2 weeks.

In all cases, the office of the CEO or the relevant committee chair and secretariat may also add comments and recommendations to the proposal form.

See [Annex K](#) for new work item proposals for project committees.

Copies of the completed form shall be circulated to the members of the technical committee or subcommittee for P-member ballot and to the O-members and liaison members for information.

The proposed date of availability of the publication shall be indicated on the form.

A decision upon a new work item proposal shall be taken by correspondence.

Votes shall be returned within 12 weeks.

The committee may decide on a case-by-case basis by way of a resolution to shorten the voting period for new work item proposals to 8 weeks.

When completing the ballot form, National Bodies shall provide a statement justifying their decision for negative votes ("justification statement"). If no such statement is provided, the negative vote of a National Body will not be registered and considered.

### 2.3.5 Acceptance requires

- a) approval of the work item by a 2/3 majority of the P-members of the technical committees or subcommittees voting — abstentions are excluded when the votes are counted; and
- b) a commitment to participate actively in the development of the project, i.e. to make an effective contribution at the preparatory stage, by nominating technical experts and by commenting on working drafts, by at least 4 P-members in committees with 16 or less P-members, and at least 5 P-members in committees with 17 or more P-members; only P-members having also approved the inclusion of the work item in the programme of work [see a)] will be taken into account when making this tally. If experts are not nominated on the form accompanying an approval vote, then the National Body's commitment to active participation will not be registered and considered when determining if the approval criteria have been met on this ballot.

If in the context of an NP, a member body does not provide a clear justification statement for why it voted "no", the committee secretariat should go back to the member body and give it two (2) weeks to provide an explanation.

If the member body does not provide a response within that 2-week period, the vote will not be counted in the result.

Secretariats must not make value judgments about the justification and must ask the member body in case of doubt.

If member bodies do not name an expert in the Form, they have two (2) weeks following the result of the vote to name their expert. If this delay is not respected, the member body's participation will not be counted, thereby affecting the approval requirement for b) above.

Individual committees may increase this minimum requirement of nominated experts.

In cases, where it can be documented that the industry and/or technical knowledge exists only with a very small number of P-members, then the committee may request permission from the technical management board to proceed with fewer than 4 or 5 nominated technical experts.

**2.3.6** Once a new work item proposal is accepted, it shall be registered in the programme of work of the relevant technical committee or subcommittee as a new project with the appropriate priority. The agreed target dates (see [2.1.6](#)) shall be indicated on the appropriate form.

The voting results will be reported to the ISO Central Secretariat (using Form 6) or the IEC Central Office (using Form RVN) within 6 weeks after the close of the ballot.

**2.3.7** The inclusion of the project in the programme of work concludes the proposal stage.

## **2.4 Preparatory stage**

**2.4.1** The preparatory stage covers the preparation of a working draft (WD) conforming to the ISO/IEC Directives, Part 2.

**2.4.2** When a new project is accepted the project leader shall work with the experts nominated by the P-members during the approval [see [2.3.5 a](#)].

**2.4.3** The secretariat may propose to the technical committee or subcommittee, either at a meeting or by correspondence, to create a working group the convenor of which will normally be the project leader.

Such a working group shall be set up by the technical committee or subcommittee, which shall define the task(s) and set the target date(s) for submission of draft(s) to the technical committee or subcommittee (see also [1.12](#)). The working group convenor shall ensure that the work undertaken remains within the scope of the balloted work item.

**2.4.4** In responding to the proposal to set up a working group those P-members having agreed to participate actively [see [2.3.5 a](#)] shall each confirm their technical expert(s). Other P-members or A- or D- liaison organizations may also nominate expert(s).

**2.4.5** The project leader is responsible for the development of the project and will normally convene and chair any meetings of the working group. S/he may invite a member of the working group to act as its secretary.

**2.4.6** Every possible effort shall be made to prepare both a French and an English version of the text in order to avoid delays in the later stages of the development of the project.

If a trilingual (English — French — Russian) standard is to be prepared, this provision should include the Russian version.

**2.4.7** For time limits relating to this stage, see [2.1.6](#).

**2.4.8** The preparatory stage ends when a working draft is available for circulation to the members of the technical committee or subcommittee as a first committee draft (CD) and is registered by the office of the CEO. The committee may also decide to publish the final working draft as a PAS (see [3.2](#)) to respond particular market needs.



If the committee has opted to skip the CD (see 2.5), the preparatory stage ends when the enquiry draft (DIS) is available for circulation (see 2.6).

## 2.5 Committee stage

**2.5.1** The committee stage is the principal stage at which comments from National Bodies are taken into consideration, with a view to reaching consensus on the technical content. National Bodies shall therefore carefully study the texts of committee drafts and submit all pertinent comments at this stage.

Committees may decide to skip the CD stage in accordance with Annex SS.

Any graphical symbol shall be submitted to the relevant ISO committee responsible for the registration of graphical symbols (see Annex SH).

**2.5.2** As soon as it is available, a committee draft shall be circulated to all P-members and O-members of the technical committee or subcommittee for consideration, with a clear indication of the latest date for submission of replies.

A period of 8, 12 or 16 weeks as agreed by the technical committee or subcommittee shall be available for National Bodies to comment.

The default for CD circulation is 8 weeks.

Comments shall be sent for preparation of the compilation of comments, in accordance with the instructions given.

National Bodies shall fully brief their delegates on the national position before meetings.

**2.5.3** No more than 4 weeks after the closing date for submission of replies, the secretariat shall prepare the compilation of comments and arrange for its circulation to all P-members and O-members of the technical committee or subcommittee. When preparing this compilation, the secretariat shall indicate its proposal, made in consultation with the chair of the technical committee or subcommittee and, if necessary, the project leader, for proceeding with the project, either

- a) to discuss the committee draft and comments at the next meeting, or
- b) to circulate a revised committee draft for consideration, or
- c) to register the committee draft for the enquiry stage (see 2.6).

In the case of b) and c), the secretariat shall indicate in the compilation of comments the action taken on each of the comments received. This shall be made available to all P-members, if necessary by the circulation of a revised compilation of comments, no later than in parallel with the submission of a revised CD for consideration by the committee (case b) or simultaneously with the submission of the finalized version of the draft to the office of the CEO for registration for the enquiry stage (case c).

Committees are required to respond to all comments received.

If, within 8 weeks from the date of dispatch, 2 or more P-members disagree with proposal b) or c) of the secretariat, the committee draft shall be discussed at a meeting (see 4.2.1.3).

**2.5.4** If a committee draft is considered at a meeting but agreement on it is not reached on that occasion, a further committee draft incorporating decisions taken at the meeting shall be distributed within 12 weeks for consideration. A period of 8, 12 or 16 weeks as agreed by the technical committee or subcommittee shall be available to National Bodies to comment on the draft and on any subsequent versions.

**2.5.5** Consideration of successive drafts shall continue until consensus of the P-members of the technical committee or subcommittee has been obtained or a decision to abandon or defer the project has been made.

**2.5.6** The decision to circulate an enquiry draft (see [2.6.1](#)) shall be taken on the basis of the consensus principle.

It is the responsibility of the chair of the technical committee or subcommittee, in consultation with the secretary of his committee and, if necessary, the project leader, to judge whether there is sufficient support bearing in mind the definition of consensus given in ISO/IEC Guide 2:2004.

**“consensus:** General agreement, characterized by the absence of sustained opposition to substantial issues by any important part of the concerned interests and by a process that involves seeking to take into account the views of all parties concerned and to reconcile any conflicting arguments.

NOTE Consensus need not imply unanimity.”

The following applies to the definition of consensus:

In the process of reaching consensus, many different points of views will be expressed and addressed as the document evolves. However, “sustained oppositions” are views expressed at minuted meetings of committee, working group (WG) or other groups (e.g. task forces, advisory groups, etc.) and which are maintained by an important part of the concerned interest and which are incompatible with the committee consensus. The notion of “concerned interest(s)” will vary depending on the dynamics of the committee and must therefore be determined by the committee leadership on a case by case basis. The concept of sustained opposition is not applicable in the context of member body votes on CD, DIS or FDIS since these are subject to the applicable voting rules.

Those expressing sustained oppositions have a right to be heard and the following approach is recommended when a sustained opposition is declared:

- The leadership must first assess whether the opposition can be considered a “sustained opposition”, i.e. whether it has been sustained by an important part of the concerned interest. If this is not the case, the leadership will register the opposition (i.e. in the minutes, records, etc.) and continue to lead the work on the document.
- If the leadership determines that there is a sustained opposition, it is required to try and resolve it in good faith. However, a sustained opposition is not akin to a right to veto. The obligation to address the sustained oppositions does not imply an obligation to successfully resolve them.

The responsibility for assessing whether or not consensus has been reached rests entirely with the leadership. This includes assessing whether there is sustained opposition or whether any sustained opposition can be resolved without compromising the existing level of consensus on the rest of the document. In such cases, the leadership will register the opposition and continue the work.

Those parties with sustained oppositions may avail themselves of appeals mechanisms as detailed in [Clause 5](#).

In case of doubt concerning consensus, approval by a two-thirds majority of the P-members of the technical committee or subcommittee voting may be deemed to be sufficient for the committee draft to be accepted for registration as an enquiry draft; however every attempt shall be made to resolve negative votes.

Abstentions are excluded when the votes are counted, as well as negative votes not accompanied by technical reasons.

The secretariat of the technical committee or subcommittee responsible for the committee draft shall ensure that the enquiry draft fully embodies decisions taken either at meetings or by correspondence.

**2.5.7** When consensus has been reached in a technical committee or subcommittee, its secretariat shall submit the finalized version of the draft in electronic form suitable for distribution to the national members for enquiry ([2.6.1](#)), to the office of the CEO (with a copy to the technical committee secretariat in the case of a subcommittee) within a maximum of 16 weeks.



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

**2.5.8** For time limits relating to this stage, see [2.1.6](#).

**2.5.9** The committee stage ends when all technical issues have been resolved and a committee draft is accepted for circulation as an enquiry draft and is registered by the office of the CEO. Texts that do not conform to the ISO/IEC Directives, Part 2 shall be returned to the secretariat with a request for correction before they are registered.

**2.5.10** If the technical issues cannot all be resolved within the appropriate time limits, technical committees and subcommittees may wish to consider publishing an intermediate deliverable in the form of a Technical Specification (see [3.1](#)) pending agreement on an International Standard.

## **2.6 Enquiry stage**

**2.6.1** At the enquiry stage, the enquiry draft (DIS in ISO, CDV in IEC) shall be circulated by the office of the CEO to all National Bodies for a 12-week vote.

For policy on the use of languages, see [Annex E](#).

National Bodies shall be advised of the date by which completed ballots are to be received by the office of the CEO.

At the end of the voting period, the Chief Executive Officer shall send within 4 weeks to the chair and secretariat of the technical committee or subcommittee the results of the voting together with any comments received, for further speedy action.

**2.6.2** Votes submitted by National Bodies shall be explicit: positive, negative, or abstention.

A positive vote may be accompanied by editorial or technical comments, on the understanding that the secretary, in consultation with the chair of the technical committee or subcommittee and project leader, will decide how to deal with them.

If a National Body finds an enquiry draft unacceptable, it shall vote negatively and state the technical reasons. It may indicate that the acceptance of specified technical modifications will change its negative vote to one of approval, but it shall not cast an affirmative vote which is conditional on the acceptance of modifications.

In the case where a member body has voted negatively without submitting a justification, the vote will not be counted.

In the case where a Member Body has voted negatively and has submitted comments that are not clearly of a technical nature, the committee secretary shall contact the ISO/CS Technical Programme Manager within 2 weeks of the ballot closure.

**2.6.3** An enquiry draft is approved if

- a) a two-thirds majority of the votes cast by the P-members of the technical committee or subcommittee are in favour, and
- b) not more than one-quarter of the total number of votes cast are negative.

Abstentions are excluded when the votes are counted, as well as negative votes not accompanied by technical reasons.

Comments received after the normal voting period are submitted to the technical committee or subcommittee secretariat for consideration at the time of the next review of the International Standard.

**2.6.4** On receipt of the results of the voting and any comments, the chair of the technical committee or subcommittee, in cooperation with its secretariat and the project leader, and in consultation with the office of the CEO, shall take one of the following courses of action:

- a) when the approval criteria of [2.6.3](#) are met and no technical changes are to be included, to proceed directly to publication (see [2.8](#));
- b) when the approval criteria of [2.6.3](#) are met, but technical changes are to be included, to register the enquiry draft, as modified, as a final draft international standard;
- c) when the approval criteria of [2.6.3](#) are not met:
  - 1) to circulate a revised enquiry draft for voting (see [2.6.1](#)), or

NOTE A revised enquiry draft will be circulated for a voting period of 8 weeks, which may be extended up to 12 weeks at the request of one or more P-members of the committee concerned.

- 2) to circulate a revised committee draft for comments, or
  - 3) to discuss the enquiry draft and comments at the next meeting.

**2.6.5** Not later than 12 weeks after the end of the voting period, a full report shall be prepared by the secretariat of the technical committee or subcommittee and circulated by the office of the CEO to the National Bodies. The report shall

- a) show the result of the voting;
- b) state the decision of the chair of the technical committee or subcommittee;
- c) reproduce the text of the comments received; and
- d) include the observations of the secretariat of the technical committee or subcommittee on each of the comments submitted.

Every attempt shall be made to resolve negative votes.

If, within 8 weeks from the date of dispatch, two or more P-members disagree with decision [2.6.4 c\)1](#)) or [2.6.4 c\)2](#)) of the chair, the draft shall be discussed at a meeting (see [4.2.1.3](#)).

Committees are required to respond to all comments received.

**2.6.6** When the chair has taken the decision to proceed to the approval stage (see [2.7](#)) or publication stage (see [2.8](#)), the secretariat of the technical committee or subcommittee shall prepare, within a maximum of 16 weeks after the end of the voting period and with the assistance of its editing committee, a final text and send it to the office of the CEO for preparation and circulation of the final draft International Standard.

The secretariat shall provide the office of the CEO with the text in a revisable electronic format and also in a format which permits validation of the revisable form.

Texts that do not conform to the ISO/IEC Directives, Part 2 shall be returned to the secretariat with a request for correction before they are registered.

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

**2.6.7** For time limits relating to this stage, see [2.1.6](#).

**2.6.8** The enquiry stage ends with the registration, by the office of the CEO, of the text for circulation as a final draft International Standard or publication as an International Standard, in the case of [2.6.4 a\)](#) and [b\)](#).

## 2.7 Approval stage

**2.7.1** At the approval stage, the final draft International Standard (FDIS) shall be distributed by the office of the CEO within 12 weeks to all National Bodies for a 8-week vote.

National Bodies shall be advised of the date by which ballots are to be received by the office of the CEO.

**2.7.2** Votes submitted by National Bodies shall be explicit: positive, negative, or abstention.

If a National Body votes affirmatively, it shall not submit any comments.

If a National Body finds a final draft International Standard unacceptable, it shall vote negatively and state the technical reasons. It shall not cast an affirmative vote that is conditional on the acceptance of modifications.

In the case where a member body has voted negatively without submitting a justification, the vote will not be counted.

In the case where a Member Body has voted negatively and has submitted comments that are not clearly of a technical nature, the committee secretary shall contact the ISO/CS Technical Programme Manager within 2 weeks of the ballot closure.

**2.7.3** A final draft International Standard having been circulated for voting is approved if

- a) a two-thirds majority of the votes cast by the P-members of the technical committee or subcommittee are in favour, and
- b) not more than one-quarter of the total number of votes cast are negative.

Abstentions are excluded when the votes are counted, as well as negative votes not accompanied by technical reasons.

Technical reasons for negative votes are submitted to the technical committee or subcommittee secretariat for consideration at the time of the next review of the International Standard.

**2.7.4** The secretariat of the technical committee or subcommittee has the responsibility of bringing any errors that may have been introduced in the preparation of the draft to the attention of the office of the CEO by the end of the voting period; further editorial or technical amendments are not acceptable at this stage.

**2.7.5** Within 2 weeks after the end of the voting period, the office of the CEO shall circulate to all National Bodies a report showing the result of voting and indicating either the formal approval by National Bodies to issue the International Standard or formal rejection of the final draft International Standard.

Technical reasons for negative votes shall be appended for information only.

**2.7.6** If the final draft International Standard has been approved in accordance with the conditions of [2.7.3](#), it shall proceed to the publication stage (see [2.8](#)).

**2.7.7** If the final draft International Standard is not approved in accordance with the conditions in [2.7.3](#), the document shall be referred back to the technical committee or subcommittee concerned for reconsideration in the light of the technical reasons submitted in support of the negative votes.

The committee may decide to:

- resubmit a modified draft as a committee draft, enquiry draft or, in ISO and JTC 1, final draft International Standard;
- publish a Technical Specification (see [3.1](#));

- publish a Publicly Available Specification (see 3.2);
- cancel the project.

**2.7.8** The approval stage ends with the circulation of the voting report (see 2.7.5) stating that the FDIS has been approved for publication as an International Standard, with the publication of a Technical Specification (see 3.1.1.2), or with the document being referred back to the committee.

## 2.8 Publication stage

**2.8.1** Within 6 weeks, the office of the CEO shall correct any errors indicated by the secretariat of the technical committee or subcommittee, and print and distribute the International Standard.

**2.8.2** The publication stage ends with the publication of the International Standard.

## 2.9 Maintenance of deliverables

The procedures for the maintenance of deliverables are given in the respective Supplements to the ISO/IEC Directives.

### 2.9.1 Introduction

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

A committee may at any time between systematic reviews pass a resolution initiating a revision or amendment of a standard.

See clause 2.3.1 for the process for initiating a revision or amendment of an existing standard.

For minor changes, e.g. updating and editorial changes, that do not impact the technical content, a shortened procedure called “minor revision” may be applied. This is comprised only of the proposal for a minor revision by the committee (through a resolution), approval and publication stages (see 2.7 and 2.8). Subsequent to the resolution of the responsible technical committee and consultation of the responsible ISO Technical Programme Manager, a final draft of the revised deliverable shall be circulated for an 8 week FDIS vote, and 12 weeks in the case of Vienna Agreement documents. The Foreword of the next edition of the deliverable shall indicate that it is a minor revision and list the updates and editorial changes made.

**Table S1 — Timing of systematic reviews**

Deliverable	Max. elapsed time before systematic review	Max. number of times deliverable may be confirmed	Max. life
International Standard	5 years	Not limited	Not limited
Technical Specification (see 3.1.3)	3 years	Once recommended	6 years recommended
Publicly Available Specification (see 3.2.4)	3 years	Once	6 years (If not converted after this period, the deliverable is proposed for withdrawal)
Technical Report (see 3.3.3)	Not specified	Not specified	Not limited

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

- (all deliverables) on the initiative and as a responsibility of the secretariat of the responsible committee, typically as the result of the elapse of the specified period since publication or the last confirmation of the document, or
- (for International Standards and Technical Specifications) a default action by ISO Central Secretariat if a systematic review of the International Standard or Technical Specification concerned has not been initiated by the secretariat of the responsible committee, or
- (all deliverables) at the request of one or more National Body, or
- (all deliverables) at the request of the CEO.

The timing of a systematic review is normally based either on the year of publication or, where a document has already been confirmed, on the year in which it was last confirmed. However, it is not necessary to wait for the maximum period to elapse before a document is reviewed.

## 2.9.2 Review

The review period is 20 weeks.

**NOTE** Systematic reviews are administered electronically by the ISO Central Secretariat and all ISO member bodies are invited to respond to such reviews. P-members of a given committee have an obligation to vote on all systematic review ballots for deliverables under the responsibility of that committee. The purpose of the reviews has been extended to include obtaining information when member bodies have needed to make modifications in order to make ISO standards suitable for national adoption. Such modifications need to be considered by committees in order to determine whether they need to be taken into account to improve the global relevance of a standard. The final decision, to revise, confirm or withdraw a standard, remains with the P-members of the responsible committee.

After the closing of the vote, the secretariat's proposal reflecting the voting results shall be circulated to the members of the technical committee or subcommittee using Form 21. No more than 6 months after the closing of the vote, the committee shall take a final decision as to whether to revise, confirm or withdraw the standard, following which the secretariat shall submit the committee's decision to the ISO Central Secretariat.

## 2.9.3 Interpretation of ballot results

### 2.9.3.1 General

Typically, a decision as to the appropriate action to take following a systematic review shall be based on a simple majority of P-members voting for a specific action. However, in some cases a more detailed analysis of the results may indicate that another interpretation may be more appropriate.

**NOTE** It is not feasible to provide concrete rules for all cases when interpreting the ballot results due to the variety of possible responses, degrees of implementation, and the relative importance of comments, etc.

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

In proposing future action, due account shall be taken of the maximum possible number of confirmations and specified maximum life of the deliverable concerned (see [Table S1](#)).

### 2.9.3.2 Interpretation of ballot results for International Standards

#### Option 1: Confirmation (retention without technical change)

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

- the standard has been adopted with or without change or is used in at least five countries (when this criteria is not met, the standard should be withdrawn); and
- a simple majority of the P-members of the committee voting propose confirmation.

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

Where it has been verified that a document is used, that it should continue to be made available, but that technical changes are needed, a deliverable may be proposed for amendment or revision. The criteria is as follows:

- the standard has been adopted with or without change or is used in at least five countries (when this criteria is not met, the standard should be withdrawn); and
- a simple majority of the P-members of the committee voting considers there is a need for amendment or revision.

In that case, an item may be registered as an approved work item (stage 10.99).

A call for experts must be launched. However, there is no minimum number of active P-members required.

Where an amendment or revision is not immediately started following approval by the committee, it is recommended that the project is first registered as a preliminary work item and that the standard is registered as confirmed. When it is eventually proposed for registration at stage 10.99, reference shall be made to the results of the preceding systematic review and the committee must pass a resolution (see [clause 2.3.1](#) for the process for initiating a revision or amendment of an existing standard).

Where it is decided that the International Standard needs to be revised or amended, it becomes a new project and shall be added to the programme of work of the technical committee or subcommittee. The steps for revision or amendment are the same as those for preparation of a new standard (see ISO/IEC Directives, Part 1, [clauses 2.3 to 2.8](#)), and include the establishment of target dates for the completion of the relevant stages.

#### Option 3: Withdrawal

When the standard has not been adopted with or without change or is not used in at least five countries, the standard should be withdrawn (see Options 1 and 2 above).

In the case of the proposed withdrawal of an International Standard, the National Bodies shall be informed by the CEO of the decision of the technical committee or subcommittee, with an invitation to inform the office of the CEO within 8 weeks if they object to that decision.

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

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

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

To initiate conversion to an International Standard, a text, up-dated as appropriate, is submitted to the normal development procedures as specified for an International Standard.



The conversion procedure will typically start with a DIS vote. Where changes considered to be required are judged as being so significant as to require a full review in the committee prior to DIS ballot, a revised version of the document shall be submitted for review and ballot as a CD.

#### **2.9.4 Reinstatement of withdrawn standards**

If, following withdrawal of an International Standard, a committee determines that it is still needed, it may propose that the standard be reinstated. The standard shall be issued either as a draft International Standard or as a final draft International Standard, as decided by the committee, for voting by the member bodies. The usual approval criteria shall apply. If approved, the standard shall be published as a new edition with a new date of publication. The foreword shall explain that the standard results from the reinstatement of the previous edition.

### **2.10 Corrections and amendments**

#### **2.10.1 General**

A published International Standard may subsequently be modified by the publication of

- a technical corrigendum (in IEC only);
- a corrected version;
- an amendment; or
- a revision (as part of the maintenance procedure in [2.9](#)).

NOTE In case of revision a new edition of the International Standard will be issued.

#### **2.10.2 Corrections**

A correction is only issued to correct an error or ambiguity, inadvertently introduced either in drafting or in publishing and which could lead to incorrect or unsafe application of the publication.

Corrections are not issued to update information that has become outdated since publication.

Suspected errors shall be brought to the attention of the secretariat of the technical committee or subcommittee concerned. After confirmation by the secretariat and chair, if necessary in consultation with the project leader and P-members of the technical committee or subcommittee, the secretariat shall submit to the office of the CEO a proposal for correction, with an explanation of the need to do so.

The Chief Executive Officer shall decide, in consultation with the secretariat of the technical committee or subcommittee, and bearing in mind both the financial consequences to the organization and the interests of users of the publication, whether to publish a technical corrigendum (in IEC only) and/or a corrected version of the existing edition of the publication (see also [2.10.4](#)). The secretariat of the committee will then inform the members of the committee of the outcome.

The corrections are mentioned in the Foreword of the corrected version.

In general, a correction will not be issued for a publication that is older than 3 years.

#### **2.10.3 Amendments**

An amendment alters and/or adds to previously agreed technical provisions in an existing International Standard. An amendment is considered as a partial revision: the rest of the International Standard is not open for comments.

An amendment is normally published as a separate document, the edition of the International Standard affected remaining in use.



The procedure for developing and publishing an amendment shall be as described in [2.3](#) (ISO and JTC 1), or the review and maintenance procedures (see IEC Supplement) and [2.4](#), [2.5](#), [2.6](#) (draft amendment, DAM), [2.7](#) (final draft amendment, FDAM), and [2.8](#).

At the approval stage ([2.7](#)), the Chief Executive Officer shall decide, in consultation with the secretariat of the technical committee or subcommittee, and bearing in mind both the financial consequences to the organization and the interests of users of the International Standard, whether to publish an amendment or a new edition of the International Standard, incorporating the amendment. (See also [2.10.4](#).)

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

### 2.10.4 Avoidance of proliferation of modifications

No more than 2 separate documents in the form of technical corrigenda (in IEC only) or amendments shall be published modifying a current International Standard. The development of a third such document shall result in publication of a new edition of the International Standard.

### 2.11 Maintenance agencies

When a technical committee or subcommittee has developed a standard that will require frequent modification, it may decide that a maintenance agency is required. Rules concerning the designation of maintenance agencies are given in [Annex G](#).

### 2.12 Registration authorities

When a technical committee or subcommittee has developed a standard that includes registration provisions, a registration authority is required. Rules concerning the designation of registration authorities are given in [Annex H](#).

### 2.13 Copyright

The copyright for all drafts and International Standards and other publications belongs to ISO, IEC or ISO and IEC, respectively as represented by the office of the CEO.

The content of, for example, an International Standard may originate from a number of sources, including existing national standards, articles published in scientific or trade journals, original research and development work, descriptions of commercialized products, etc. These sources may be subject to one or more rights.

In ISO and IEC, there is an understanding that original material contributed to become a part of an ISO, IEC or ISO/IEC publication can be copied and distributed within the ISO and/or IEC systems (as relevant) as part of the consensus building process, this being without prejudice to the rights of the original copyright owner to exploit the original text elsewhere. Where material is already subject to copyright, the right should be granted to ISO and/or IEC to reproduce and circulate the material. This is frequently done without recourse to a written agreement, or at most to a simple written statement of acceptance. Where contributors wish a formal signed agreement concerning copyright of any submissions they make to ISO and/or IEC, such requests must be addressed to ISO Central Secretariat or the IEC Central Office, respectively.

Attention is drawn to the fact that the respective members of ISO and IEC have the right to adopt and re-publish any respective ISO and/or IEC standard as their national standard. Similar forms of endorsement do or may exist (for example, with regional standardization organizations).

## 2.14 Reference to patented items (see also [Annex I](#))

**2.14.1** If, in exceptional situations, technical reasons justify such a step, there is no objection in principle to preparing an International Standard in terms which include the use of items covered by patent rights — defined as patents, utility models and other statutory rights based on inventions, including any published applications for any of the foregoing — even if the terms of the standard are such that there are no alternative means of compliance. The rules given below shall be applied.

**2.14.2** If technical reasons justify the preparation of a document in terms which include the use of items covered by patent rights, the following procedures shall be complied with:

- a) The proposer of a proposal for a document shall draw the attention of the committee to any patent rights of which the proposer is aware and considers to cover any item of the proposal. Any party involved in the preparation of a document shall draw the attention of the committee to any patent rights of which it becomes aware during any stage in the development of the document.
- b) If the proposal is accepted on technical grounds, the proposer shall ask any holder of such identified patent rights for a statement that the holder would be willing to negotiate worldwide licences under his rights with applicants throughout the world on reasonable and non-discriminatory terms and conditions. Such negotiations are left to the parties concerned and are performed outside ISO and/or IEC. A record of the right holder's statement shall be placed in the registry of the ISO Central Secretariat or IEC Central Office as appropriate, and shall be referred to in the introduction to the relevant document. If the right holder does not provide such a statement, the committee concerned shall not proceed with inclusion of an item covered by a patent right in the document without authorization from ISO Council or IEC Council Board as appropriate.
- c) A document shall not be published until the statements of the holders of all identified patent rights have been received, unless the council board concerned gives authorization.

**2.14.3** Should it be revealed after publication of a document that licences under patent rights, which appear to cover items included in the document, cannot be obtained under reasonable and non-discriminatory terms and conditions, the document shall be referred back to the relevant committee for further consideration.

## 3 Development of other deliverables

### 3.1 Technical Specifications

**3.1.1** Technical Specifications may be prepared and published under the following circumstances and conditions.

**3.1.1.1** When the subject in question is still under development or where for any other reason there is the future but not immediate possibility of an agreement to publish an International Standard, the technical committee or subcommittee may decide, by following the procedure set out in [2.3](#), that the publication of a Technical Specification would be appropriate. The procedure for preparation of such a Technical Specification shall be as set out in [2.4](#) and [2.5](#). The decision to publish the resulting document as a Technical Specification shall require a two-thirds majority vote of the P-members voting of the technical committee or subcommittee.

**3.1.1.2** When the required support cannot be obtained for a final draft International Standard to pass the approval stage (see [2.7](#)), or in case of doubt concerning consensus, the technical committee or subcommittee may decide, by a two-thirds majority vote of P-members voting, that the document should be published in the form of a Technical Specification.

**3.1.2** When the P-members of a technical committee or subcommittee have agreed upon the publication of a Technical Specification, the draft specification shall be submitted electronically by the secretariat of the technical committee or subcommittee to the office of the CEO within 16 weeks for publication. Competing technical specifications offering different technical solutions are possible provided that they do not conflict with existing International Standards.

**3.1.3** Technical Specifications shall be subject to review by the technical committee or subcommittee not later than 3 years after their publication. The aim of such review shall be to re-examine the situation which resulted in the publication of a Technical Specification and if possible to achieve the agreement necessary for the publication of an International Standard to replace the Technical Specification. In IEC, the date for this review is based on the stability date which shall be agreed in advance of the publication of the Technical Specification (review date).

## **3.2 Publicly Available Specifications (PAS)**

The procedures set out in 2.3 apply to the development of a PAS.

**3.2.1** A PAS may be an intermediate specification, published prior to the development of a full International Standard, or, in IEC may be a “dual logo” publication published in collaboration with an external organization. It is a document not fulfilling the requirements for a standard.

A PAS is a normative document. Normally, the decision to develop a PAS should be agreed at the outset, i.e. simultaneously with the approval of the new work item proposal.

**3.2.2** A proposal for submission of a PAS may be made by an A-liaison or D-liaison (see 1.17) or by any P-member of the committee.

**3.2.3** The PAS is published after verification of the presentation and checking that there is no conflict with existing International Standards by the committee concerned and following simple majority approval of the P-members voting of the committee concerned. Competing PAS offering different technical solutions are possible provided that they do not conflict with existing International Standards.

**3.2.4** A PAS shall remain valid for an initial maximum period of 3 years. The validity may be extended for a single period up to a maximum of 3 years, at the end of which it shall be transformed with or without change into another type of normative document, or shall be withdrawn.

## **3.3 Technical Reports**

**3.3.1** When a technical committee or subcommittee has collected data of a different kind from that which is normally published as an International Standard (this may include, for example, data obtained from a survey carried out among the National Bodies, data on work in other international organizations or data on the “state of the art” in relation to standards of National Bodies on a particular subject), the technical committee or subcommittee may decide, by a simple majority vote of P-members voting, to request the Chief Executive Officer to publish such data in the form of a Technical Report. The document shall be entirely informative in nature and shall not contain matter implying that it is normative. It shall clearly explain its relationship to normative aspects of the subject which are, or will be, dealt with in International Standards related to the subject. The Chief Executive Officer, if necessary in consultation with the technical management board, shall decide whether to publish the document as a Technical Report.

**3.3.2** When the P-members of a technical committee or subcommittee have agreed upon the publication of a Technical Report, the draft report shall be submitted electronically by the secretariat of the technical committee or subcommittee to the Chief Executive Officer within 16 weeks for publication.

**3.3.3** It is recommended that Technical Reports are regularly reviewed by the committee responsible, to ensure that they remain valid. Withdrawal of a Technical Report is decided by the technical committee or subcommittee responsible.

Technical Reports are not subject to systematic revision.

## 4 Meetings

### 4.1 General

National Bodies are reminded that they are not permitted to charge delegates/experts any sort of participation fee, nor require accommodations at specific hotels or hotel rates for any meetings of technical committees, subcommittees, working groups, maintenance and project teams. The basic meeting facilities shall be funded entirely by resources from a National Body and/or voluntary sponsors. For more information in IEC, see Meeting Guide ([http://www.iec.ch/members\\_experts/refdocs/iec/IEC\\_Meeting\\_Guide\\_2012.pdf](http://www.iec.ch/members_experts/refdocs/iec/IEC_Meeting_Guide_2012.pdf)) and for ISO, see Annex SF for further details.

**4.1.1** Technical committees and subcommittees shall use current electronic means to carry out their work (for example, e-mail, groupware and teleconferencing) wherever possible. A meeting of a technical committee or subcommittee should be convened only when it is necessary to discuss committee drafts (CD) or other matters of substance which cannot be settled by other means.

**4.1.2** The technical committee secretariat should look ahead with a view to drawing up, in consultation with the office of the CEO, a planned minimum 2-year programme of meetings of the technical committee and its subcommittees and, if possible, its working groups, taking account of the programme of work.

**4.1.3** In planning meetings, account should be taken of the possible advantage of grouping meetings of technical committees and subcommittees dealing with related subjects, in order to improve communication and to limit the burden of attendance at meetings by delegates who participate in several technical committees or subcommittees.

**4.1.4** In planning meetings, account should also be taken of the advantages for the speedy preparation of drafts of holding a meeting of the editing committee immediately after the meeting of the technical committee or subcommittee and at the same place.

### 4.2 Procedure for calling a meeting

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

#### 4.2.1 Technical committee and subcommittee meetings

**4.2.1.1** The date and place of a meeting shall be subject to an agreement between the chair and the secretariat of the technical committee or subcommittee concerned, the Chief Executive Officer and the National Body acting as host. In the case of a subcommittee meeting, the subcommittee secretariat shall first consult with the secretariat of the parent technical committee in order to ensure coordination of meetings (see also [4.1.3](#)).

**4.2.1.2** A National Body wishing to act as host for a particular meeting shall contact the Chief Executive Officer and the technical committee or subcommittee secretariat concerned.

The National Body shall first ascertain that there are no restrictions imposed by its country to the entry of representatives of any P-member of the technical committee or subcommittee for the purpose of attending the meeting.

In accrediting delegates to attend meetings, national standards bodies from P- and O-member countries must provide to the TC/SC/PC secretariat a list of the delegates that will attend the meeting.

The TC/SC/PC secretariat must send a copy of this list to the hosting national standards body so that the latter can make appropriate arrangements for the meeting. It is the responsibility of the national standards bodies in countries with participants who need invitation letters to send the names of these participants directly to the hosting national standards body.

The hosting organizations are advised to verify and provide information on access means to meeting facilities. This includes availability of lifts or ramps at the meeting location as well as accessible public transport to the meeting facilities.

**4.2.1.3** The secretariat shall ensure that arrangements are made for the agenda and logistical information to be circulated by the office of the CEO (in the IEC) or by the secretariat with a copy to the office of the CEO (in ISO) at the latest 16 weeks before the date of the meeting.

NOTE All new work item proposals must be approved by correspondence (committee internal ballot – CIB) see [2.3.4](#).

Only those committee drafts for which the compilation of comments will be available at least 6 weeks before the meeting shall be included on the agenda and be eligible for discussion at the meeting.

Any other working documents, including compilations of comments on drafts to be discussed at the meeting, shall be distributed not less than 6 weeks in advance of the meeting.

The agenda shall clearly state the starting and estimated finishing times.

In the event of meetings over running the estimated finishing time, the Chair shall ensure that the P-members are willing to take voting decisions. However if P-members leave, they may request the Chair not to take any further voting decisions.

Any decisions made after the estimated finishing time of the meeting and after any P-members have left shall be confirmed by correspondence after the meeting.

NOTE Attendees should take the estimated meeting time into consideration when booking their travel.

See Annex SK for the issuance of notices, agendas and documents before committee and working group meetings.

## **4.2.2 Working group meetings**

**4.2.2.1** Working groups shall use current electronic means to carry out their work (for example, e-mail, groupware and teleconferencing) wherever possible. When a meeting needs to be held, notification by the convenor of the meetings of a working group shall be sent to its members and to the secretariat of the parent committee, at least 6 weeks in advance of the meeting.

Arrangements for meetings shall be made between the convenor and the member of the working group in whose country the meeting is to be held. The latter member shall be responsible for all practical working arrangements.

**4.2.2.2** If a working group meeting is to be held in conjunction with a meeting of the parent committee, the convenor shall coordinate arrangements with the secretariat of the parent committee. In particular it shall be ensured that the working group members receive all general information for the meeting, which is sent to delegates to the meeting of the parent committee.

**4.2.2.3** Either the WG (or PT/MT/AC in IEC) leader or the Secretary of the relevant committee shall notify National Body Secretariats of any WG (or PT/MT/AC in IEC) meeting held in their country.

### 4.3 Languages at meetings

The languages at meetings are English, French and Russian, and meetings are conducted in any one or more of these.

The National Body for the Russian Federation provides all interpretation and translation into or from the Russian language.

The chair and secretariat are responsible for dealing with the question of language at a meeting in a manner acceptable to the participants following the general rules of ISO or IEC, as appropriate. (See also [Annex E](#).)

### 4.4 Cancellation of meetings

Every possible effort shall be made to avoid cancellation or postponement of a meeting once it has been convened. Nevertheless, if the agenda and basic documents are not available within the time required by [4.2.1.3](#), then the Chief Executive Officer has the right to cancel the meeting.

### 4.5 Distribution of documents

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

### 4.6 Remote participation at committee meetings

Remote participation at committee meetings is supported in ISO to enable the goals of increasing stakeholder engagement and better coordination of the committee work. Remote participation is allowed for all ISO meetings and ISO committees, provided that:

- The committee secretary checks with the host prior to meeting and follows the ‘Guidelines on remote participation at committee meetings’.
- The host agrees and can provide the necessary technology and support.
- The same registration and accreditation rules apply to remote and physical participants.
- The ‘Guidelines on remote participation at committee meetings’ are provided to all participants in advance of the meeting.

## 5 Appeals

### 5.1 General

#### 5.1.1 National Bodies have the right of appeal

- a) to the parent technical committee on a decision of a subcommittee;
  - b) to the technical management board on a decision of a technical committee;
  - c) to the council board on a decision of the technical management board,
- within 12 weeks in ISO and 8 weeks in IEC of the decision in question.

The decision of the council board on any case of appeal is final.



**5.1.2** A P-member of a technical committee or subcommittee may appeal against any action, or inaction, on the part of the technical committee or subcommittee, when the P-member considers that such action or inaction is

- a) not in accordance with
  - the Statutes and Rules of Procedure;
  - the ISO/IEC Directives; or
- b) not in the best interests of international trade and commerce, or such public factors as safety, health or environment.

**5.1.3** Matters under appeal may be either technical or administrative in nature.

Appeals on decisions concerning new work item proposals, committee drafts, enquiry drafts and final draft International Standards are only eligible for consideration if

- questions of principle are involved, or
- the contents of a draft may be detrimental to the reputation of ISO or IEC.

**5.1.4** All appeals shall be fully documented to support the P-member's concern.

## **5.2 Appeal against a subcommittee decision**

**5.2.1** The documented appeal shall be submitted by the P-member to the secretariat of the parent technical committee, with a copy to the Chief Executive Officer.

**5.2.2** Upon receipt, the secretariat of the parent technical committee 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 Chief Executive Officer in the process.

**5.2.3** If the technical committee supports its subcommittee, then the P-member which initiated the appeal may either

- accept the technical committee decision, or
- appeal against it.

## **5.3 Appeal against a technical committee decision**

**5.3.1** Appeals against a technical committee decision may be of 2 kinds:

- an appeal arising out of [5.2.3](#) above, or
- an appeal against an original decision of a technical committee.

**5.3.2** The documented appeal shall, in all cases, be submitted to the Chief Executive Officer, with a copy to the chair and secretariat of the technical committee.

**5.3.3** The Chief Executive Officer shall, following whatever consultations s/he deems appropriate, refer the appeal together with his comments to the technical management board within 4 weeks after receipt of the appeal.

**5.3.4** The technical management board shall decide whether an appeal shall be further processed or not. If the decision is in favour of proceeding, the chair of the technical management board shall form a conciliation panel.

The conciliation panel shall hear the appeal within 12 weeks and attempt to resolve the difference of opinion as soon as practicable. The conciliation panel shall give a final report within 12 weeks. If the conciliation panel is unsuccessful in resolving the difference of opinion, this shall be reported to the Chief Executive Officer, together with recommendations on how the matter should be settled.

**5.3.5** The Chief Executive Officer, on receipt of the report of the conciliation panel, shall inform the technical management board, which will make its decision.

#### **5.4 Appeal against a technical management board decision**

An appeal against a decision of the technical management board shall be submitted to the Chief Executive Officer with full documentation on all stages of the case.

The Chief Executive Officer shall refer the appeal together with his comments to the members of the council board within 4 weeks after receipt of the appeal.

The council board shall make its decision within 12 weeks.

#### **5.5 Progress of work during an appeal process**

When an appeal is against a decision respecting work in progress, the work shall be continued, up to and including the approval stage (see [2.7](#)).

## **ISO/IEC ANNEXES**

## **Annex A** **(normative)**

### **Guides**

#### **A.1 Introduction**

In addition to International Standards, Technical Specifications, Publicly Available Specifications and Technical Reports prepared by technical committees, ISO and IEC publish Guides on matters related to international standardization. Guides shall be drafted in accordance with the ISO/IEC Directives, Part 2.

Guides shall not be prepared by technical committees and subcommittees. They may be prepared by an ISO Policy Development Committee, an IEC Advisory Committee or Strategic Group, an ISO group reporting to the ISO technical management board, or an ISO/IEC Joint Coordination Group. These bodies are referred to below as the “Committee or Group responsible for the project”.

The procedure for preparation and publication of a Guide is as described below.

#### **A.2 Proposal stage**

The ISO and/or IEC technical management board will approve proposals for new Guides or revisions of Guides and decide on the secretariat and composition of the Committee or Group responsible for the project.

Once a project is approved by the ISO and/or IEC technical management board, the secretariat of the Committee or Group responsible for the project shall ensure that the appropriate interests in ISO and IEC are informed.

#### **A.3 Preparatory stage**

The Committee or Group responsible for the project shall ensure that the appropriate interests in ISO and IEC have the opportunity to be represented during the preparation of the working draft.

#### **A.4 Committee stage**

Once a working draft is available for circulation as a committee draft, the secretariat of the Committee or Group responsible for the project shall send it to the parent committee or ISO and/or IEC technical management board for vote, comments and to approve its advancement to the Enquiry stage.

#### **A.5 Enquiry stage**

**A.5.1** The office of the CEOs shall circulate both the English and French texts of the revised draft Guide to all National Bodies for a 16-week vote.

**A.5.2** The draft Guide is approved for publication as a Guide if not more than one-quarter of the votes cast are negative, abstentions being excluded when the votes are counted.

In the case of ISO/IEC Guides, the draft shall be submitted for approval to the National Bodies of both ISO and IEC. The National Bodies of both organizations need to approve the document if it is to be published as an ISO/IEC Guide.

If this condition is satisfied for only one of the organizations, ISO or IEC, the Guide may be published under the name of the approving organization only, unless the Committee or Group responsible for the project decides to apply the procedure set out in [A.5.3](#).

**A.5.3** If a draft Guide is not approved, or if it is approved with comments the acceptance of which would improve consensus, the chair of the Committee or Group responsible for the project may decide to submit an amended draft for a 8-week vote. The conditions for acceptance of the amended draft are the same as in [A.5.2](#).

### A.6 Publication stage

The publication stage shall be the responsibility of the office of the CEO of the organization to which the Committee or Group responsible for the project belongs.

In the case of a Joint ISO/IEC Group, the responsibility shall be decided by agreement between the Chief Executive Officers.

### A.7 Withdrawal of a Guide

The Committee or Group responsible for the Guide shall be responsible for deciding if the Guide shall be withdrawn. The formal withdrawal shall be ratified by the technical management board (TMB) in accordance with its normal procedures.

## A.8 Procedure for transforming a guide into an iso international standard

### 1. Submission of a proposal for transformation of a Guide into an International Standard

Any member body, organization in liaison or group reporting to the TMB ("Authorized bodies"), or the ISO CEO, can propose that an approved Guide be transformed into an ISO International Standard. All proposals must be accompanied by justification for the transformation into an International Standard.

### 2. Circulation of the proposal

The offices of the CEO's circulate the proposal to all member bodies for approval.

### 3. Member body ballot

**3.1** The ballot will ask the question: Do you approve the transformation of Guide XX into an ISO International Standard?

**3.2** Members will have the option of responding yes or no and the reasons for their negative vote should be provided.

**3.3** Because the Guide in question has been developed and approved according to the consensus building procedures of ISO and/or IEC, technical or editorial comments will not be considered. Consideration of such comments will be held over to the next revision of the International Standard if the transformation of the Guide is approved.

**3.4** The voting period and voting rules are the same as for the normal DIS vote.

### 4. Approval criteria

**4.1** If more than one quarter of all votes received is negative, the transformation into an International Standard is not approved and the approval process ends.

**4.2** If the transformation of a Guide into a standard is approved, the International Standard will be published, and the original Guide withdrawn.

## **5. Maintenance of the International Standard resulting from a transformed guide**

The ISO technical management board will decide on a case-by-case basis how to handle the maintenance of transformed Guide. Preference will be given to assigning the maintenance responsibility to an appropriate TC, but, in the absence of an appropriate TC, the TMB will decide where to assign maintenance responsibility, including through the establishment of a new TC or PC.



## Annex B (normative)

### ISO/IEC procedures for liaison and work allocation

#### B.1 Introduction

By the ISO/IEC Agreement of 1976<sup>2)</sup>, ISO and IEC together form a system for international standardization as a whole. For this system to operate efficiently, the following procedures are agreed for coordination and allocation of work between the technical committees and subcommittees of both organizations.

#### B.2 General considerations

The allocation of work between ISO and IEC is based on the agreed principle that all questions relating to international standardization in the electrical and electronic engineering fields are reserved to IEC, the other fields being reserved to ISO and that allocation of responsibility for matters of international standardization where the relative contribution of electrical and non-electrical technologies is not immediately evident will be settled by mutual agreement between the organizations.

Questions of coordination and work allocation may arise when establishing a new ISO or IEC technical committee, or as a result of the activities of an existing technical committee.

The following levels of coordination and work allocation agreement are available. Matters should be raised at the next higher level only after all attempts to resolve them at the lower levels have failed.

- a) **Formal liaisons** between ISO and IEC committees for normal inter-committee cooperation.
- b) **Organizational consultations**, including technical experts and representatives of the Chief Executive Officers, for cases where technical coordination may have an effect on the future activities of the organizations in a larger sense than the point under consideration.
- c) Decisions on work allocation
  - by the technical management boards or, if necessary,
  - the ISO/IEC Joint Technical Advisory Board (JTAB).

Questions affecting both ISO and IEC, on which it has not proved possible to obtain a common decision by the ISO Technical Management Board and the IEC Standardization Management Board, are referred to the ISO/IEC Joint Technical Advisory Board (JTAB) for decision (see [1.3.1](#)).

#### B.3 Establishing new technical committees

Whenever a proposal to establish a new technical committee is made to the National Bodies of ISO or of IEC respectively, the proposal shall also be submitted to the other organization requesting comment and/or agreement. As a result of these consultations, two cases may arise:

- a) the opinion is unanimous that the work should be carried out in one of the organizations;
- b) opinions are divided.

In case a), formal action may then be taken to establish the new technical committee according to the unanimous opinion.

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2) ISO Council resolutions 49/1976 and 50/1976 and IEC Administrative Circular No. 13/1977.

In case b), a meeting of experts in the field concerned shall be arranged with representatives of the Chief Executive Officers with a view to reaching a satisfactory agreement for allocation of the work (i.e., organizational level). If agreement is reached at this level, formal action may be taken by the appropriate organization to implement the agreement.

In the case of disagreement after these consultations, the matter may be referred by either organization to the ISO/IEC Joint Technical Advisory Board (JTAB).

## **B.4 Coordinating and allocating work between ISO and IEC technical committees**

### **B.4.1 Formal liaison at TC level**

Most coordination needs arising between individual ISO and IEC committees are successfully dealt with through formal technical liaison arrangements. These arrangements, when requested by either organization, shall be honoured by the other organization. Requests for formal liaison arrangements are controlled by the offices of the CEOs. The requesting organization shall specify the type of liaison required, such as:

- a) full or selective exchange of committee documents;
- b) regular or selective attendance of liaison representatives at meetings;
- c) participation in a standing coordination (or steering) committee for selected ISO and IEC technical committees;
- d) setting up of a Joint Working Group (JWG).

### **B.4.2 Details of agreement**

**B.4.2.1** Continual efforts shall be made to minimize the overlap areas between IEC and ISO by entrusting areas of work to one of the two organizations.

For areas of work so entrusted, IEC and ISO shall agree through the JTAB on how the views and interests of the other organization are to be fully taken into account.

**B.4.2.2** Five working modes of cooperation have been established, as follows:

#### **Mode 1 — Informative relation**

One organization is fully entrusted with a specific work area and keeps the other fully informed of all progress.

#### **Mode 2 — Contributive relation**

One organization should take the lead of the work and the other should make written contributions where considered appropriate during the progress of this work. This relation also includes the exchange of full information.

#### **Mode 3 — Subcontracting relation**

One organization is fully entrusted with the realization of the work on an identified item, but due to specialization of the other, a part of the work is subcontracted and that part is prepared under the responsibility of the second organization. Necessary arrangements shall be made to guarantee the correct integration of the resulting subcontracted work into the main part of the programme. To this end, the enquiry and approval stages are handled by the organization being the main contractor for the standardization task.

#### Mode 4 — Collaborative relation

One organization takes the lead in the activities, but the work sessions and meetings receive delegates from the other who have observer status and who ensure the technical liaison with the other organization. Such observers should have the right to intervene in the debate but have no right to vote. The full flow of information is oriented through this liaison.

#### Mode 5 — Integrated liaison

Joint Working Groups and Joint Technical Committees ensure integrated meetings for handling together the realization of standards under a principle of total equality of participation.

Joint Working Groups between technical committees of the two organizations shall operate in accordance with [1.12.6](#).

**B.4.2.3** The allocation of work between IEC and ISO for potentially overlapping areas will be set out as required in schedules or programmes which, when agreed by the relevant parties, will form addenda to this agreement.

A consequence of this agreement is that the parties agree to cross-refer to the relevant standards of the other in the respective competent fields of interest.

When the standard being referred to is updated, it is the responsibility of the body making the reference to take care of the updating of the reference where appropriate.

**B.4.2.4** For work for which one organization has assumed responsibility and for which there will be subcontracting of work to the other, the fullest account shall be taken of the interests participating in the subcontracted work in defining the objectives of that work.

**B.4.2.5** The necessary procedures for enquiry and approval shall be realized by the organization entrusted with a particular standardization task, except as otherwise agreed by the two technical management boards.

**B.4.2.6** For standards developed under the Mode 5 — Integrated liaison, the committee, enquiry and approval stages shall be carried out in parallel in both ISO and IEC in accordance with the rules of the organization with the administrative lead. The committee/organization with the administrative responsibility for the project shall submit drafts for the committee, enquiry and approval stages to the other organization two weeks prior to the circulation date.

**B.4.2.7** When the enquiry draft has not fulfilled the approval criteria (see [2.6.3](#)) in one of the organizations, then:

- the officers of the committees involved in the joint working group may select one of options given in [2.6.4](#) c) or
- in exceptional circumstances, if agreed between the officers of the ISO and IEC committees involved in the joint working group and the offices of the CEO, the project may proceed as a single logo standard of the organization in which the enquiry draft was approved. The joint working group is automatically disbanded.

**B.4.2.8** If the final draft International Standard is not approved in accordance of the conditions in [2.7.3](#) then:

- the committees involved in the joint working group may select one of the options given in [2.7.7](#), noting that in IEC the circulation of a second final draft International Standard is not allowed and will require a derogation of the TMB or

- in exceptional circumstances, if agreed between the officers of the ISO and IEC committees involved in the joint working group and the offices of the CEO, the standard may be published as a single logo standard of the organization in which the final draft International Standard was approved. The joint working group is automatically disbanded.

**B.4.2.9** Standards developed under the Mode 5 — Integrated liaison via a joint working group between ISO and IEC are published by the organization of the committee having administrative responsibility. That organization assigns the reference number of the standard and owns the copyright of the standard. The standard carries the logo of the other organization and may be sold by both organizations. The foreword of the International Standard will identify all the committees responsible for the development. For those standards where the committee with the administrative responsibility is in the IEC, then the foreword will also give the ISO voting results. ISO-lead documents are assigned numbers from 1 to 59999. IEC-lead documents are assigned numbers from 60000 to 79999. In the case of multi-part standards, some parts being under ISO responsibility and some being under IEC responsibility, a number in the 80000 series is assigned (e.g. ISO 80000-1, IEC 80000-6).

**B.4.2.10** The maintenance procedures to be used for standards developed under the Mode 5 — Integrated liaison will be those currently applied in the organization which has the committee with the administrative responsibility.

**B.4.2.11** If there is a reason, during the development of the project, to change from one mode of operation to another, a recommendation shall be made by both technical committees concerned and submitted to the two technical management boards for information.

### **B.4.3 Cooperation of secretariats**

The secretariats of the technical committees/subcommittees from the two organizations concerned shall cooperate on the implementation of this agreement. There shall be a complete information flow on on-going work and availability on demand to each other of working documents, in accordance with normal procedures.

## **Annex C** (normative)

### **Justification of proposals for the establishment of standards**

#### **C.1 General**

**C.1.1** Because of the large financial resources and manpower involved and the necessity to allocate these according to the needs, it is important that any standardization activity begin by identifying the needs, determining the aims of the standard(s) to be prepared and the interests that may be affected. This will, moreover, help to ensure that the standards produced will cover appropriately the aspects required and be market relevant for the affected sectors. Any new activity shall therefore be reasonably justified before it is begun.

**C.1.2** It is understood that, whatever conclusions may be drawn on the basis of the annex, a prerequisite of any new work to be commenced would be a clear indication of the readiness of a sufficient number of relevant interested parties to allocate necessary manpower, funds and to take an active part in the work.

**C.1.3** This annex sets out rules for proposing and justifying new work, so that proposals will offer to others the clearest possible idea of the purposes and extent of the work, in order to ensure that standardization resources are really allocated by the parties concerned and are used to the best effect.

**C.1.4** This annex does not contain rules of procedure for implementing and monitoring the guidelines contained in it, nor does it deal with the administrative mechanism which should be established to this effect.

**C.1.5** This annex is addressed primarily to the proposer of any kind of new work to be started but may serve as a tool for those who will analyse such a proposal or comment on it, as well as for the body responsible for taking a decision on the proposal.

#### **C.2 Terms and definitions**

##### **C.2.1**

##### **proposal for new work**

proposal for a new field of technical activity or for a new work item

##### **C.2.2**

##### **proposal for a new field of technical activity**

proposal for the preparation of (a) standard(s) in a field that is not covered by an existing committee (such as a technical committee, subcommittee or project committee) of the organization to which the proposal is made

##### **C.2.3**

##### **proposal for a new work item**

proposal for the preparation of a standard or a series of related standards in the field covered by an existing committee (such as a technical committee) of the organization to which the proposal is made

### C.3 General principles

**C.3.1** Any proposal for new work shall lie within the scope of the organization to which it is submitted.

NOTE For example, the objects of ISO are laid down in its Statutes and of IEC in Article 2 of its Statutes.

**C.3.2** The documentation justifying new work in ISO and IEC shall make a substantial case for the market relevance of the proposal.

**C.3.3** The documentation justifying new work in ISO and IEC shall provide solid information as a foundation for informed ISO or IEC National Body voting.

**C.3.4** Within the ISO and IEC systems, the onus is considered to be placed on the proposer to provide the proper documentation to support principles [C.3.2](#) and [C.3.3](#) stated above.

### C.4 Elements to be clarified when proposing a new field of technical activity or a new work item

**C.4.1** Proposals for new fields of technical activity and new work items shall include the following fields of information ([C.4.2](#) to [C.4.13](#)).

#### C.4.2 Title

The title shall indicate clearly yet concisely the new field of technical activity or the new work item which the proposal is intended to cover.

EXAMPLE 1 (proposal for a new technical activity) “Machine tools”.

EXAMPLE 2 (proposal for a new work item) “Electrotechnical products — Basic environmental testing procedures”.

#### C.4.3 Scope

##### C.4.3.1 For new fields of technical activity

The scope shall precisely define the limits of the field of activity. Scopes shall not repeat general aims and principles governing the work of the organization but shall indicate the specific area concerned.

EXAMPLE “Standardization of all machine tools for the working of metal, wood and plastics, operating by removal of material or by pressure”.

##### C.4.3.2 For new work items

The scope shall give a clear indication of the coverage of the proposed new work item and, if necessary for clarity, exclusions shall be stated.

EXAMPLE 1

This standard lists a series of environmental test procedures, and their severities, designed to assess the ability of electrotechnical products to perform under expected conditions of service.

Although primarily intended for such applications, this standard may be used in other fields where desired.

Other environmental tests, specific to the individual types of specimen, may be included in the relevant specifications.

EXAMPLE 2

Standardization in the field of fisheries and aquaculture, including, but not limited to, terminology, technical specifications for equipment and for their operation, characterization of aquaculture sites and maintenance of appropriate physical, chemical and biological conditions, environmental monitoring, data reporting, traceability and waste disposal.

Excluded:

- methods of analysis of food products (covered by ISO/TC 34);
- personal protective clothing (covered by ISO/TC 94);
- environmental monitoring (covered by ISO/TC 207).

**C.4.4 Proposed initial programme of work (for proposals for new fields of technical activity only)**

**C.4.4.1** The proposed programme of work shall correspond to and clearly reflect the aims of the standardization activities and shall, therefore, show the relationship between the subjects proposed.

**C.4.4.2** Each item on the programme of work shall be defined by both the subject and aspect(s) to be standardized (for products, for example, the items would be the types of products, characteristics, other requirements, data to be supplied, test methods, etc.).

**C.4.4.3** Supplementary justification may be combined with particular items in the programme of work.

**C.4.4.4** The proposed programme of work shall also suggest priorities and target dates for new work items (when a series of standards is proposed, priorities shall be suggested).

**C.4.5 Indication(s) of the preferred type or types of deliverable(s) to be produced**

In the case of proposals for new fields of technical activity, this may be provided under [C.4.4](#).

**C.4.6 A listing of relevant existing documents at the international, regional and national levels**

Any known relevant documents (such as standards and regulations) shall be listed, regardless of their source and should be accompanied by an indication of their significance.

**C.4.7 Relation to and impact on existing work**

**C.4.7.1** A statement shall be provided regarding any relation or impact the proposed work may have on existing work, especially existing ISO and IEC deliverables. The proposer should explain how the work differs from apparently similar work, or explain how duplication and conflict will be minimized.

**C.4.7.2** If seemingly similar or related work is already in the scope of other committees of the organization or in other organizations, the proposed scope shall distinguish between the proposed work and the other work.

**C.4.7.3** The proposer shall indicate whether his or her proposal could be dealt with by widening the scope of an existing committee or by establishing a new committee.

**C.4.8 Relevant country participation**

**C.4.8.1** For proposals for new fields of technical activity, a listing of relevant countries should be provided where the subject of the proposal is important to their national commercial interests.



**C.4.8.2** For proposals for new work item within existing committees, a listing of relevant countries should be provided which are not already P-members of the committee, but for whom the subject of the proposal is important to their national commercial interests.

#### **C.4.9 Cooperation and liaison**

**C.4.9.1** A list of relevant external international organizations or internal parties (other than ISO and/or IEC committees) to be engaged as liaisons in the development of the deliverable(s) shall be provided.

**C.4.9.2** In order to avoid conflict with, or duplication of efforts of, other bodies, it is important to indicate all points of possible conflict or overlap.

**C.4.9.3** The result of any communication with other interested bodies shall also be included.

#### **C.4.10 Affected stakeholders**

A simple and concise statement shall be provided identifying and describing relevant affected stakeholder categories (including small and medium sized enterprises) and how they will each benefit from or be impacted by the proposed deliverable(s).

#### **C.4.11 Base document (for proposals for new work items only)**

**C.4.11.1** When the proposer considers that an existing well-established document may be acceptable as a standard (with or without amendments) this shall be indicated with appropriate justification and a copy attached to the proposal.

**C.4.11.2** All proposals for new work items shall include an attached existing document to serve as an initial basis for the ISO or IEC deliverable or a proposed outline or table of contents.

**C.4.11.3** If an existing document is attached that is copyrighted or includes copyrighted content, the proposer shall ensure that appropriate permissions have been granted in writing for ISO or IEC to use that copyrighted content.

#### **C.4.12 Leadership commitment**

**C.4.12.1** In the case of a proposal for a new field of technical activity, the proposer shall indicate whether his organization is prepared to undertake the secretariat work required.

**C.4.12.2** In the case of a proposal for new work item, the proposer shall also nominate a project leader.

#### **C.4.13 Purpose and justification**

**C.4.13.1** The purpose and justification of the standard to be prepared shall be made clear and the need for standardization of each aspect (such as characteristics) to be included in the standard shall be justified.

**C.4.13.2** 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.

**C.4.13.3** Please note that the items listed in the bullet points below represent a menu of suggestions or ideas for possible documentation to support the purpose and justification of proposals. Proposers should consider these suggestions, but they are not limited to them, nor are they required to comply strictly with them. What is most important is that proposers develop and provide purpose and justification information that is most relevant to their proposals and that makes a substantial business case for the market relevance and need of their proposals. Thorough, well-developed and robust purpose and

justification documentation will lead to more informed consideration of proposals and ultimately their possible success in the ISO and IEC systems.

- A simple and concise statement describing the business, technological, societal or environmental issue that the proposal seeks to address, preferably linked to the Strategic Business Plan of the concerned ISO or IEC committee.
- Documentation on relevant global metrics that demonstrate the extent or magnitude of the economic, technological, societal or environmental issue, or the new market. This may include an estimate of the potential sales of the resulting standard(s) as an indicator of potential usage and global relevance.
- Technological benefit — a simple and concise statement describing the technological impact of the proposal to support coherence in systems and emerging technologies, convergence of merging technologies, interoperability, resolution of competing technologies, future innovation, etc.
- Economic benefit — a simple and concise statement describing the potential of the proposal to remove barriers to trade, improve international market access, support public procurement, improve business efficiency for a broad range of enterprises including small and medium sized ones, and/or result in a flexible, cost-effective means of complying with international and regional rules/conventions, etc. A simple cost/benefit analysis relating the cost of producing the deliverable(s) to the expected economic benefit to businesses worldwide may also be helpful.
- Societal benefit(s) — a simple and concise statement describing any societal benefits expected from the proposed deliverable(s).
- Environmental benefit(s) — a simple and concise statement describing any environmental or wider sustainability benefits expected from the proposed deliverable(s).
- A simple and concise statement clearly describing the intended use(s) of the proposed deliverable(s), for example, whether the deliverable is intended as requirements to support conformity assessment or only as guidance or recommended best practices; whether the deliverable is a management system standard; whether the deliverable is intended for use or reference in technical regulation; whether the deliverable is intended to be used to support legal cases in relation to international treaties and agreements.
- A simple and concise statement of metrics for the committee to track in order to assess the impact of the published standard over time to achieve the benefits to stakeholders documented under [C.4.10](#) above.
- A statement assessing the prospect of the resulting deliverable(s) being compliant with, for the IEC, the IEC Global Relevance Policy: [http://www.iec.ch/members\\_experts/refdocs/ac\\_cl/AC\\_200817e\\_AC.pdf](http://www.iec.ch/members_experts/refdocs/ac_cl/AC_200817e_AC.pdf) and for ISO, with ISO's Global Relevance Policy [http://www.iso.org/iso/home/standards\\_development/governance\\_of\\_technical\\_work.htm](http://www.iso.org/iso/home/standards_development/governance_of_technical_work.htm) and the ISO/TMB recommendations (see NOTE 1 below) regarding sustainable development and sustainability, where relevant.

NOTE 1 For ISO, the ISO/TMB confirmed the following recommendations: 1) When a committee (in any sector) develops a standard dealing with sustainability/sustainable development the standard must remain within the context of the committee's scope of work; 2) The committee should also notify the TMB with the title and scope as early as possible; 3) The committee undertaking such work should clarify its intentions in the Introduction of the specific standard(s); 4) The most widely used definition of sustainable development is the one from the UN Brundtland committee on sustainable development: development that meets the needs of the present without compromising the ability of future generations to meet their own needs.

- A statement assessing the proposal's compliance with the Principles for developing ISO and IEC Standards related to or supporting public policy initiatives (for ISO see Annex SO in the Consolidated ISO Supplement and for IEC and ISO see [Using and referencing ISO and IEC standards to support public policy](#): <http://www.iso.org/sites/policy/>) and the possible relation of the resulting deliverable(s) to public policy, including a statement regarding the potential for easier market access due to conformity with appropriate legislation.

## **Annex D** **(normative)**

### **Resources of secretariats and qualifications of secretaries**

#### **D.1 Terms and definitions**

##### **D.1.1**

##### **secretariat**

National Body to which has been assigned, by mutual agreement, the responsibility for providing technical and administrative services to a technical committee or subcommittee

##### **D.1.2**

##### **secretary**

individual appointed by the secretariat to manage the technical and administrative services provided

#### **D.2 Resources of a secretariat**

A National Body 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 National Body itself that is ultimately responsible for the proper functioning of the secretariat. National Bodies undertaking secretariat functions shall become party to the ISO Service Agreement or IEC Basic Agreement, as appropriate.

The secretariat shall therefore have adequate administrative and financial means or backing to ensure:

- a) facilities for word-processing in English and/or French, for providing texts electronically, and for any necessary reproduction of documents;
- b) preparation of adequate technical illustrations;
- c) identification and use, with translation where necessary, of documents received in the official languages;
- d) updating and continuous supervision of the structure of the committee and its subsidiary bodies, if any;
- e) reception and prompt dispatch of correspondence and documents;
- f) adequate communication facilities by telephone, telefax and electronic mail;
- g) access to the Internet;
- h) arrangements and facilities for translation, interpretation and services during meetings, in collaboration with the host National Body, as required;
- i) attendance of the secretary at any meetings requiring his/her presence, including technical committee and/or subcommittee meetings, editing committee meetings, working group meetings, and consultations with the chair when necessary;
- j) access by the secretary to basic International Standards (see the ISO/IEC Directives, Part 2, 2016, Annex D) and to International Standards, national standards and/or related documents in the field under consideration;

- k) access by the secretary, when necessary, to experts capable of advising on technical issues in the field of the committee.

Whilst the Chief Executive Officer endeavours to send his representative to the first meeting of a technical committee, to meetings of technical committees with new secretariats, and to any technical committee or subcommittee meeting where such presence is desirable for solving problems, the office of the CEO cannot undertake to carry out the work for a secretariat, on a permanent or temporary basis.

### **D.3 Requirements of a secretary**

The individual appointed as secretary shall

- a) have sufficient knowledge of English and/or French;
- b) be familiar with the *Statutes and rules of procedure*, as appropriate, and with the ISO/IEC Directives (see the respective Supplements to the ISO/IEC Directives);
- c) be in a position to advise the committee and any subsidiary bodies on any point of procedure or drafting, after consultation with the office of the CEO if necessary;
- d) be aware of any council board or technical management board decision regarding the activities of the technical committees in general and of the committee for which s/he is responsible in particular;
- e) be a good organizer and have training in and ability for technical and administrative 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, if any;
- f) be familiar with the documentation supplied by the offices of CEO, in particular the use of electronic tools and services.

It is recommended that newly appointed secretaries of technical committees should make an early visit to the office of the CEO in Geneva in order to discuss procedures and working methods with the staff concerned.

## **Annex E** **(normative)**

### **General policy on the use of languages**

#### **E.1 Expressing and communicating ideas in an international environment**

At the international level, it is common practice to use at least two languages. There are a number of reasons why it is advantageous to use two languages, for example:

- greater clarity and accuracy of meaning can be achieved by expressing a given concept in two languages which have different grammar and syntax;
- if consensus is reached on the basis of a text drafted in only one language, difficulties may arise when it comes to putting that text into another language. Some questions may have to be rediscussed, and this can cause delay if the text originally agreed upon has to be altered. Subsequent drafting into a second language of a text already approved in the first language often brings to light difficulties of expression that could have been avoided if both versions had been prepared at the same time and then amended together;
- to ensure that international meetings will be as productive as possible, it is important for the agreements reached to be utterly devoid of ambiguity, and there has to be no risk that these agreements can be called back into question because of misunderstandings of a linguistic nature;
- the use of two languages chosen from two linguistic groups widens the number of prospective delegates who might be appointed to attend the meetings;
- it becomes easier to express a concept properly in other languages if there are already two perfectly harmonized versions.

#### **E.2 The use of languages in the technical work**

The official languages are English, French and Russian.

The work of the technical committees and the correspondence may be in any one or more of these languages, whichever is or are appropriate.

For the purposes of the above, the National Body for the Russian Federation provides all interpretation and translation into and from the Russian language.

#### **E.3 International Standards**

International Standards are published by the ISO and IEC in English and in French (and sometimes in multilingual editions also including Russian and other languages, especially in cases of terminology). These versions of a given International Standard are equivalent, and each is regarded as being an original-language version.

It is advantageous for the technical content of a standard to be expressed in both English and French from the outset of the drafting procedure, so that these two versions will be studied, amended and adopted at the same time and their linguistic equivalence will be ensured at all times. (See also the ISO/IEC Directives, Part 2, 2016, 8.1.)

This may be done

- by the secretariat or, under the latter's responsibility, with outside assistance, or
- by the editing committee of the responsible technical committee or subcommittee, or
- by National Bodies whose national language is English or French and under an agreement concluded between those National Bodies and the secretariat concerned.

When it is decided to publish a multilingual International Standard (a vocabulary, for example), the National Body for the Russian Federation takes charge of the Russian portion of the text; similarly, when it is decided to publish an International Standard containing terms or material in languages other than the official languages, the National Bodies whose national languages are involved are responsible for selecting the terms or for drafting the portions of text which are to be in those languages.

## **E.4 Other publications developed by technical committees**

Other publications may be issued in one official language only.

## **E.5 Documents for technical committee and subcommittee meetings**

### **E.5.1 Drafts and documents referred to the agenda**

The documents prepared and circulated prior to a meeting are the following.

#### **a) Draft agendas**

Draft agendas are prepared in both English and French whenever possible by the responsible secretariats and are reproduced and distributed.

#### **b) Committee drafts referred to in the agenda**

It is desirable that both the English and the French versions of committee drafts referred to in the agenda will be available for the meeting.

Enquiry drafts shall be available in English and French. The ISO Council or IEC Standardization Management Board guidelines shall be applied where one of the language versions is not available in due time.

Other documents (sundry proposals, comments, etc.) relating to agenda items may be prepared in only one language (English or French).

### **E.5.2 Documents prepared and circulated during a meeting**

The documents prepared and circulated during a meeting are the following.

#### **a) Resolutions adopted during the meeting**

An ad hoc drafting committee, formed at the beginning of each meeting and comprising the secretary and, whenever possible, one or more delegates of English and/or French mother tongue, edits each of the proposed resolutions.

#### **b) Brief minutes, if any, prepared after each session**

If such minutes are prepared, they shall be drafted in English or French and preferably in both with, if necessary, the assistance of the ad hoc drafting committee.



### **E.5.3 Documents prepared and circulated after a meeting**

After each technical committee or subcommittee meeting, the secretariat concerned shall draft a report of the meeting, which may be in only one language (English or French) and which includes, as annex, the full text of the resolutions adopted, preferably in both English and French.

### **E.6 Documents prepared in languages other than English or French**

National Bodies whose national language is neither English nor French may translate any documents circulated by secretariats into their own national language in order to facilitate the study of those documents by the experts of their country or to assist the delegates they have appointed to attend the meetings of the technical committees and subcommittees.

If one language is common to two or more National Bodies, one of them may at any time take the initiative of translating technical documents into that language and of providing copies to other National Bodies in the same linguistic group.

The terms of the above two paragraphs may be applied by the secretariats for their own needs.

### **E.7 Technical meetings**

#### **E.7.1 Purpose**

The purpose of technical meetings is to achieve as full agreement as possible on the various agenda items and every effort shall be made to ensure that all delegates understand one another.

#### **E.7.2 Interpretation of debates into English and French**

Although the basic documents may be available in both English and French, it has to be determined according to the case whether interpretation of statements expressed in one language should be given in the other language

- by a volunteer delegate,
- by a staff member from the secretariat or host National Body, or
- by an adequately qualified interpreter.

Care should also be taken that delegates who have neither English nor French as mother tongue can follow the meeting to a sufficient extent.

It is impractical to specify rules concerning the necessity of interpreting the debates at technical meetings. It is essential, of course that all delegates should be able to follow the discussions, but it may not be altogether essential to have a word-for-word interpretation of each statement made.

In view of the foregoing, and except in special cases where interpretation may not be necessary, the following practice is considered appropriate:

- a) for meetings where procedural decisions are expected to be taken, brief interpretation may be provided by a member of the secretariat or a volunteer delegate;
- b) at working group meetings, the members should, whenever possible, arrange between themselves for any necessary interpretation on the initiative and under the authority of the convenor of the working group.

To enable the secretariat responsible for a meeting to make any necessary arrangements for interpretation, the secretariat should be informed, at the same time as it is notified of attendance at the meeting, of the languages in which the delegates are able to express themselves and of any aid which delegates might be able to provide in the matter of interpretation.



In those cases where a meeting is conducted mainly in one language, the following practice should be adopted as far as is practicable in order to assist delegates having the other language:

- a) the decision taken on one subject should be announced in both languages before passing to the next subject;
- b) whenever a change to an existing text is approved in one language, time should be allowed for delegates to consider the effect of this change on the other language version;
- c) a summary of what has been said should be provided in the other language if a delegate so requests.

### **E.7.3 Interpretation into English and French of statements made in other languages**

When at a meeting of a technical committee or a subcommittee a participant wishes, in view of exceptional circumstances, to speak in any language other than English or French, the chair of the session shall be entitled to authorize this, for the session in question, provided that a means of interpretation has been secured.

In order to give all experts an equal opportunity to express their views at meetings of technical committees and subcommittees, a very flexible application of this provision is recommended.

## Annex F (normative)

### Options for development of a project

#### F.1 Simplified diagram of options

Project stage	Normal procedure	Draft submitted with proposal	"Fast-track procedure" <sup>a</sup>	Technical Specification <sup>b</sup>	Technical Report <sup>c</sup>	Publicly Available Specification <sup>d</sup>
<b>Proposal stage</b> (see 2.3)	Acceptance of proposal	Acceptance of proposal	Acceptance of proposal <sup>a</sup>	Acceptance of proposal		Acceptance of proposal <sup>g</sup>
<b>Preparatory stage</b> (see 2.4)	Preparation of working draft	<i>Study by working group <sup>e</sup></i>		Preparation of draft		Approval of draft PAS
<b>Committee stage</b> (see 2.5)	Development and acceptance of committee draft	<i>Development and acceptance of committee draft <sup>e</sup></i>		Acceptance of draft	Acceptance of draft	
<b>Enquiry stage</b> (see 2.6)	Development and acceptance of enquiry draft	Development and acceptance of enquiry draft	Acceptance of enquiry draft			
<b>Approval stage</b> (see 2.7)	<i>Approval of FDIS <sup>f</sup></i>	<i>Approval of FDIS <sup>f</sup></i>	<i>Approval of FDIS <sup>f</sup></i>			
<b>Publication stage</b> (see 2.8)	Publication of International Standard	Publication of International Standard	Publication of International Standard	Publication of Technical Specification	Publication of Technical Report	Publication of PAS

Stages in *italics*, enclosed by dotted circles may be omitted.

<sup>a</sup> See F.2.

<sup>b</sup> See 3.1.

<sup>c</sup> See 3.3.

<sup>d</sup> See 3.2.

<sup>e</sup> According to the result of the vote on the new work item proposal, both the preparatory stage and the committee stage may be omitted.

<sup>f</sup> May be omitted if the enquiry draft was approved without negative votes.

<sup>g</sup> See ISO and IEC Supplements for details on proposals for PAS.

## F.2 “Fast-track procedure”

**F.2.1** Proposals to apply the fast-track procedure may be made as follows.

**F.2.1.1** Any P-member or category A liaison organization of a concerned technical committee or subcommittee may propose that an **existing standard from any source** be submitted for vote as an enquiry draft. The proposer shall obtain the agreement of the originating organization before making a proposal. The criteria for proposing an existing standard for the fast-track procedure are a matter for each proposer to decide.

**F.2.1.2** An international standardizing body recognized by the ISO or IEC council board may propose that a **standard developed by that body** be submitted for vote as a final draft International Standard.

**F.2.1.3** An organization having entered into a formal technical agreement with ISO or IEC may propose, in agreement with the appropriate technical committee or subcommittee, that a **draft standard developed by that organization** be submitted for vote as an enquiry draft within that technical committee or subcommittee.

**F.2.2** The proposal shall be received by the Chief Executive Officer, who shall take the following actions:

- a) settle the copyright and/or trademark situation with the organization having originated the proposed document, so that it can be freely copied and distributed to National Bodies without restriction;
- b) for cases [F.2.1.1](#) and [F.2.1.3](#), assess in consultation with the relevant secretariats which technical committee/subcommittee is competent for the subject covered by the proposed document; where no technical committee exists competent to deal with the subject of the document in question, the Chief Executive Officer shall refer the proposal to the technical management board, which may request the Chief Executive Officer to submit the document to the enquiry stage and to establish an ad hoc group to deal with matters subsequently arising;
- c) ascertain that there is no evident contradiction with other International Standards;
- d) distribute the proposed document as an enquiry draft ([F.2.1.1](#) and [F.2.1.3](#)) in accordance with [2.6.1](#), or as a final draft International Standard (case [F.2.1.2](#)) in accordance with [2.7.1](#), indicating (in cases [F.2.1.1](#) and [F.2.1.3](#)) the technical committee/subcommittee to the domain of which the proposed document belongs.

**F.2.3** The period for voting and the conditions for approval shall be as specified in [2.6](#) for an enquiry draft and [2.7](#) for a final draft International Standard. In the case where no technical committee is involved, the condition for approval of a final draft International Standard is that not more than one-quarter of the total number of votes cast are negative.

In ISO the voting period on a proposal submitted as a final draft International Standard shall be 20 weeks.

**F.2.4** If, for an enquiry draft, the conditions of approval are met, the draft standard shall progress to the approval stage ([2.7](#)). If not, the proposal has failed and any further action shall be decided upon by the technical committee/subcommittee to which the document was attributed in accordance with [F.2.2](#) b).

The committee leadership can decide whether or not to skip the FDIS vote, and go straight to publication — see [2.6.4](#).

If, for a final draft International Standard, the conditions of approval are met, the document shall progress to the publication stage ([2.8](#)). If not, the proposal has failed and any further action shall be decided upon by the technical committee/subcommittee to which the FDIS was attributed in accordance with [F.2.2](#) b), or by discussion between the originating organization and the office of the CEO if no technical committee was involved.

If the standard is published, its maintenance shall be handled by the technical committee/subcommittee to which the document was attributed in accordance with [F.2.2](#) b), or, if no technical committee was involved, the approval procedure set out above shall be repeated if the originating organization decides that changes to the standard are required.

## **Annex G** **(normative)**

### **Maintenance agencies**

**G.1** A technical committee or subcommittee developing an International Standard that will require a maintenance agency shall inform the Chief Executive Officer at an early stage in order that an ISO/TMB or IEC Council Board decision may be taken in advance of the publication of the International Standard.

**G.2** The ISO/TMB or IEC Council Board designates maintenance agencies in connection with International Standards, including appointment of their members, on the proposal of the technical committee concerned.

**G.3** The secretariat of a maintenance agency should be attributed wherever possible to the secretariat of the technical committee or subcommittee that has prepared the International Standard.

**G.4** The Chief Executive Officer shall be responsible for contacts with external organizations associated with the work of a maintenance agency.

**G.5** The rules of procedure of maintenance agencies shall be subject to ISO/TMB or IEC Council Board approval and any requested delegation of authority in connection with the updating of the International Standard or the issuing of amendments shall be specifically authorized by the ISO/TMB or IEC Council Board.

**G.6** Any charges for services provided by a maintenance agency shall be authorized by the council board.

## **Annex H** **(normative)**

### **Registration authorities**

**H.1** A technical committee or subcommittee developing an International Standard that will require a registration authority shall inform the Chief Executive Officer at an early stage, in order to permit any necessary negotiations and to allow the technical management board to take a decision in advance of the publication of the International Standard.

**H.2** The technical management board designates registration authorities in connection with International Standards on the proposal of the technical committee concerned.

**H.3** Registration authorities should be qualified and internationally acceptable bodies; if there is no such organization available, such tasks may be conferred upon the office of the CEO by decision of the technical management board.

**H.4** Registration authorities should be required to indicate clearly in their operations that they have been designated by ISO or IEC (for example, by including appropriate wording in the letterhead of the designated body).

**H.5** Registration functions undertaken by the registration authority under the provisions of the relevant International Standard shall require no financial contribution from ISO or IEC or their members. This would not preclude, however, the charging for services provided by the registration authority if duly authorized by the council board.

## **Annex I** (normative)

### **Guideline for Implementation of the Common Patent Policy for ITU-T/ITU-R/ISO/IEC**

The latest edition of the Guidelines for Implementation of the Common Patent Policy for ITU-T/ITU-R/ISO/IEC are available on the ISO website through the following link (including the forms in Word or Excel formats):

[http://www.iso.org/iso/home/standards\\_development/governance\\_of\\_technical\\_work/patents.htm](http://www.iso.org/iso/home/standards_development/governance_of_technical_work/patents.htm)

They are also available on the IEC website through the following link:

[http://www.iec.ch/members\\_experts/tools/patents/documents/ITU-T\\_ITU-R\\_ISO\\_IEC\\_Common\\_Guidelines\\_2015-06-26.pdf](http://www.iec.ch/members_experts/tools/patents/documents/ITU-T_ITU-R_ISO_IEC_Common_Guidelines_2015-06-26.pdf)



## **Guidelines for Implementation of the Common Patent Policy for ITU-T/ITU-R/ISO/IEC**

Revision 2, effective 26 June 2015

Revision 1, effective 23 April 2012

Revises initial edition of 1 March 2007

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## Guidelines for Implementation of the Common Patent Policy for ITU-T/ITU-R/ISO/IEC

Revision 2, effective 26 June 2015

### Part I – Common guidelines

#### I.1 Purpose

ITU, in its Telecommunication Standardization Sector (ITU-T) and its Radiocommunication Sector (ITU-R), ISO and IEC have had patent policies for many years, the purpose being to provide in simple words practical guidance to the participants in their Technical Bodies in case patent rights matters arise.

Considering that the technical experts are normally not familiar with the complex issue of patent law, the Common Patent Policy for ITU-T/ITU-R/ISO/IEC (hereafter referred to as the “Patent Policy”) was drafted in its operative part as a checklist, covering the three different cases which may arise if a Recommendation | Deliverable requires licences for Patents to be practiced or implemented, fully or partly.

The Guidelines for Implementation of the Common Patent Policy for ITU-T/ITU-R/ISO/IEC (hereafter referred to as the “Guidelines”) are intended to clarify and facilitate implementation of the Patent Policy, a copy of which can be found in Annex 1 and also on the web site of each Organization.

The Patent Policy encourages the early disclosure and identification of Patents that may relate to Recommendations | Deliverables under development. In doing so, greater efficiency in standards development is possible and potential patent rights problems can be avoided.

The Organizations should not be involved in evaluating patent relevance or essentiality with regards to Recommendations | Deliverables, interfere with licensing negotiations, or engage in settling disputes on Patents; this should be left - as in the past - to the parties concerned.

Organization-specific provisions are contained in Part II of this document. However, it is understood that those Organization-specific provisions shall contradict neither the Patent Policy nor the Guidelines.

#### I.2 Explanation of terms

**Contribution:** Any document submitted for consideration by a Technical Body.

**Free of Charge:** The words “Free of Charge” do not mean that the Patent Holder is waiving all of its rights with respect to the Patent. Rather, “Free of Charge” refers to the issue of monetary compensation; *i.e.*, that the Patent Holder will not seek any monetary compensation as part of the licensing arrangement (whether such compensation is called a royalty, a one-time licensing fee, etc.). However, while the Patent Holder in this situation is committing to not charging any monetary amount, the Patent Holder is still entitled to require that the implementer of the relevant Recommendation | Deliverable sign a license agreement that contains other reasonable terms and conditions such as those relating to governing law, field of use, warranties, etc.

**Organizations:** ITU, ISO and IEC.

**Patent:** The word “Patent” means those claims contained in and identified by patents, utility models and other similar statutory rights based on inventions (including applications for any of these) solely to the extent that any such claims are essential to the implementation of a Recommendation | Deliverable. Essential patents are patents that would be required to implement a specific Recommendation | Deliverable.

**Patent Holder:** Person or entity that owns, controls and/or has the ability to license Patents.

**Reciprocity:** The word “Reciprocity” means that the Patent Holder shall only be required to license any prospective licensee if such prospective licensee will commit to license its Patent(s) for implementation of the same relevant Recommendation | Deliverable Free of Charge or under reasonable terms and conditions.

**Recommendations | Deliverables:** ITU-T and ITU-R Recommendations are referred to as “Recommendations”, ISO deliverables and IEC deliverables are referred to as “Deliverables”. The various types of Recommendation(s) | Deliverable(s) are referred to as “Document types” in the Patent Statement and Licensing Declaration Form (hereafter referred to as “Declaration Form”) attached as Annex 2.

**Technical Bodies:** Study Groups, any subordinate groups and other groups of ITU-T and ITU-R and technical committees, subcommittees and working groups in ISO and IEC.

### I.3 Patent disclosure

As mandated by the Patent Policy in its paragraph 1, any party participating <sup>3)</sup> in the work of the Organizations should, from the outset, draw their attention to any known Patent or to any known pending Patent application, either its own or that of other organizations.

In this context, the words “from the outset” imply that such information should be disclosed as early as possible during the development of the Recommendation | Deliverable. This might not be possible when the first draft text appears since at this time, the text might be still too vague or subject to subsequent major modifications. Moreover, that information should be provided in good faith and on a best effort basis, but there is no requirement for patent searches.

In addition to the above, any party not participating in Technical Bodies may draw the attention of the Organizations to any known Patent, either their own and/or of any third-party.

When disclosing their own Patents, Patent Holders have to use the Patent Statement and Licensing Declaration Form (referred to as the “Declaration Form”) as stated in Section 4 of these Guidelines.

Any communication drawing the attention to any third-party Patent should be addressed to the concerned Organization(s) in writing. The potential Patent Holder will then be requested by the Director/CEO of the relevant Organization(s) to submit a Declaration Form, if applicable.

The Patent Policy and these Guidelines also apply to any Patent disclosed or drawn to the attention of the Organizations subsequent to the approval of a Recommendation | Deliverable.

Whether the identification of the Patent took place before or after the approval of the Recommendation | Deliverable, if the Patent Holder is unwilling to license under paragraph 2.1 or 2.2 of the Patent Policy, the Organizations will promptly advise the Technical Bodies responsible for the affected Recommendation | Deliverable so that appropriate action can be taken. Such action will include, but may not be limited to, a review of the Recommendation | Deliverable or its draft in order to remove the potential conflict or to further examine and clarify the technical considerations causing the conflict.

### I.4 Patent Statement and Licensing Declaration Form

#### I.4.1 The purpose of the Declaration Form

To provide clear information in the Patent Information databases of each Organization, Patent Holders have to use the Declaration Form, which is available on the web site of each Organization (the Declaration Form is included in Annex 2 for information purposes). They must be sent to the Organizations for the attention, for ITU, of the Directors of the TSB or the BR or, for ISO or IEC, of the CEOs. The purpose of the Declaration Form is to ensure a standardized submission to the respective Organizations of the declarations being made by Patent Holders.

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3) In the case of ISO and IEC, this includes any recipient of a draft standard at any stage in the standards development process.

The Declaration Form gives Patent Holders the means of making a licensing declaration relative to rights in Patents required for implementation of a specific Recommendation | Deliverable. Specifically, by submitting this Declaration Form the submitting party declares its willingness to license (by selecting option 1 or 2 on the Form) /or its unwillingness to license (by selecting option 3 on the Form), according to the Patent Policy, Patents held by it and whose licence would be required to practice or implement part(s) or all of a specific Recommendation | Deliverable.

If a Patent Holder has selected the licensing option 3 on the Declaration Form, then, for the referenced relevant ITU Recommendation, the ITU requires the Patent Holder to provide certain additional information permitting patent identification. In such a situation, for any relevant ISO or IEC Deliverable, the ISO and IEC strongly encourage (but do not require) the Patent Holder to provide certain additional information permitting patent identification.

Multiple Declaration Forms are appropriate if the Patent Holder wishes to identify several Patents and classifies them in different options of the Declaration Form for the same Recommendation | Deliverable or if the Patent Holder classifies different claims of a complex patent in different options of the Declaration Form.

Information contained in a Declaration Form may be corrected in case of obvious errors, such as a typographical mistake in a standard or patent reference number. The licensing declaration contained in the Declaration Form remains in force unless it is superseded by another Declaration Form containing more favourable licensing terms and conditions from a licensee's perspective reflecting (a) a change in commitment from option 3 to either option 1 or option 2, (b) a change in commitment from option 2 to option 1 or (c) un-checking one or more sub-options contained within option 1 or 2.

### **I.4.2 Contact information**

In completing Declaration Forms, attention should be given to supplying contact information that will remain valid over time. Where possible, the "Name and Department" and e-mail address should be generic. Also it is preferable, where possible, that parties, particularly multinational organizations, indicate the same contact point on all Declaration Forms submitted.

With a view to maintaining up-to-date information in the Patent Information database of each Organization, it is requested that the Organizations be informed of any change or corrections to the Declaration Form submitted in the past, especially with regard to the contact person.

## **I.5 Conduct of meetings**

Early disclosure of Patents contributes to the efficiency of the process by which Recommendations | Deliverables are established. Therefore, each Technical Body, in the course of the development of a proposed Recommendation | Deliverable, will request the disclosure of any known Patents essential to the proposed Recommendation | Deliverable.

Chairmen of Technical Bodies will, if appropriate, ask, at an appropriate time in each meeting, whether anyone has knowledge of patents, the use of which may be required to practice or implement the Recommendation | Deliverable being considered. The fact that the question was asked shall be recorded in the meeting report, along with any affirmative responses.

As long as the Organization concerned has received no indication of a Patent Holder selecting paragraph 2.3 of the Patent Policy, the Recommendation | Deliverable may be approved using the appropriate and respective rules of the Organization concerned. It is expected that discussions in Technical Bodies will include consideration of including patented material in a Recommendation | Deliverable, however the Technical Bodies may not take position regarding the essentiality, scope, validity or specific licensing terms of any claimed Patents.

## **I.6 Patent Information database**

In order to facilitate both the standards-making process and the application of Recommendations | Deliverables, each Organization makes available to the public a Patent Information database composed of information that was communicated to the Organizations by the means of Declaration Forms. The Patent Information database may contain information on specific patents, or may contain no such information but rather a statement about compliance with the Patent Policy for a particular Recommendation | Deliverable.

The Patent Information databases are not certified to be either accurate or complete, but only reflect the information that has been communicated to the Organizations. As such, the Patent Information databases may be viewed as simply raising a flag to alert users that they may wish to contact the entities who have communicated Declaration Forms to the Organizations in order to determine if patent licenses must be obtained for use or implementation of a particular Recommendation | Deliverable.

## **I.7 Assignment or transfer of patent rights**

The rules governing the assignment or transfer of Patent rights are contained in the patent statement and licensing declaration forms (see Annexes 2 and 3). By complying with these rules, the Patent Holder has discharged in full all of its obligations and liability with regards to the licensing commitments after the transfer or assignment. These rules are not intended to place any duty on the Patent Holder to compel compliance with the licensing commitment by the assignee or transferee after the transfer occurs.

## Part II – Organization-specific provisions

### II.1 Specific provisions for ITU

#### ITU-1 General Patent Statement and Licensing Declaration Form

Anyone may submit a General Patent Statement and Licensing Declaration Form which is available on the web sites of ITU-T and ITU-R (the form in Annex 3 is included for information purposes). The purpose of this form is to give Patent Holders the voluntary option of making a general licensing declaration relative to material protected by Patents contained in any of their Contributions. Specifically, by submitting its form, the Patent Holder declares its willingness to license its Patents owned by it in case part(s) or all of any proposals contained in its Contributions submitted to the Organization are included in Recommendation(s) and the included part(s) contain items for which Patents have been filed and whose licence would be required to practice or implement Recommendation(s).

The General Patent Statement and Licensing Declaration Form is not a replacement for the “individual” (see clause 4 of Part I) Declaration Form, which is made per Recommendation, but is expected to improve responsiveness and early disclosure of the Patent Holder’s compliance with the Patent Policy. Therefore, in addition to its existing General Patent Statement and Licensing Declaration in respect of its Contributions, the Patent Holder should, when appropriate (e.g. if it becomes aware that it has a Patent for a specific Recommendation), also submit an “individual” Patent Statement and Licensing Declaration Form:

- for the Patents contained in any of its Contributions submitted to the Organization which are included in a Recommendation, any such “individual” Patent Statement and Licensing Declarations may contain either the same licensing terms and conditions as in the General Patent Statement and Licensing Declaration Form, or more favourable licensing terms and conditions from a licensee’s perspective as defined in the “individual” (see clause 4.1 of Part I) Declaration Form; and
- for the Patents that the Patent Holder did not contribute to the Organization which are included in a Recommendation, any such “individual” Patent Statement and Licensing Declarations may contain any of the three options available on the Form (see clause 4.1 of Part I), regardless of the commitment in its existing General Patent Statement and Licensing Declaration.

The General Patent Statement and Licensing Declaration remains in force unless it is superseded by another General Patent Statement and Licensing Declaration form containing more favourable licensing terms and conditions from a licensee’s perspective reflecting (a) a change in commitment from option 2 to option 1 or (b) un-checking one or more sub-options contained within option 1 or 2.

The ITU Patent Information database also contains a record of General Patent Statement and Licensing Declarations.

#### ITU-2 Notification

Text shall be added to the cover sheets of all new and revised ITU-T and ITU-R Recommendations, where appropriate, urging users to consult the ITU Patent Information database. The wording is:

“ITU draws attention to the possibility that the practice or implementation of this Recommendation may involve the use of a claimed Intellectual Property Right. ITU takes no position concerning the evidence, validity or applicability of claimed Intellectual Property Rights, whether asserted by ITU members or others outside of the Recommendation development process.

As of the date of approval of this Recommendation, ITU [had/had not] received notice of intellectual property, protected by patents, which may be required to implement this Recommendation. However, implementers are cautioned that this may not represent the latest information and are therefore strongly urged to consult the ITU Patent Information database.”

## II.2 Specific provisions for ISO and IEC

### ISO/IEC-1 Consultations on draft Deliverables

All drafts submitted for comment shall include on the cover page the following text:

“Recipients of this draft are invited to submit, with their comments, notification of any relevant patent rights of which they are aware and to provide supporting documentation.”

### ISO/IEC-2 Notification

A published document, for which no patent rights are identified during the preparation thereof, shall contain the following notice in the foreword:

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

A published document, for which patent rights have been identified during the preparation thereof, shall include the following notice in the introduction:

“The International Organization for Standardization (ISO) [and/or] International

Electrotechnical Commission (IEC) draws attention to the fact that it is claimed that compliance with this document may involve the use of a patent concerning (... subject matter ...) given in (... subclause ...).

ISO [and/or] IEC take[s] no position concerning the evidence, validity and scope of this patent right.

The holder of this patent right has assured the ISO [and/or] IEC that he/she is willing to negotiate licences under reasonable and non-discriminatory terms and conditions with applicants throughout the world. In this respect, the statement of the holder of this patent right is registered with ISO [and/or] IEC. Information may be obtained from:

name of holder of patent right ...

address ...

Attention is drawn to the possibility that some of the elements of this document may be the subject of patent rights other than those identified above. ISO [and/or] IEC shall not be held responsible for identifying any or all such patent rights.”

### ISO/IEC-3 National Adoptions

Patent Declarations in ISO, IEC and ISO/IEC Deliverables apply only to the ISO and/or IEC documents indicated in the Declaration Forms. Declarations do not apply to documents that are altered (such as through national or regional adoption). However, implementations that conform to identical national and regional adoptions and the respective ISO and/or IEC Deliverables, may rely on Declarations submitted to ISO and/or IEC for such Deliverables.



## ANNEX 1

### COMMON PATENT POLICY FOR ITU-T/ITU-R/ISO/IEC

The following is a “code of practice” regarding patents covering, in varying degrees, the subject matters of ITU-T Recommendations, ITU-R Recommendations, ISO deliverables and IEC deliverables (for the purpose of this document, ITU-T and ITU-R Recommendations are referred to as “Recommendations”, ISO deliverables and IEC deliverables are referred to as “Deliverables”). The rules of the “code of practice” are simple and straightforward. Recommendations | Deliverables are drawn up by technical and not patent experts; thus, they may not necessarily be very familiar with the complex international legal situation of intellectual property rights such as patents, etc.

Recommendations | Deliverables are non-binding; their objective is to ensure compatibility of technologies and systems on a worldwide basis. To meet this objective, which is in the common interests of all those participating, it must be ensured that Recommendations | Deliverables, their applications, use, etc. are accessible to everybody.

It follows, therefore, that a patent embodied fully or partly in a Recommendation | Deliverable must be accessible to everybody without undue constraints. To meet this requirement in general is the sole objective of the code of practice. The detailed arrangements arising from patents (licensing, royalties, etc.) are left to the parties concerned, as these arrangements might differ from case to case.

This code of practice may be summarized as follows:

- 1 The ITU Telecommunication Standardization Bureau (TSB), the ITU Radio-communication Bureau (BR) and the offices of the CEOs of ISO and IEC are not in a position to give authoritative or comprehensive information about evidence, validity or scope of patents or similar rights, but it is desirable that the fullest available information should be disclosed. Therefore, any party participating in the work of ITU, ISO or IEC should, from the outset, draw the attention of the Director of ITU-TSB, the Director of ITU-BR, or the offices of the CEOs of ISO or IEC, respectively, to any known patent or to any known pending patent application, either their own or of other organizations, although ITU, ISO or IEC are unable to verify the validity of any such information.
- 2 If a Recommendation | Deliverable is developed and such information as referred to in paragraph 1 has been disclosed, three different situations may arise:
  - 2.1 The patent holder is willing to negotiate licences free of charge with other parties on a non-discriminatory basis on reasonable terms and conditions. Such negotiations are left to the parties concerned and are performed outside ITU-T/ITU-R/ISO/IEC.
  - 2.2 The patent holder is willing to negotiate licences with other parties on a non-discriminatory basis on reasonable terms and conditions. Such negotiations are left to the parties concerned and are performed outside ITU-T/ITU-R/ISO/IEC.
  - 2.3 The patent holder is not willing to comply with the provisions of either paragraph 2.1 or paragraph 2.2; in such case, the Recommendation | Deliverable shall not include provisions depending on the patent.
- 3 Whatever case applies (2.1, 2.2 or 2.3), the patent holder has to provide a written statement to be filed at ITU-TSB, ITU-BR or the offices of the CEOs of ISO or IEC, respectively, using the appropriate “Patent Statement and Licensing Declaration” Form. This statement must not include additional provisions, conditions, or any other exclusion clauses in excess of what is provided for each case in the corresponding boxes of the form.

ANNEX 2

PATENT STATEMENT AND LICENSING DECLARATION FORM FOR  
ITU-T OR ITU-R RECOMMENDATION | ISO OR IEC DELIVERABLE



**Patent Statement and Licensing Declaration  
for ITU-T or ITU-R Recommendation | ISO or IEC Deliverable**

*This declaration does not represent an actual grant of a license*

Please return to the relevant organization(s) as instructed below per document type:

Director  
Telecommunication  
Standardization Bureau  
International  
Telecommunication  
Union  
Place des Nations  
CH-1211 Geneva 20  
Switzerland  
Fax: +41 22 730 5853  
Email: [tsbdir@itu.int](mailto:tsbdir@itu.int)

Director  
Radiocommunication Bureau  
International  
Telecommunication  
Union  
Place des Nations  
CH-1211 Geneva 20  
Switzerland  
Fax: +41 22 730 5785  
Email: [brmail@itu.int](mailto:brmail@itu.int)

Secretary-General  
International Organization  
for Standardization  
8 chemin de Blandonnet  
CH-1214 Vernier, Geneva  
Switzerland  
Fax: +41 22 733 3430  
Email:  
[patent.statements@iso.org](mailto:patent.statements@iso.org)

General Secretary  
International Electrotechnical  
Commission  
3 rue de Varembé  
CH-1211 Geneva 20  
Switzerland  
Fax: +41 22 919 0300  
Email: [inmail@iec.ch](mailto:inmail@iec.ch)

**Patent Holder:**

Legal Name \_\_\_\_\_

**Contact for license application:**

Name &  
Department \_\_\_\_\_

Address \_\_\_\_\_

Tel. \_\_\_\_\_

Fax \_\_\_\_\_

E-mail \_\_\_\_\_

URL (optional) \_\_\_\_\_

**Document type:**

☐ ITU-T Rec. (\*)    ☐ ITU-R Rec. (\*)    ☐ ISO Deliverable (\*)    ☐ IEC Deliverable (\*)  
(please return the form to the relevant Organization)

☐ **Common text or twin text (ITU-T Rec. | ISO/IEC Deliverable (\*))** (for common text or twin text,  
please return the form to each of the three Organizations: ITU-T, ISO, IEC)

☐ **ISO/IEC Deliverable (\*)** (for ISO/IEC Deliverables, please return the form to both ISO and IEC)

(\*) Number \_\_\_\_\_

(\*) Title \_\_\_\_\_

**Licensing declaration:**

The Patent Holder believes that it holds granted and/or pending applications for Patents, the use of which would be required to implement the above document and hereby declares, in accordance with the Common Patent Policy for ITU-T/ITU-R/ISO/IEC, that (check one box only):

- ☐ 1. The Patent Holder is prepared to grant a Free of Charge license to an unrestricted number of applicants on a worldwide, non-discriminatory basis and under other reasonable terms and conditions to make, use, and sell implementations of the above document.

Negotiations are left to the parties concerned and are performed outside the ITU-T, ITU-R, ISO or IEC.

*Also mark here \_\_\_ if the Patent Holder's willingness to license is conditioned on Reciprocity for the above document.*

*Also mark here \_\_\_ if the Patent Holder reserves the right to license on reasonable terms and conditions (but not Free of Charge) to applicants who are only willing to license their Patent, whose use would be required to implement the above document, on reasonable terms and conditions (but not Free of Charge).*

- ☐ 2. The Patent Holder is prepared to grant a license to an unrestricted number of applicants on a worldwide, non-discriminatory basis and on reasonable terms and conditions to make, use and sell implementations of the above document.

Negotiations are left to the parties concerned and are performed outside the ITU-T, ITU-R, ISO or IEC.

*Also mark here \_\_\_ if the Patent Holder's willingness to license is conditioned on Reciprocity for the above document.*

- ☐ 3. The Patent Holder is unwilling to grant licenses in accordance with provisions of either 1 or 2 above.

In this case, the following information must be provided to ITU, and is strongly desired by ISO and IEC, as part of this declaration:

- granted patent number or patent application number (if pending);
- an indication of which portions of the above document are affected;
- a description of the Patents covering the above document.

**Free of Charge:** The words "Free of Charge" do not mean that the Patent Holder is waiving all of its rights with respect to the Patent. Rather, "Free of Charge" refers to the issue of monetary compensation; *i.e.*, that the Patent Holder will not seek any monetary compensation as part of the licensing arrangement (whether such compensation is called a royalty, a one-time licensing fee, etc.). However, while the Patent Holder in this situation is committing to not charging any monetary amount, the Patent Holder is still entitled to require that the implementer of the same above document sign a license agreement that contains other reasonable terms and conditions such as those relating to governing law, field of use, warranties, etc.

**Reciprocity:** The word "Reciprocity" means that the Patent Holder shall only be required to license any prospective licensee if such prospective licensee will commit to license its Patent(s) for implementation of the same above document Free of Charge or under reasonable terms and conditions.

**Patent:** The word "Patent" means those claims contained in and identified by patents, utility models and other similar statutory rights based on inventions (including applications for any of these) solely to the extent that any such claims are essential to the implementation of the same above document. Essential patents are patents that would be required to implement a specific Recommendation | Deliverable.

**Assignment/transfer of Patent rights:** Licensing declarations made pursuant to Clause 2.1 or 2.2 of the Common Patent Policy for ITU-T/ITU-R/ISO/IEC shall be interpreted as encumbrances that bind all successors-in-interest as to the transferred Patents. Recognizing that this interpretation may not apply in all jurisdictions, any Patent Holder who has submitted a licensing declaration according to the Common Patent Policy - be it selected as option 1 or 2 on the Patent Declaration form - who transfers ownership of a Patent that is subject to such licensing declaration shall include appropriate provisions in the relevant transfer documents to ensure that, as to such transferred Patent, the licensing declaration is binding on the transferee and that the transferee will similarly include appropriate provisions in the event of future transfers with the goal of binding all successors-in-interest.

<b>Patent Information</b> (desired but not required for options 1 and 2; required in ITU for option 3 (NOTE))				
<b>No.</b>	<b>Status</b> [granted / pending]	<b>Country</b>	<b>Granted Patent Number or Application Number (if pending)</b>	<b>Title</b>
1				
2				
3				
4				
5				
6				
7				
8				
9				
10				

☐ Check here if additional patent information is provided on additional pages.

NOTE For option 3, the additional minimum information that shall also be provided is listed in the option 3 box above.

<b>Signature (include on final page only):</b>	
Patent Holder	_____
Name of authorized person	_____
Title of authorized person	_____
Signature	_____
Place, Date	_____

FORM: 26 June 2015



ANNEX 3

GENERAL PATENT STATEMENT AND LICENSING DECLARATION FORM FOR  
ITU-T OR ITU-R RECOMMENDATION

ITU  
International Telecommunication Union



**General Patent Statement and Licensing Declaration  
for ITU-T or ITU-R Recommendation**

*This declaration does not represent an actual grant of a license*

Please return to the relevant bureau:

Director  
Telecommunication Standardization Bureau  
International Telecommunication Union  
Place des Nations  
CH-1211 Geneva 20  
Switzerland  
Fax: +41 22 730 5853  
Email: [tsbdir@itu.int](mailto:tsbdir@itu.int)

Director  
Radiocommunication Bureau  
International Telecommunication Union  
Place des Nations  
CH-1211 Geneva 20  
Switzerland  
Fax: +41 22 730 5785  
Email: [brmail@itu.int](mailto:brmail@itu.int)

**Patent Holder:**

Legal Name \_\_\_\_\_

**Contact for license application:**

Name &  
Department \_\_\_\_\_

Address \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Tel. \_\_\_\_\_

Fax \_\_\_\_\_

E-mail \_\_\_\_\_

URL (optional) \_\_\_\_\_

**Licensing declaration:**

In case part(s) or all of any proposals contained in Contributions submitted by the Patent Holder above are included in ITU-T/ITU-R Recommendation(s) and the included part(s) contain items for which Patents have been filed and whose use would be required to implement ITU-T/ITU-R Recommendation(s), the above Patent Holder hereby declares, in accordance with the Common Patent Policy for ITU-T/ITU-R/ISO/IEC (check one box only):

☐

1. The Patent Holder is prepared to grant a Free of Charge license to an unrestricted number of applicants on a worldwide, non-discriminatory basis and under other reasonable terms and conditions to make, use, and sell implementations of the relevant ITU-T/ITU-R Recommendation.

<p>Negotiations are left to the parties concerned and are performed outside the ITU-T/ITU-R.</p> <p><i>Also mark here ___ if the Patent Holder's willingness to license is conditioned on <u>Reciprocity</u> for the above ITU-T/ITU-R Recommendation.</i></p> <p><i>Also mark here ___ if the Patent Holder reserves the right to license on reasonable terms and conditions (but not <u>Free of Charge</u>) to applicants who are only willing to license their patent claims, whose use would be required to implement the above ITU-T/ITU-R Recommendation, on reasonable terms and conditions (but not <u>Free of Charge</u>).</i></p>
<p><input type="checkbox"/> 2. The Patent Holder is prepared to grant a license to an unrestricted number of applicants on a worldwide, non-discriminatory basis and on reasonable terms and conditions to make, use and sell implementations of the relevant ITU-T/ITU-R Recommendation.</p> <p>Negotiations are left to the parties concerned and are performed outside the ITU-T/ITU-R.</p> <p><i>Also mark here ___ if the Patent Holder's willingness to license is conditioned on <u>Reciprocity</u> for the above ITU-T/ITU-R Recommendation.</i></p>
<p><b>Free of Charge:</b> The words "Free of Charge" do not mean that the Patent Holder is waiving all of its rights with respect to the Patent. Rather, "Free of Charge" refers to the issue of monetary compensation; <i>i.e.</i>, that the Patent Holder will not seek any monetary compensation as part of the licensing arrangement (whether such compensation is called a royalty, a one-time licensing fee, etc.). However, while the Patent Holder in this situation is committing to not charging any monetary amount, the Patent Holder is still entitled to require that the implementer of the relevant ITU-T/ITU-R Recommendation sign a license agreement that contains other reasonable terms and conditions such as those relating to governing law, field of use, Reciprocity, warranties, etc.</p> <p><b>Reciprocity:</b> The word "Reciprocity" means that the Patent Holder shall only be required to license any prospective licensee if such prospective licensee will commit to license its Patent(s) for implementation of the relevant ITU-T/ITU-R Recommendation Free of Charge or under reasonable terms and conditions.</p> <p><b>Patent:</b> The word "Patent" means those claims contained in and identified by patents, utility models and other similar statutory rights based on inventions (including applications for any of these) solely to the extent that any such claims are essential to the implementation of the relevant Recommendation   Deliverable. Essential patents are patents that would be required to implement the relevant Recommendation   Deliverable.</p> <p><b>Assignment/transfer of Patent rights:</b> Licensing declarations made pursuant to Clause 2.1 or 2.2 of the Common Patent Policy for ITU-T/ITU-R/ISO/IEC shall be interpreted as encumbrances that bind all successors-in-interest as to the transferred Patents. Recognizing that this interpretation may not apply in all jurisdictions, any Patent Holder who has submitted a licensing declaration according to the Common Patent Policy - be it selected as option 1 or 2 on the Patent Declaration form - who transfers ownership of a Patent that is subject to such licensing declaration shall include appropriate provisions in the relevant transfer documents to ensure that, as to such transferred Patent, the licensing declaration is binding on the transferee and that the transferee will similarly include appropriate provisions in the event of future transfers with the goal of binding all successors-in-interest.</p>
<p><b>Signature:</b></p> <p>Patent Holder _____</p> <p>Name of authorized person _____</p> <p>Title of authorized person _____</p> <p>Signature _____</p> <p>Place, Date _____</p>

FORM: 26 June 2015

## **Annex J** **(normative)**

### **Formulating scopes of technical committees and subcommittees**

#### **J.1 Introduction**

The scope of a technical committee or subcommittee is a statement precisely defining the limits of the work of that committee. As such it has a number of functions:

- it assists those with queries and proposals relating to a field of work to locate the appropriate committee;
- it prevents overlapping the work programmes of two or more ISO and/or IEC committees;
- it can also help guard against moving outside the field of activities authorized by the parent committee.

#### **J.2 Formulation of scopes**

Basic rules for the formulation of scopes of technical committees and subcommittees are given in [1.5.10](#).

The order of the elements of a scope shall be:

- basic scope;
- in the ISO, horizontal functions, where applicable;
- in the IEC, horizontal and/or group safety functions where applicable;
- exclusions (if any);
- notes (if any).

#### **J.3 Basic scope**

Scopes of technical committees shall not refer to the general aims of international standardization or repeat the principles that govern the work of all technical committees.

In exceptional cases, explanatory material may be included if considered important to the understanding of the scope of the committee. Such material shall be in the form of “Notes”.

#### **J.4 Exclusions**

Should it be necessary to specify that certain topics are outside the scope of the technical committee, these shall be listed and be introduced by the words “Excluded ...”

Exclusions shall be clearly specified.

Where the exclusions are within the scope of one or more other existing ISO or IEC technical committees, these committees shall also be identified.



EXAMPLE 1 “Excluded: Those ... covered by ISO/TC ...”.

EXAMPLE 2 “Excluded: Standardization for specific items in the field of ... (ISO/TC ...), ... (IEC/TC ...), etc.”.

It is *not* necessary to mention self-evident exclusions.

EXAMPLE 3 “Excluded: Products covered by other ISO or IEC technical committees”.

EXAMPLE 4 “Excluded: ... Specifications for electrical equipment and apparatus, which fall within the scope of IEC committees”.

## J.5 Scopes of committees related to products

Scopes of committees related to products shall clearly *indicate the field, application area or market sector* which they intend to cover, in order to easily ascertain whether a particular product is, or is not, within that field, application area or market sector.

EXAMPLE 1 “Standardization of ... and ... used in ...”.

EXAMPLE 2 “Standardization of materials, components and equipment for construction and operation of ... and ... as well as equipment used in the servicing and maintenance of ...”.

The limits of the scope can be defined by *indicating the purpose* of the products, or by *characterizing* the products.

The scope *should not enumerate the types* of product covered by the committee since to do so might suggest that other types can be, or are, standardized by other committees. However, if this is the intention, then it is preferable to list those items which are excluded from the scope.

The *enumeration of aspects* such as terminology, technical requirements, methods of sampling, test methods, designation, marking, packaging, dimensions, etc. suggests a restriction in the scope to those particular aspects, and that other aspects may be standardized by other committees. The aspects of the products to be standardized should therefore not be included in the scope unless it is intended that the scope is limited to those particular aspects.

If the scope makes no mention of any aspect, this means that the subject *in its entirety* is covered by the committee.

NOTE The coverage does not necessarily mean the need for preparing a standard. It only means that standards on any aspect, if needed, will be prepared by that committee and no other.

An example of unnecessary enumeration of aspects is as follows:

EXAMPLE 3 “Standardization of classification, terminology, sampling, physical, chemical or other test methods, specifications, etc.”.

Mention of priorities, whether referring to type of product or aspect, shall not appear in the scope since these will be indicated in the programme of work.

## J.6 Scopes of committees not related to products

If the scope of a committee is intended to be limited to *certain aspects* which are unrelated, or only indirectly related to products, the scope shall only indicate the aspect to be covered (e.g. safety colours and signs, non-destructive testing, water quality).

The term *terminology* as a possible aspect of standardization should not be mentioned unless this aspect is the only task to be dealt with by the committee. If this is not the case, the mention of terminology is superfluous since this aspect is a logical part of any standardization activity.

## **Annex K** (normative)

### **Project committees**

#### **K.1 Proposal stage**

A new work item proposal not falling within the scope of an existing technical committee shall be presented using the appropriate form and fully justified (see [2.3.4](#)) by one of the bodies authorized to make new work item proposals (see [2.3.2](#)).

The office of the CEO may decide to return the proposal to the proposer for further development before circulation for voting. In this case, the proposer shall make the changes suggested or provide justification for not making the changes. If the proposer does not make the changes and requests that its proposal be circulated for voting as originally presented, the technical management board will decide on appropriate action. This could include blocking the proposal until the changes are made or accepting that it be balloted as received.

In all cases, the office of the CEO may also include comments and recommendations to the proposal form.

For details relating to justification of the proposal, see [Annex C](#).

In the case of a proposal to establish a project committee to prepare management system standards, see [Annex SL](#).

It shall be submitted to the secretariat of the technical management board which shall arrange for it to be submitted to all National Bodies for voting.

Proposers are also encouraged to indicate the date of the first meeting of the project committee (see [K.3](#)).

If the proposal was not submitted by a National Body, the submission to the National Bodies shall include a call for offers to assume the secretariat of a project committee.

Votes shall be returned within 12 weeks.

Acceptance requires:

- approval by a 2/3 majority of the National Bodies voting;
- a commitment to participate actively by at least five National Bodies that approved the new work item proposal and nominated technical experts.

#### **K.2 Establishment of a project committee**

The technical management board shall review the results of voting on the new work item proposal and if the approval criteria are met, shall establish a project committee (the reference number shall be the next available number in the technical committee/project committee sequence).

The secretariat of the project committee shall be allocated to the National Body that submitted the proposal, or the technical management board shall decide on the allocation amongst the offers received if the proposal did not originate from a National Body.

National Bodies that approved the new work item proposal and nominated (a) technical expert(s) shall be registered as P-members of the project committee. National Bodies that approved the new work item proposal but did not make a commitment to participate actively shall be registered as O-members.

National Bodies that voted negatively, but nevertheless indicated that they would participate actively if the new work item was approved, shall be registered as P-members. National Bodies voting negatively without indicating a wish to participate shall be registered as O-members.

The office of the CEO shall announce to the National Bodies the establishment of the project committee and its membership.

National Bodies will be invited to confirm/change their membership status by informing the office of the CEO.

The secretariat will contact any potential liaison organizations identified in the new work item proposal or in National Body comments thereon and will invite them to indicate whether they have an interest in the work and, if so, which category of liaison they would be interested in. Requests for liaison will be processed according to the existing procedures.

### **K.3 First meeting of a project committee**

The procedure for calling a project committee meeting shall be carried out in accordance with [Clause 4](#), with the exception that a six weeks' notice period may be used if the date of the first meeting was communicated at the time of submission of the proposal.

The chair of the project committee shall be the project leader nominated in the new work item proposal or shall be nominated by the secretariat if no project leader was nominated in the new work item proposal.

The first meeting shall confirm the scope of the new work item. In case revision is necessary (for purposes of clarification but not extension of the scope), the revised scope shall be submitted to the technical management board for approval. It shall also confirm the project plan and in ISO the development track and decide on any substructures needed to carry out the work.

If it is determined that the project needs to be subdivided to produce two or more publications, this is possible provided that the subdivisions of the work lie fully within the scope of the original new work item proposal. If not, a new work item will need to be prepared for consideration by the technical management board.

NOTE Project committees are exempted from the requirement to establish a strategic business plan.

### **K.4 Preparatory stage**

The preparatory stage shall be carried out in accordance with [2.4](#).

### **K.5 Committee, enquiry, approval and publication stages**

The committee, enquiry, approval and publication stages shall be carried out in accordance with [2.5](#) to [2.8](#).

### **K.6 Disbanding of a project committee**

Once the standard(s) is/are published, the project committee shall be disbanded.

### **K.7 Maintenance of standard(s) prepared by a project committee**

The National Body which held the secretariat shall assume responsibility for the maintenance of the standard(s) according to the procedures given in [2.9](#) unless the project committee has been transformed into a technical committee (see [1.10](#)) in which case the technical committee shall be given the responsibility for the maintenance of the standard.

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## **ANNEXES APPLICABLE TO ISO ONLY**

**Annex SA**  
**(normative)**

**ISO Code of Conduct**

The ISO Code of Conduct is available on the Governance of technical work page ([http://www.iso.org/iso/home/standards\\_development/governance\\_of\\_technical\\_work.htm](http://www.iso.org/iso/home/standards_development/governance_of_technical_work.htm)) of [www.iso.org](http://www.iso.org) at:

[http://www.iso.org/iso/codes\\_of\\_conduct.pdf](http://www.iso.org/iso/codes_of_conduct.pdf).

The Code is to facilitate ISO's work which is carried out in an international, multi-stakeholder, multi-sector environment. It applies to people who choose to participate in an ISO committee, working group or other consensus group. The Code is an obligation for participation in the above groups that work in the framework of the ISO/IEC Directives.

Tips for implementing the Code are available at:

[http://www.iso.org/iso/suggestions\\_for\\_implementation\\_of\\_the\\_iso\\_code\\_of\\_conduct.pdf](http://www.iso.org/iso/suggestions_for_implementation_of_the_iso_code_of_conduct.pdf)

## **Annex SB** **(normative)**

### **Document distribution**

#### **SB.1 Document distribution**

Details showing document distribution are shown in the table.

#### **SB.2 Electronic notifications of document delivery**

The information included in electronic notifications of document availability shall comprise

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

DOCUMENTS	PARTY(IES) CONCERNED	Proposer	TC or SC secre- tariat and chairs	TC or SC P- members	TC or SC O- members	Category A & B and internal liaisons	ISO Central Secr.	WG convener	WG experts	National Bodies
<b>Proposal stage</b>										
New work item proposal		★	●				○			
NP ballot			★ <sup>1)</sup>	●	○	○	○			
Completed ballot			●	★			○			
Result of voting		○	★ <sup>1)</sup>	○	○	○	■			
<b>Preparatory stage</b>										
Working draft(s) (WD)			○				○	★	●	
Final working draft			●	○			■	★	○	
<b>Committee stage</b>										
Committee draft(s) (CD)			★	●	○	○	○			
Comments/Vote			●	★						
Compilation of comments + proposal			★	●	○	○	○	○		
Final committee draft			★ <sup>1)</sup>	○	○	○	■	○		
<b>Enquiry stage</b>										
Draft International Standard			○			○	★			●
Completed ballot						★	●			★
Result of voting + comments			● <sup>1)</sup>	○	○	○	★			○
Report of voting			★	○	○	○	●	○		○
Text for final draft International Standard			★ <sup>1)</sup>	○	○	○	■	○		
<b>Approval stage</b>										
Final draft International Standard + ballot			○			○	★			●
Completed ballot						★	●			★
Result of voting			○	○	○	○	★			○
Final proof			●				★			
Proof corrections			★				●			
<b>Publication stage</b>										
International Standard			○				★			○
<b>Systematic review</b>										
SR ballot			○				★			●
Ballot							●			★
Completed ballot			●	●	○	○			○	
Report of voting + proposal			★	○		○	■			
★ Sender of document ● Recipient for action ○ Recipient for information <sup>1)</sup> In the case of an SC, a copy is also sent to the TC secretariat for information ■ Recipient for registration action ☆ Optional action										



## **Annex SC** **(normative)**

### **Strategic business plans**

#### **SC.1 Objectives of a strategic business plan (SBP)**

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

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

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

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

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

All current SBP may be viewed online at <http://www.iso.org/bp>.

#### **SC.2 Development tools and additional guidance**

To facilitate the preparation of SBP, ISO Central Secretariat has developed a document template. This template and additional guidance may be downloaded from the ISOTC server at [www.iso.org/forms](http://www.iso.org/forms).

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

**SC.3.1** The committee secretary, in cooperation with committee members and/or the committee chair, shall prepare a draft SBP. The draft SBP shall be submitted to an internal consultation within the technical committee. It shall be formally agreed upon by the technical committee by way of a resolution, before being submitted to the technical management board for review.

The technical committee shall submit the draft SBP ([tmb@iso.org](mailto:tmb@iso.org)) in revisable (i.e. Word) and PDF-format to the ISO technical management board who will review the draft SBP against the set of minimum requirements for SBPs (see [Table SC.1](#)).

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

Item	Description of Requirements	Score
1	Descriptions of relevant dynamics in the business environment related to the work of the ISO committee, and quantitative indicators of trends in this business environment and the acceptance and implementation of the ISO committee's standards.	1 to 5
2	Descriptions of tangible benefits that the standardization programme is expected to achieve for the business environment.	1 to 5
3	Descriptions of identified objectives of the ISO committee and strategies to achieve those objectives. This should include descriptions of specific actions that will be taken or that will be proposed to the ISO committee to better respond to the needs and trends of the business environment.	1 to 5
4	Descriptions of factors that may negatively impact the ISO committee's ability to achieve its objectives and implement its strategies, including information on the representation of the major market forces in the committee (geographically as well as by type, e.g. manufacturer, government, etc.).	1 to 5
5	Objective information regarding the ISO committee and its work programme that is required: <ul style="list-style-type: none"> <li>— link added in section 7 to the TC's page on ISO's website About (Secretariat, Secretary, Chair, Date of creation, Scope, etc.), Contact details, Structure (Subcommittees and working groups), Liaisons, Meetings, Tools, Work programme (published standards and standards under development);</li> <li>— priorities assigned to projects in the work programme (if the committee assigns priorities) with an explanation of the reasons/process for prioritization;</li> <li>— relationships of projects to European regional standardization (CEN);</li> <li>— time allocated to each project by working group convenors, project leaders/editors and for translation; and</li> <li>— the range of stakeholders that should be engaged based on the subject area being standardized.</li> </ul>	No score (Yes/No)  Mandatory information

**SC.3.2** An average score of at least 10 is necessary for approval. If the SBP is not approved by the TMB, the technical management board scores and comments will be sent to the committee who will be asked to resubmit the SBP. If approved, the comments from the technical management board shall be taken into consideration during the SBP review at the next plenary meeting.

**SC.3.3** Once approved by the technical management board, the SBP is made available to the general public for review and comment on a publicly accessible server (<http://www.iso.org/bp>) by the ISO Central Secretariat. Member bodies are encouraged to inform the interested public in their countries of the availability of the SBP for public review and, if appropriate, to set links to the SBPs.

**SC.3.4** The committee shall conduct a review of the SBP, considering all comments received, preferably once per year, but at least once every 3 years. Updated SBP do not need to be submitted for TMB approval — they shall be approved by consensus within the committee (or, if consensus is not possible, by a simple majority of P-members casting a vote).

## **Annex SD** **(normative)**

### **Matrix presentation of project stages**

#### **SD.1 Introduction to the Harmonized Stage Code**

The standardization process has a number of definite steps or stages which can be used both to describe the process and to indicate where in the process any one item has reached. In general terms the methods used to develop and publish standards via the formal standardization process operated by international, regional and national standards bodies are very similar no matter which body is overseeing the process. Thus, at a high level, it is possible to have a common view of the standardization process and with it a common set of stages. There are differences between the processes of individual bodies, however, and this has led to the development of different stage systems for each body.

This Harmonized Stage Code (HSC) system is used in ISO's databases for tracking standards development projects. Its purpose is to provide a common framework for the transfer of core data. The system allows tracking of the development of a given project in the same way in databases being used at international, regional and national levels and the matrix is so constructed that it can easily be adapted to new requirements.

#### **SD.2 Design of the stage code matrix**

A series of "stages" representing procedural sequences common to different organizations has been established. These represent the main stages of standards development.

A series of "sub-stages" has been established within each stage, using a consistent logical system of concepts. The terms "stage" and "sub-stage" are hence used to designate the respective axes of the resulting matrix.

Principal stages and sub-stages are each coded by a two-digit number from 00 to 90, in increments of 10. Individual cells within the generic matrix are coded by a four-digit number made up of its stage and sub-stage coordinates. For visual presentation (although not necessarily for the purposes of database operations), the pair of coordinates are separated by a point (e.g. 10.20 for stage 10, sub-stage 20).

All unused stage codes are reserved for future use, to allow for interpolation of additional phases that might be identified, e.g. stage codes 10, 30, 40, 50 and 80.

#### **SD.3 Basic guidelines for using the system**

- Other information concerning, for example, document source or document type, should be recorded in separate database fields and should not be reflected in stage codes.
- There is no sub-code to indicate that a project is dormant at any particular stage. It is recommended to use another database field to address this issue.
- The HSC system allows for the cyclical nature of the standards process and for the repeating of either the current phase or an earlier phase. Events that may be repeated in the life of a project are recordable by repetition of the same stage codes.
- Freezing a project at any point is possible by using the code the project has reached. Projects that have been suspended should have this information recorded in a separate database field.
- The HSC system is not concerned with recording either target or actual dates for achieving stages.

STAGE	SUB-STAGE						
	00	20	60	90			
	Registration	Start of main action	Completion of main action	Decision			
				92 Repeat an earlier phase	93 Repeat current phase	98 Abandon	99 Proceed
<b>00</b> Preliminary stage	<b>00.00</b> Proposal for new project received	<b>00.20</b> Proposal for new project under review	<b>00.60</b> Close of review			<b>00.98</b> Proposal for new project abandoned	<b>00.99</b> Approval to ballot proposal for new project
<b>10</b> Proposal stage	<b>10.00</b> Proposal for new project registered	<b>10.20</b> New project ballot initiated	<b>10.60</b> Close of voting	<b>10.92</b> Proposal returned to submitter for further definition		<b>10.98</b> New project rejected	<b>10.99</b> New project approved
<b>20</b> Preparatory stage	<b>20.00</b> New project registered in TC/SC work programme	<b>20.20</b> Working draft (WD) study initiated	<b>20.60</b> Close of comment period			<b>20.98</b> Project deleted	<b>20.99</b> WD approved for registration as CD
<b>30</b> Committee stage	<b>30.00</b> Committee draft (CD) registered	<b>30.20</b> CD study/ballot initiated	<b>30.60</b> Close of voting/comment period	<b>30.92</b> CD referred back to Working Group		<b>30.98</b> Project deleted	<b>30.99</b> CD approved for registration as DIS
<b>40</b> Enquiry stage	<b>40.00</b> DIS registered	<b>40.20</b> DIS ballot initiated: <i>12 weeks</i>	<b>40.60</b> Close of voting	<b>40.92</b> Full report circulated: DIS referred back to TC or SC	<b>40.93</b> Full report circulated: decision for new DIS ballot	<b>40.98</b> Project deleted	<b>40.99</b> Full report circulated: DIS approved for registration as FDIS
<b>50</b> Approval stage	<b>50.00</b> Final text received or FDIS registered for formal approval	<b>50.20</b> Proof sent to secretariat or FDIS ballot initiated: <i>8 weeks</i>	<b>50.60</b> Close of voting. Proof returned by secretariat	<b>50.92</b> FDIS or proof referred back to TC or SC		<b>50.98</b> Project deleted	<b>50.99</b> FDIS or proof approved for publication
<b>60</b> Publication stage	<b>60.00</b> International Standard under publication		<b>60.60</b> International Standard published				
<b>90</b> Review stage		<b>90.20</b> International Standard under periodical review	<b>90.60</b> Close of review	<b>90.92</b> International Standard to be revised	<b>90.93</b> International Standard confirmed		<b>90.99</b> Withdrawal of International Standard proposed by TC or SC
<b>95</b> Withdrawal stage		<b>95.20</b> Withdrawal ballot initiated	<b>95.60</b> Close of voting	<b>95.92</b> Decision not to withdraw International Standard			<b>95.99</b> Withdrawal of International Standard

## **Annex SE** **(normative)**

### **Numbering of documents**

#### **SE.1 Working documents (including committee drafts)**

Each document (including committee drafts — see also [SE.2](#)) relating to the work of an ISO technical committee or subcommittee circulated to all or some of the member bodies shall have a “N-number” generated by the system that appears at the top right-hand corner of recto pages and at the top left-hand corner of verso pages. The first page of the document shall also bear, immediately under the reference number, the date, written in accordance with ISO 8601 (*Data elements and interchange formats — Information interchange — Representation of dates and times*), on which the document was compiled.

Once a reference number is used for a working document, it cannot be used again for a document with differing wording and/or different contents. The same number may be used for a proposal and a voting form (optional). If a document replaces an earlier one, the system generates a new N-number on the first page of the new document.

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

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

As an example, the reference number will look as follows: **ISO/TC *a*/SC *b* N*n***

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

When a new project is registered by ISO Central Secretariat (see [2.3.5](#)), the latter will allocate an ISO reference number to the project. The number allocated will remain the same for the ensuing WD, CD, DIS and FDIS and for the published International Standard. The number allocated is purely a registration and reference number and has no meaning whatsoever in the sense of classification or chronological order. The number allocated to a withdrawn project or International Standard will not be used again.

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

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

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

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

## **Annex SF** **(normative)**

### **Hosting meetings**

#### **SF.1 Who may host an ISO meeting?**

Meetings may be hosted by:

- any ISO member (member body, correspondent member, subscriber member);
- for working group meetings only, any liaison member of the committee concerned.

For technical committee or subcommittee meetings, the ISO member body in the country shall be the host and its pre-approval of the meeting is required.

For working group meetings, the ISO member body in the country must be informed of the meeting before the meeting is confirmed.

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

A potential host shall first ascertain that there are no restrictions imposed by its country or the hosting venue to the entry of representatives of any P-member of the technical committee or subcommittee for the purpose of attending the meeting. In some cases it may be necessary for special permission to be obtained for attendance — wherever possible the host should assist in determining if this is the case, but it is the joint responsibility of the secretariat or group leader, and the participant to determine any restrictions.

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

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

#### **SF.2 Sponsorship of meetings**

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



### SF.3 Proposing or withdrawing support as a meeting host

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

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

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

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

### SF.4 Meeting locations

In planning meetings, account should be taken of the possible advantage of grouping meetings of technical committees and subcommittees dealing with related subjects, in order to improve communication and to limit the burden of attendance at meetings by delegates who participate in several technical committees or subcommittees.

### SF.5 Facilities to provide at meetings

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

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

### SF.6 Interpretation facilities at meetings

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

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

- for meetings where final decisions on draft standards are expected to be taken, the services of an adequately qualified interpreter are generally required;



- meetings where “intermediary” or procedural decisions are expected to be taken, brief interpretation may be provided by a member of the secretariat or a volunteer delegate;
- at working group meetings, the members should, whenever possible, arrange between themselves for any necessary interpretation on the initiative and under the authority of the convenor of the working group.

## **SF.7 Welcoming activities and social events**

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

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

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

## **SF.8 Fees for delegates at ISO meetings**

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

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

## **SF.9 Media participation policy**

### **SF.9.1 General**

This clause describes a policy for engaging with the media to raise the effectiveness of communication activities of ISO. It is vital to ensure transparency and openness by proactively and consistently delivering accurate information to the public, and to support the use of proper channels to deliver information to the public as effectively and efficiently as possible.

This policy describes how to raise awareness about ISO activities and ensure transparency. It is important that all involved in ISO activities provide accurate and appropriate information in a spirit of good will and responsibility. The media contributes to the shaping of attitudes and behaviours of the general public. Building good media relations is important for building awareness through accurate information and preventing isolated and unrepresentative views and opinions from misleading the public.

Engagement with the media should be sought through multiple vehicles at multiple organizational levels.

All engagement with the media relating to ISO activities will be consistent with the following:

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

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

### **SF.9.2 ISO Central Secretariat roles**

Within ISO, the ISO Central Secretariat prepares and releases any and all official press releases. The ISO Central Secretariat reserves the right of final decision on any ISO press release.

### **SF.9.3 ISO committee and working group leadership roles**

Leaders shall only express the consensus reached by the delegates/experts at press conferences held in conjunction with the ISO committee meetings. Between meetings, the secretariat will endeavour to provide prompt written responses to media requests.

### **SF.9.4 Member body and mirror committee roles**

At a local or national level, mirror committees are the proper channel for media inquiries. Mirror committees are encouraged to arrange meetings with local media. This will improve local participation and awareness. At the national level, the relevant member body's media policy should apply.

### **SF.9.5 Delegate, expert and observer roles**

These parties shall not comment to the media on the consensus achieved in the ISO committee, nor shall they comment on the contributions and comments made by other delegates and experts in the working sessions of the ISO committee. This could have a detrimental effect on the productive dialogue and trust necessary among delegates and experts for effective ISO standards development.

### **SF.9.6 Meetings and media participation**

Media representatives present at the site of a meeting must register with the ISO committee secretariat and the meeting host (name, organization, and contact number).

Media representatives will be given a media badge to wear or keep handy when present at the meeting site.

Registered media representatives with badges are allowed to attend the following events:

- Opening and closing ceremonies;
- Press conferences;
- Social events if invited by the host organization.

People from the media are not allowed to attend:

- Technical committee or subcommittee plenary meetings;
- Working group meetings;
- Chair's Advisory Group (CAG) meetings.

Press conferences may be scheduled for appropriate times (pre- and/or post-plenary) in a designated location by the ISO committee leadership in consultation with the public relations service of the host ISO member body. At the press conferences, the ISO committee leaders and ISO Central Secretariat representatives will make statements to the press. Delegates or experts may be invited to speak by the ISO committee leaders. Otherwise, delegates, experts and observers may attend, but are not permitted to speak at the press conferences.

## **SF.10 Recordings at ISO meetings**

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

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

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

## **Annex SG** **(normative)**

### **Second (and subsequent) language texts for ISO standards**

#### **SG.1 Introduction**

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

#### **SG.2 English, French, Russian and other languages**

##### **SG.2.1 Responsibilities**

It is the responsibility of the ISO committee secretariat to obtain (but not necessarily themselves prepare) texts in English in general. Translation of documents into French is typically (but not exclusively) carried out by the translation department of the member body of France (AFNOR), or by agents nominated to act on their behalf.

It is the responsibility of the Russian member body to determine those cases for which a Russian version is required, and to provide all translation into Russian.

When a non-official language has been approved by the committee for inclusion in the final deliverable (this is permitted only in the case of a vocabulary), the National Body supporting the related non-official language is responsible for the text, and its timely delivery (i.e. at the latest before the FDIS ballot).

##### **SG.2.2 Equivalence of texts**

The National Body supporting a language is responsible for ensuring the equivalence of the related language version to the official language text during the development of an ISO deliverable, if necessary with the assistance of other experts. A recommended way of ensuring equivalence of texts is to establish a multilingual editing committee.

##### **SG.2.3 Timing of preparation of texts**

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

Where a second or subsequent official language version is required, the ISO Central Secretariat will provide the member body responsible for the second or subsequent language with a copy of the first language version, English in general, when the text is submitted to ISO Central Secretariat for processing as a DIS.

##### **SG.2.4 Timely delivery of language versions**

In the case where a second or subsequent official language version is required, the National Body supporting the related language shall provide the ISO Central Secretariat with the related language version within 8 weeks of the submission of the first language version, English in general.

### **SG.2.5 Updating language versions after ballot**

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

### **SG.3 Other non-official languages**

Languages other than the official languages of ISO may only be included in the body of vocabularies. This is dependent on the committee approving the business case presented by a National Body, which is then responsible for the related language version.

In those cases where an ISO project is a joint project with CEN under the *Agreement on technical cooperation between ISO and CEN (Vienna Agreement)*, the preparation of a German version is a requirement. For more guidance reference should be made to the separate [Guidelines for Chairmen and Secretariats on the implementation of the Vienna Agreement](#). In all cases of multilingual documents, the cover page, copyright and foreword pages of the document will only mention the official ISO languages and, only in case of a joint project with CEN under the Vienna Agreement, German might be added.

### **SG.4 Single-language versions**

It may be proposed that an international document need only be developed in a single official language. Further official language versions can always be prepared as a translation of the published text.

### **SG.5 Translations**

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

## **Annex SH** **(normative)**

### **Procedures for the standardization of graphical symbols**

#### **SH.1 Introduction**

This annex describes the procedures to be adopted in the submission and subsequent approval and registration, when appropriate, of all graphical symbols appearing in ISO documents.

Within ISO the responsibility for the coordination of the development of graphical symbols has been subdivided into two principal areas, allocated to two ISO technical committees:

- ISO/TC 145 — all graphical symbols (except those for use in technical product documentation) (see ISO/TC 145 website);
- ISO/TC 10 — graphical symbols for technical product documentation (tpd) (see ISO/TC 10 website).

In addition there is coordination with IEC/TC 3 (Information structures, documentation and graphical symbols) and with IEC/TC 3/SC 3C (Graphical symbols for use on equipment).

The basic objectives of the standardization of graphical symbols are to:

- meet the needs of users;
- ensure that the interests of all concerned ISO committees are taken into account;
- ensure that graphical symbols are unambiguous and conform to consistent sets of design criteria;
- ensure that there is no duplication or unnecessary proliferation of graphical symbols.

The basic steps in the standardization of a new graphical symbol are:

- identification of need;
- elaboration;
- evaluation;
- approval, when appropriate;
- registration;
- publication.

All steps should be carried out by electronic means.

- Proposals for new or revised graphical symbols may be submitted by an ISO committee, a liaison member of an ISO committee or any ISO member organization (hereafter jointly called the “proposer”).
- Each approved graphical symbol will be allocated a unique number to facilitate its management and identification through a register that provides information that can be retrieved in an electronic format.
- Conflicts with the relevant requirements and guidelines for graphical symbols shall be resolved by liaison and dialogue between ISO/TC 145 or ISO/TC 10 and the product committee concerned at the earliest possible stage.

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

### SH.2.1 General

ISO/TC 145 is responsible within ISO for the overall coordination of standardization in the field of graphical symbols (except for tpd). This responsibility includes:

- standardization in the field of graphical symbols as well as of colours and shapes, whenever these elements form part of the message that a symbol is intended to convey, e.g. a safety sign;
- establishing principles for preparation, coordination and application of graphical symbols: general responsibility for the review and the coordination of those already existing, those under study, and those to be established.

The standardization of letters, numerals, punctuation marks, mathematical signs and symbols, and symbols for quantities and units is excluded. However, such elements may be used as components of a graphical symbol.

The review and co-ordination role of ISO/TC 145 applies to all committees that undertake the responsibility for creation and standardization of graphical symbols within their own particular fields.

ISO/TC 145 has allocated these responsibilities as follows:

- ISO/TC 145/SC 1: Public information symbols;
- ISO/TC 145/SC 2: Safety identification, signs, shapes, symbols and colours;
- ISO/TC 145/SC 3: Graphical symbols for use on equipment.

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
















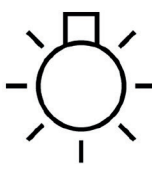
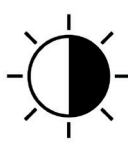
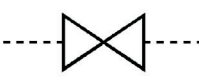
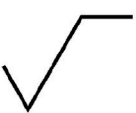
[Table SH.1](#) shows the categories of graphical symbols covered by each coordinating committee.

**Table SH.1 — Categories of graphical symbols**

	Basic message	Location	Target audience	Design principles	Overview	Responsible committee
<b>Public information symbols</b>	Location of service or facility	In public areas	General public	ISO 22727	ISO 7001	ISO/TC 145/SC 1
<b>Safety signs (symbols)</b>	Related to safety and health of persons	In workplaces and public areas	a) General public or b) authorized and trained persons	ISO 3864-1 ISO 3864-3	ISO 7010	ISO/TC 145/SC 2
<b>Product safety labels</b>	Related to safety and health of persons	On products	c) General public or d) authorized and trained persons	ISO 3864-2 ISO 3864-3	—	ISO/TC 145/SC 2
<b>Graphical symbols for use on equipment</b>	Related to equipment	On equipment	e) General public or f) authorized and trained persons	IEC 80416-1 ISO 80416-2 IEC 80416-3	ISO 7000 IEC 60417	ISO/TC 145/SC 3 IEC/TC 3/SC 3C
<b>tpd symbols</b>	(Product representation)	Technical product documentation (drawings, diagrams, etc.)	Trained persons	ISO 81714-1	ISO 14617 IEC 60617	ISO/TC 10/SC 10 IEC/TC 3



Table SH.2 — Examples of different types of graphical symbols shown in their context of use

Public information symbols	 Telephone ISO 7001 – 008	 Aircraft ISO 7001 – 022	 Sporting activities ISO 7001 – 029	 Gasoline station ISO 7001 – 009	 Direction ISO 7001 – 001
Safety signs (symbols)	 Means of escape and emergency equipment signs: E001 – Emergency exit (left hand)	 Fire safety signs: F001 – Fire extinguisher	 Mandatory action signs: M001 – General mandatory action sign	 Prohibition signs: P002 – No smoking	 Warning signs: W002 – Warning; Explosive material
Product safety labels	 Supplementary safety information (text or symbol)	 Signal Word Supplementary safety information (text or symbol)			
Graphical symbols for use on equipment	 Ventilating fan: Air-circulating fan ISO 7000 – 0089	 Parking Brake ISO 7000 – 0238	 Weight ISO 7000 – 0430	 Lamp; lighting; illumination IEC 60417 – 5012	 Brightness / Contrast IEC 60417 – 5435
tpd symbols	 Two-way valve ISO 14617-8 – 2101	 Surface texture with special characteristics ISO 1302, Figure 4			

### SH.2.2 Submission of proposals

Proposers shall submit their proposals on the relevant application form as soon as possible to the secretariat of the appropriate ISO/TC 145 subcommittee in order to allow for timely review and comment. It is strongly recommended that this submission be made by proposers at the CD stage, but it shall be no later than the first enquiry stage (i.e. DIS or DAM) in the case of an International Standard.

Prior to submitting a graphical symbol proposal, the proposer should:

- be able to demonstrate the need for the proposed graphical symbol;
- have reviewed the relevant ISO and/or IEC standards of graphical symbols, in order to avoid ambiguity and/or overlap with existing standardized graphical symbols, and to check for consistency with any related graphical symbol or family of graphical symbols already standardized;
- create the proposed graphical symbol in accordance with the relevant standards and instructions, these include design principles and criteria of acceptance.

### SH.2.3 Standardization procedure for proposed graphical symbols

Upon receipt of a proposal, the ISO/TC 145 sub-committee concerned shall review the application form, within two months, to check whether it has been correctly completed and the relevant graphics file(s) has been correctly provided. If necessary, the proposer will be invited to modify the application, and to re-submit it.

Upon receipt of a correctly completed application form, a formal review process shall be commenced to review the proposal for consistency with standardized graphical symbols, the relevant design principles and criteria of acceptance.

When this formal review process has been completed, the results shall be transmitted to the proposer, together with any recommendations. The proposer will, where appropriate, be invited to modify the proposal, and to re-submit it for a further review.

The procedures outlined on the relevant ISO/TC 145 sub-committee website shall be followed:

- ISO/TC 145/SC 1: Public information symbols ([www.iso.org/tc145/sc1](http://www.iso.org/tc145/sc1));
- ISO/TC 145/SC 2: Safety identification, signs, shapes, symbols and colours ([www.iso.org/tc145/sc2](http://www.iso.org/tc145/sc2));
- ISO/TC 145/SC 3: Graphical symbols for use on equipment ([www.iso.org/tc145/sc3](http://www.iso.org/tc145/sc3)).

These websites also provide application forms for the submission of proposals.

Graphical symbols approved by ISO/TC 145 shall be assigned a definitive registration number and included in the relevant ISO/TC 145 standard.

NOTE In exceptional cases, unregistered symbols may be included in ISO standards subject to TMB approval.

## SH.3 Graphical symbols for use in technical product documentation (tpd) (ISO/TC 10)

ISO/TC 10 is responsible for the overall responsibility for standardization in the field of graphical symbols for technical product documentation (tpd). This responsibility includes

- maintenance of ISO 81714-1: Design of graphical symbols for use in the technical documentation of products — Part 1: Basic rules, in co-operation with IEC;
- standardization of graphical symbols to be used in technical product documentation, co-ordinated with IEC;

- establishing and maintaining a database for graphical symbols including management of registration numbers.

Included is the standardization of symbols for use in diagrams and pictorial drawings.

ISO/TC 10 has allocated these responsibilities to ISO/TC 10/SC 10. The Secretariat of ISO/TC 10/SC 10 is supported by a maintenance group.

Any committee identifying the need for new or revised graphical symbols for tpd shall as soon as possible submit their proposal to the secretariat of [ISO/TC 10/SC 10](#) for review and — once approved — allocation of a registration number.

## **Annex SI** **(normative)**

### **Procedure for the development of International Workshop Agreements (IWA)**

#### **SI.1 Proposals to develop IWAs**

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

Whenever practicable, proposers shall provide details concerning:

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

in accordance with the ISO/IEC Directives, Part 1, [Annex C](#).

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

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

#### **SI.2 Review of proposals**

Proposals will be referred to the ISO Technical Management Board for approval. Proposals should contain an analysis of the global interest in the subject being proposed for the IWA in different countries and by stakeholders.

If the proposal is accepted, the ISO/TMB will initiate consultations with member bodies to identify a candidate willing to act as the organizer and to provide administrative and logistics support to the proposer. Preference will normally be given to:

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

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

An informative checklist for estimating IWA workshop costs is provided in [SL10](#).

The workshop secretariat and the proposer shall designate the chair of the workshop.

### SI.3 Announcement

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

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

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

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

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

### SI.4 Workshop information

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

### SI.5 Participation

#### SI.5.1 Workshop chairs

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

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

#### SI.5.2 Registered participants

Any organization may register as a participant in a workshop and participation will be open to the registered participants only. Participants are not required to be appointed by the ISO member body in their country. The workshop secretariat, chair and proposer shall endeavour to ensure that the broadest range of interests is represented in any workshop and that there is an appropriate balance of representation. If needed, this may require that some limitation be placed on participation (for example

no more than two registered participants from the same corporate body or organization). If the need to limit participation is expected at the outset, this shall be indicated in the proposal submitted to the ISO Technical Management Board. If a need for limitation becomes apparent after announcement of the workshop, this shall be authorized by the TMB secretariat following consultation with the ISO/TMB chair and, if needed, other ISO/TMB members.

Workshop secretariats are responsible for ensuring that the outcome of the workshop is truly international, i.e. it is attended by more than one country.

### **SI.5.3 Project teams**

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

## **SI.6 Workshop procedures and management oversight**

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

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

Management oversight will be kept to the minimum required to ensure coordination with existing standardization activities if relevant and to ensure that appropriate resource is provided by the ISO system. It will be the responsibility of the workshop chair to determine when consensus of the workshop participants has been reached on a particular item or deliverable. For the purposes of determining consensus, the workshop chair shall apply the definition of consensus in [clause 2.5.6](#).

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

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

## **SI.7 Appeals**

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

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

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



## SI.8 Workshop deliverables and publication

Workshops will decide on the content of their own deliverables. Deliverables shall be sent to the ISO Central Secretariat for publication as International Workshop Agreements. They will be numbered in a special IWA series. Each IWA shall include the list of participants in the workshop that developed it.

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

## SI.9 Review of IWAs

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

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

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

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

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

### SI.10.1 Overall measures to consider

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



## SI.10.2 Planned Resources — Human Resource Requirements & Functions

Function	Who	Estimated Cost	Covered by ... (Who)	Commitment (Y/N)
<b>WS Secretariat</b> — organizing WS plenary meetings — producing WS and project meeting reports and action lists — administrative contact point for WS projects — managing WS (and project group) membership lists — managing WS (and project group) document registers — follow-up of action lists — if the Workshop works mainly by electronic means, assist Chair in monitoring and follow-up of electronic discussion				
<b>WS Chair</b> — chairing WS plenary meetings — responsible for overall WS/project management — producing project management progress reports — acting as formal liaison with related WS/projects and liaison body — if the Workshop works mainly by electronic means, follow and steer electronic discussions that take place between meetings, take necessary decisions				
<b>WS Vice-Chair</b> If your WS will have “Vice-Chair(s)”, you should list them here, along with their particular functions and fill-in the right side of this table				
<b>Project Leader(s)</b> (where applicable) — chairing project group meetings — producing project group meeting reports and action lists — preparing project group progress reports — if the Workshop works mainly by electronic means, follow and steer electronic discussions that take place — regarding his/her particular project				
<b>IWA Editor</b> — editing of the IWA texts — attend meetings — follow discussions relating to the IWA (s) that s/he is editing				

### SI.10.3 Planned Resources — Material Resource Requirements

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

**Annex SJ**  
**(normative)**

**Forms**

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

## Annex SK (normative)

### Deadlines for posting committee meeting documents

#### SK.1 Why it is important to respect these deadlines

National mirror committees need time to prepare their national positions on the various issues discussed at the meeting.

#### SK.2 Ensuring that a document will be ready for circulation by the deadlines stipulated

This is the responsibility of the secretariat. They must carefully consider the steps needed and leave enough time in advance of the meeting deadlines to make sure that the document is ready. For example, to discuss a DIS, the secretariat will have to start the process 7 months before the committee meeting (i.e. 2 weeks document preparation by the ISO Central Secretariat + 20 weeks for vote and translation + 6 weeks deadline before the meeting).

#### SK.3 How to deal with issues that come up at the meeting for which no document was issued 6 weeks in advance

It is possible that committees make decisions on points for which no information was provided in advance of the meeting within the deadlines indicated below. In such cases, the committee leadership should ask the P-members present if they are comfortable and prepared to take such decisions in principle or if they would prefer time to consult further with other national stakeholders. The committee leaders should ensure that they are seeking to engage all P members in decisions, even if those P members that were not able to attend the meeting. A ballot can then be launched after the meeting via the ISO Committee Internal Ballot (CIB) mechanism to confirm any decisions.

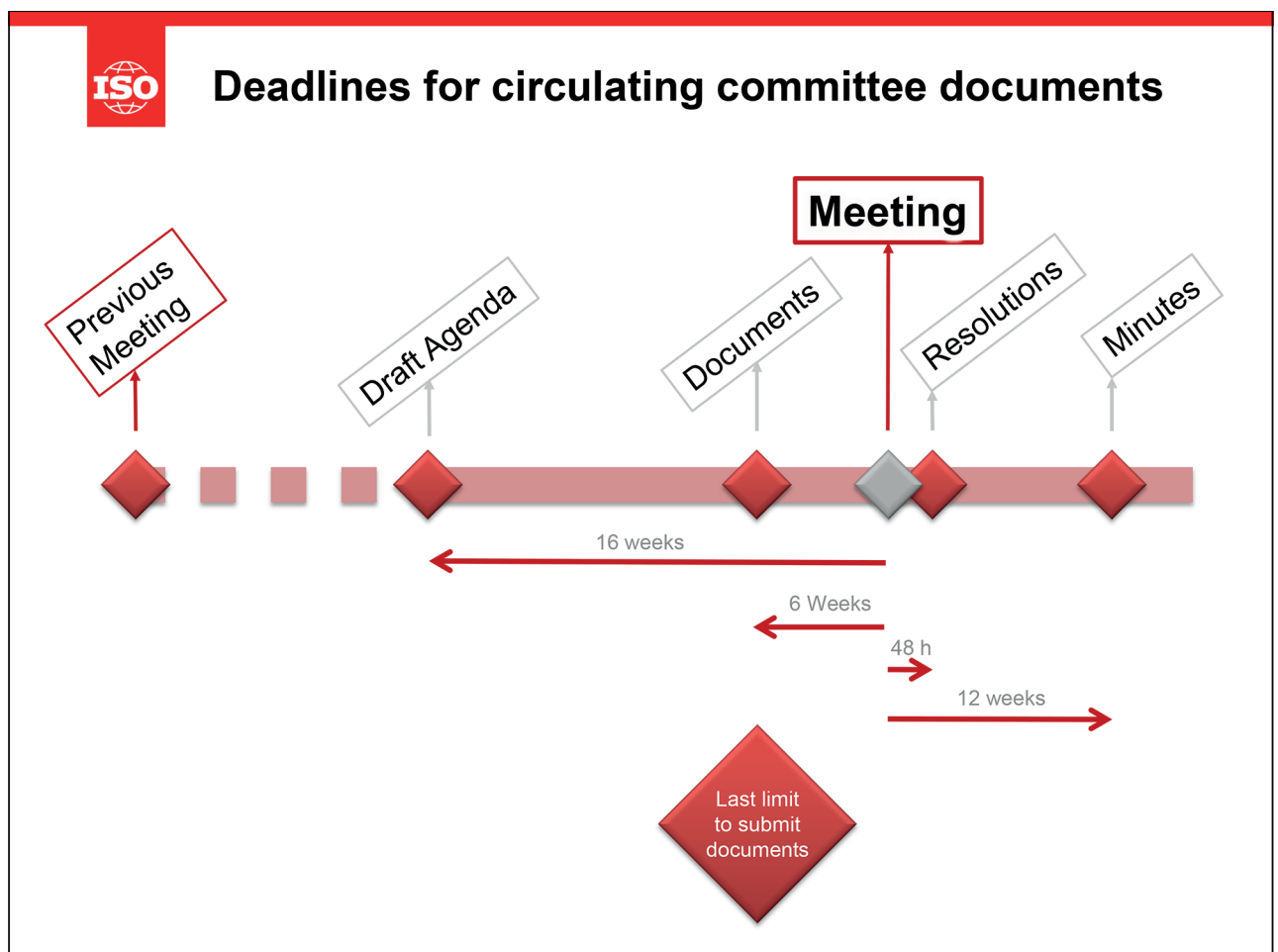
Item	Time (– before meeting, + after meeting)
Agenda & meeting logistics (e.g. location, accommodation, visa information)	–16 weeks
Documents for decision in meetings such as:	
Working group reports	–6 weeks
Liaison reports	–6 weeks
Leadership elections/renewals	–6 weeks
Creation/disbandment of subcommittees and working group	–6 weeks
Strategic Business Plans	–6 weeks
Voting results and compilation of comments for CD, DIS, DTR and DTS	–6 weeks
Voting results for SR and any CIB ad hoc enquiries requiring discussion or follow-up	–6 weeks
Resolutions	+48 hours
Minutes (including list of attendees)	+12 weeks

### SK.4 Deadlines for sending working group documents

The ISO/IEC Directives, Part 1 state only that the agenda must be sent out 6-weeks in advance of working group meetings. The timeframe for the circulation of other documents is to be decided by the working group members. WG convenors should ensure that their working groups take decisions on the acceptable time frame for circulating documents before meetings to ensure working group experts can be well-prepared.

### SK.5 Time frames for circulating documents in advance of a webex meeting or teleconference

Again, the principle should be that agendas and documents are circulated with enough time before any meeting in order that participants can be well-prepared for informed discussions and decisions. WebEx or teleconference meetings of TCs, PCs, SCs and WGs for limited aspects of their work should follow the same time frames detailed above. P-members involved should decide on appropriate timeframes for circulation of documents before Chairman's Advisory Groups, Advisory Groups, Task Forces, etc.



## **Annex SL** **(normative)**

### **Proposals for management system standards**

#### **SL.1 General**

Whenever a proposal is made to prepare a new management system standard (MSS), including sectoral applications of generic MSS, a justification study (JS) shall be carried out in accordance with Appendix 1 to this Annex SL.

**NOTE** No JS is needed for the revision of an existing MSS whose development has already been approved (unless it was not provided during its first development).

To the extent possible, the proposer shall endeavour to identify the full range of deliverables which will constitute the new or revised MSS family, and a JS shall be prepared for each of the deliverables.

#### **SL.2 Obligation to submit a JS**

All MSS proposals and their JS must be identified by the relevant TC/SC/PC leadership and the JS must be sent to the ISO/TMB (or its MSS task force) for evaluation and approval before the NWI ballot takes place. It is the responsibility of the relevant TC/SC/PC secretariat to identify all MSS proposals, without exception, so that there will be no MSS proposals which fail (with knowledge or without knowledge) to carry out the JS or which fail to be sent to the ISO/TMB for evaluation.

**NOTE** No JS is required for a Type B MSS providing guidance on a specific Type A MSS for which a JS has already been submitted and approved. For example, ISO/IEC 27003:2010 (Information technology — Security techniques — Information security management system implementation guidance) does not need to have JS submitted as ISO/IEC 27001:2013 (Information technology — Security techniques — Information security management systems — Requirements) has already had a JS submitted and approved.

#### **SL.3 Cases where no JS have been submitted**

MSS proposals which have not been submitted for ISO/TMB evaluation before the NWI ballot will be sent to the ISO/TMB for evaluation and no new ballot should take place before the ISO/TMB decision (project on hold). It is considered good practice that the TC/SC/PC members endorse the JS prior it is sent to the ISO/TMB.

**NOTE** Already published MSS which did not have a JS submitted will be treated as new MSS at the time of revision, i.e. a JS is to be presented and approved before any work can begin.

#### **SL.4 Applicability of Annex SL**

The above procedures apply to all ISO deliverables including IWAs.

## SL.5 Terms and definitions

For the purposes of this Annex SL, the following terms and definitions apply.

### SL.5.1

#### **management system**

See definition contained in Appendix 2 (clause 3.4) of this Annex SL.

### SL.5.2

#### **Management System Standard**

#### **MSS**

Standard for *management systems* (SL.5.1).

Note to entry: For the purposes of this document, this definition also applies to other ISO deliverables (e.g. TS, PAS).

### SL.5.3

#### **Type A MSS**

MSS providing requirements

#### EXAMPLES

- Management system requirements standards (specifications).
- Management system sector-specific requirements standards.

### SL.5.4

#### **Type B MSS**

MSS providing guidelines

#### EXAMPLES

- Guidance on the use of management system requirements standards.
- Guidance on the establishment of a management system.
- Guidance on the improvement/enhancement of a management system.

### SL.5.5

#### **High Level Structure**

#### **HLS**

outcome of the work of the ISO/TMB/JTCG “Joint technical Coordination Group on MSS” which refers to high level structure (HLS), identical subclause titles, identical text and common terms and core definitions. See Appendix 2 to this Annex SL.

## SL.6 General principles

All projects for new MSS (or for MSS which are already published but for which no JS was completed) must undergo a JS (see [SL.1](#) and Note to [SL.3](#)). The following general principles provide guidance to assess the market relevance of proposed MSS and for the preparation of a JS. The justification criteria questions in Appendix 1 to this Annex SL are based on these principles. The answers to the questions will form part of the JS. An MSS should be initiated, developed and maintained only when all of the following principles are observed.

- 1) Market relevance** — Any MSS should meet the needs of, and add value for, the primary users and other affected parties.
- 2) Compatibility** — Compatibility between various MSS and within an MSS family should be maintained.



- 3) **Topic coverage** — An MSS should have sufficient application coverage to eliminate or minimize the need for sector-specific variances.
- 4) **Flexibility** — An MSS should be applicable to organizations in all relevant sectors and cultures and of every size. An MSS should not prevent organizations from competitively adding to or differentiating from others, or enhancing their management systems beyond the standard.
- 5) **Free trade** — An MSS should permit the free trade of goods and services in line with the principles included in the WTO Agreement on Technical Barriers to Trade.
- 6) **Applicability of conformity assessment** — The market need for first-, second- or third-party conformity assessment, or any combination thereof, should be assessed. The resulting MSS should clearly address the suitability of use for conformity assessment in its scope. An MSS should facilitate joint audits.
- 7) **Exclusions** — An MSS should not include directly related product (including services) specifications, test methods, performance levels (i.e. setting of limits) or other forms of standardization for products produced by the implementing organization.
- 8) **Ease of use** — It should be ensured that the user can easily implement one or more MSS. An MSS should be easily understood, unambiguous, free from cultural bias, easily translatable, and applicable to businesses in general.

## SL.7 Justification study process and criteria

### SL.7.1 General

This clause describes the justification study (JS) process for justifying and evaluating the market relevance of proposals for an MSS. Appendix 1 to this Annex SL provides a set of questions to be addressed in the justification study.

### SL.7.2 Justification study process

The JS process applies to any MSS project and consists of the following:

- a) the development of the JS by (or on behalf of) the proposer of an MSS project;
- b) an approval of the JS by the ISO/TMB (or ISO/TMB MSS task force).

The JS process is followed by the normal ISO balloting procedure for new work item approval as appropriate.

### SL.7.3 Justification study criteria

Based on [Annex C](#) of the ISO/IEC Directives, Part 1, 2012, and the general principles stated above, a set of questions (see Appendix 1 to this Annex SL) must be used as criteria for justifying and assessing a proposed MSS project and must be answered by the proposer. This list of questions is not exhaustive and any additional information that is relevant to the case should be provided. The JS should demonstrate that all questions have been considered. If it is decided that they are not relevant or appropriate to a particular situation, then the reasons for this decision should be clearly stated. The unique aspect of a particular MSS may require consideration of additional questions in order to assess objectively its market relevance.

## SL.8 Guidance on the development process and structure of an MSS

### SL.8.1 General

The development of an MSS will have effects in relation to

- the far-reaching impact of these standards on business practice,
- the importance of worldwide support for the standards,
- the practical possibility for involvement by many, if not all, ISO Member Bodies, and
- the market need for compatible and aligned MSS.

This clause provides guidance in addition to the procedures laid down in the ISO/IEC Directives, in order to take these effects into account.

All MSS (whether they are Type A or Type B MSS) shall, in principle, use consistent structure, common text and terminology so that they are easy to use and compatible with each other. The guidance and structure given in Appendix 2 to this Annex SL shall, in principle, also be followed (based on ISO/TMB Resolution 18/2012).

A Type B MSS which provides guidance on another MSS of the same MSS family should follow the same structure (i.e. clauses numbering). Where MSS providing guidance (Type B MSS) are involved, it is important that their functions be clearly defined together with their relationship with the MSS providing requirements (Type A MSS), for example:

- guidance on the use of the requirements standard;
- guidance on the establishment/implementation of the management system;
- guidance on improvement/enhancement of the management system.

Where the proposed MSS is sector specific:

- it should be compatible and aligned with the generic MSS;
- the relevant committee responsible for the generic MSS may have additional requirements to be met or procedures to be followed;
- other committees may need to be consulted, as well as CASCO on conformity assessment issues.

In the case of sector specific documents, their function and relationship with the generic MSS should be clearly defined (e.g. additional sector-specific requirements; elucidation; or both as appropriate).

Sector-specific documents should always show clearly (e.g. by using different typographical styles) the kind of sector-specific information being provided.

NOTE 1 The ISO/TMB/JTCG “Joint Technical Coordination Group on MSS” has produced a set of rules for the addition of discipline specific text to the identical text.

NOTE 2 Where the identical text or any of the requirements cannot be applied in a specific MSS, due to special circumstances, this should be reported to the ISO/TMB through the TMB Secretary at [tmb@iso.org](mailto:tmb@iso.org) (see [SL.9.3](#)).

### SL.8.2 MSS development process

#### SL.8.2.1 General

In addition to the JS, the development of an MSS should follow the same requirements as other ISO deliverables (ISO/IEC Directives, Part 1, [Clause 2](#)).

### SL.8.2.2 Design specification

To ensure that the intention of the standard, as demonstrated by the justification study, will be maintained, a design specification may be developed before a working draft is prepared.

The responsible committee will decide whether the design specification is needed and in case it is felt necessary, it will decide upon its format and content that is appropriate for the MSS and should set up the necessary organization to carry out the task.

The design specification should typically address the following.

<b>User needs</b>	The identification of the users of the standard and their associated needs, together with the costs and benefits for these users.
<b>Scope</b>	The scope and purpose of the standard, the title and the field of application.
<b>Compatibility</b>	How compatibility within this and with other MSS families will be achieved, including identification of the common elements with similar standards, and how these will be included in the recommended structure (see Appendix 2 to this Annex SL).
<b>Consistency</b>	Consistency with other documents (to be) developed within the MSS family.

NOTE Most, if not all of the information on user needs and scope will be available from the justification study.

The design specification should ensure that

- a) the outputs of the justification study are translated correctly into requirements for the MSS,
- b) the issues of compatibility and alignment with other MSS are identified and addressed,
- c) a basis for verification of the final MSS exists at appropriate stages during the development process,
- d) the approval of the design specification provides a basis for ownership throughout the project by the members of the TC/SC(s),
- e) account is taken of comments received through the NWI ballot phase, and
- f) any constraints are taken into account.

The Committee developing the MSS should monitor the development of the MSS against the design specification in order to ensure that no deviations happen in the course of the project.

### SL.8.2.3 Producing the deliverables

#### SL.8.2.3.1 Monitoring output

In the drafting process, the output should be monitored for compatibility and ease of use with other MSS, by covering issues such as

- the high level structure (HLS), identical subclause titles, identical text and common terms and core definitions the need for clarity (both in language and presentation), and
- avoiding overlap and contradiction.

### SL.8.2.4 Transparency of the MSS development process

MSS have a broader scope than most other types of standard. They cover a large field of human endeavour and have an impact on a wide range of user interests.

Committees preparing MSS should accordingly adopt a highly transparent approach to the development of the standards, ensuring that

- possibilities for participation in the process of developing standards are clearly identified, and
- the development processes being used are understood by all parties.

Committees should provide information on progress throughout the life cycle of the project, including

- the status of the project to date (including items under discussion),
- contact points for further information,
- communiqués and press releases on plenary meetings, and
- regular listings of frequently asked questions and answers.

In doing this, account needs to be taken of the distribution facilities available in the participating countries.

Where it may be expected that users of a Type A MSS are likely to demonstrate conformity to it, the MSS shall be so written that conformity can be assessed by a manufacturer or supplier (first party, or self-declaration), a user or purchaser (second party) or an independent body (third party, also known as certification or registration).

Maximum use should be made of the resources of the ISO Central Secretariat to facilitate the transparency of the project and the committee should, in addition, consider the establishment of a dedicated open-access website.

Committees should involve the national member bodies to build up a national awareness of the MSS project, providing drafts as appropriate for different interested and affected parties, including accreditation bodies, certification bodies, enterprises and the user community, together with additional specific information as needed.

The committee should ensure that technical information on the content of the MSS under development is readily available to participating members, especially those in developing countries.

#### **SL.8.2.5 Process for interpretation of a standard**

The committee may establish a process to handle interpretation questions related to their standards from the users, and may make the resulting interpretations available to others in an expedient manner. Such a mechanism can effectively address possible misconceptions at an early stage and identify issues that may require improved wording of the standard during the next revision cycle. Such processes are considered to be “committee specific procedures” [see Foreword f)].

### **SL.9 High level structure, identical core text and common terms and core definitions for use in Management Systems Standards**

#### **SL.9.1 Introduction**

The aim of this document is to enhance the consistency and alignment of ISO MSS by providing a unifying and agreed upon high level structure, identical core text and common terms and core definitions. The aim being that all ISO Type A MSS (and B where appropriate) are aligned and the compatibility of these standards is enhanced. It is envisaged that individual MSS will add additional “discipline-specific” requirements as required.

NOTE In Annex [SL.9.1](#) and Annex [SL.9.4](#) “discipline-specific” is used to indicate specific subject(s) to which a management system standard refers, e.g. energy, quality, records, environment etc.

The intended audience for this document is ISO Technical Committees (TC), Subcommittees (SC) and Project Committees (PC) and others that are involved in the development of MSS.

This common approach to new MSS and future revisions of existing standards will increase the value of such standards to users. It will be particularly useful for those organizations that choose to operate a single (sometimes called “integrated”) management system that can meet the requirements of two or more MSS simultaneously.

Appendix 2 to this Annex SL sets out the high level structure, identical core text and common terms and core definitions that form the nucleus of future and revised ISO Type A MSS and Type B MSS when possible.

Appendix 3 to this Annex SL sets out guidance to the use of Appendix 2 to this Annex SL.

### SL.9.2 Use

ISO MSS include the high level structure and identical core text as found in Appendix 2 to this Annex SL. The common terms and core definitions are either included or normatively reference an international standard where they are included.

**NOTE** The high level structure includes the main [clauses \(1 to 10\)](#) and their titles, in a fixed sequence. The identical core text includes numbered sub-clauses (and their titles) as well as text within the sub-clauses.

### SL.9.3 Non applicability

If due to exceptional circumstances the high level structure or any of the identical core text, common terms and core definitions cannot be applied in the management system standard then the TC/PC/SC needs to explain their rationale for review by:

- a) providing an initial deviation report to ISO/CS with the DIS submission;
- b) providing a final deviation report to ISO/TMB (through the ISO/TMB Secretary at [tmb@iso.org](mailto:tmb@iso.org)) upon submission of the final text of the standard for publication.

TC/PC/SC shall use the ISO commenting template to provide their deviation reports.

**NOTE 1** The final deviation report can be an updated version of the initial deviation report.

**NOTE 2** TC/PC/SC strive to avoid any non-applicability of the high level structure or any of the identical core text, common terms and core definitions.

### SL.9.4 Using Annex SL Appendix 2

Discipline-specific text additions to Annex SL Appendix 2 are managed as follows.

1. Discipline-specific additions are made by the individual ISO/TC, PC, SC or other group that is developing the specific ISO management system standard.
2. Discipline-specific text does not affect harmonization or contradict or undermine the intent of the high level structure, identical core text, common terms and core definitions.
3. Insert additional sub-clauses, or sub-sub-clauses (etc.) either ahead of an identical text sub-clause (or sub-sub-clause etc.), or after such a sub-clause (etc.) and renumbered accordingly.

**NOTE 1** Hanging paragraphs are not permitted — see ISO/IEC Directives, Part 2, clause 22.3.3.

**NOTE 2** Attention is drawn to the need to check cross referencing.

4. Add or insert discipline-specific text within Appendix 2 to this Annex SL. Examples of additions include:
  - a) new bullet points
  - b) discipline-specific explanatory text (e.g. Notes or Examples), in order to clarify requirements
  - c) discipline-specific new paragraphs to sub-clauses (etc.) within the identical text
  - d) adding text that enhances the existing requirements in Appendix 2 to this Annex SL
5. Avoid repeating requirements between identical core text and discipline-specific text by adding text to the identical core text taking account of point 2 above.
6. Distinguish between discipline-specific text and identical core text from the start of the drafting process. This aids identification of the different types of text during the development and balloting stages.

NOTE 1 Distinguishing options include by colour, font, font size, italics, or by being boxed separately, etc.

NOTE 2 Identification of distinguishing text is not necessarily carried into the published version.

7. Understanding of the concept of “risk” may be more specific than that given in the definition under 3.9 of Appendix 2 to this Annex SL. In this case a discipline-specific definition may be needed. The discipline-specific terms and definitions are differentiated from the core definition, e.g. (XXX) risk.

NOTE The above can also apply to a number of other definitions.

8. Common terms and core definitions will be integrated into the listing of terms and definitions in the discipline-specific management system standard consistent with the concept system of that standard.

### **SL.9.5 Implementation**

Follow the sequence, high level structure, identical core text, common terms and core definitions for any new management system standard and for any revisions to existing management system standard.

### **SL.9.6 Guidance**

Find supporting guidance in Appendix 3 to this Annex SL.

## Appendix 1

(normative)

### Justification criteria questions

#### 1. General

The list of questions to be addressed in the justification study are in line with the principles listed in SL.6. This list is not exhaustive. Additional information not covered by the questions should be provided if it is relevant to the case.

Each general principle should be given due consideration and ideally when preparing the JS, the proposer should provide a general rationale for each principle, prior to answering the questions associated with the principle.

The principles the proposer of the MSS should pay due attention to when preparing the justification study are:

1. Market relevance
2. Compatibility
3. Topic coverage
4. Flexibility
5. Free trade
6. Applicability of conformity assessment
7. Exclusions

**NOTE** No questions directly refer to the principle 8 “ease of use”, but it should guide the development of the deliverable.

#### Basic information on the MSS proposal

1	What is the proposed purpose and scope of the MSS? Is the document supposed to be a guidance document or a document with requirements?
2	Does the proposed purpose or scope include product (including service) specifications, product test methods, product performance levels, or other forms of guidance or requirements directly related to products produced or provided by the implementing organization?
3	Is there one or more existing ISO committee or non-ISO organization that could logically have responsibility for the proposed MSS? If so, identify.
4	Have relevant reference materials been identified, such as existing guidelines or established practices?
5	Are there technical experts available to support the standardization work? Are the technical experts direct representatives of the affected parties from the different geographical regions?
6	What efforts are anticipated as being necessary to develop the document in terms of experts needed and number/duration of meetings?
7	Is the MSS intended to be a guidance document, contractual specification or regulatory specification for an organization?



## Principle 1: market relevance

8	<p>Have all the affected parties been identified? For example:</p> <ul style="list-style-type: none"> <li>a) organizations (of various types and sizes): the decision-makers within an organization who approve work to implement and achieve conformance to the MSS;</li> <li>b) customers/end-users, i.e. individuals or parties that pay for or use a product (including service) from an organization;</li> <li>c) supplier organizations, e.g. producer, distributor, retailer or vendor of a product, or a provider of a service or information;</li> <li>d) MSS service provider, e.g. MSS certification bodies, accreditation bodies or consultants;</li> <li>e) regulatory bodies;</li> <li>f) non-governmental organizations.</li> </ul>
9	<p>What is the need for this MSS? Does the need exist at a local, national, regional or global level? Does the need apply to developing countries? Does it apply to developed countries? What is the added value of having an ISO document (e.g. facilitating communication between organizations in different countries)?</p>
10	<p>Does the need exist for a number of sectors and is thus generic? If so, which ones? Does the need exist for small, medium or large organizations?</p>
11	<p>Is the need important? Will the need continue? If yes, will the target date of completion for the proposed MSS satisfy this need? Are viable alternatives identified?</p>
12	<p>Describe how the need and importance were determined. List the affected parties consulted and the major geographical or economical regions in which they are located.</p>
13	<p>Is there known or expected support for the proposed MSS? List those bodies that have indicated support. Is there known or expected opposition to the proposed MSS? List those bodies that have indicated opposition.</p>
14	<p>What are the expected benefits and costs to organizations, differentiated for small, medium and large organizations if applicable?</p> <p>Describe how the benefits and the costs were determined. Provide available information on geographic or economic focus, industry sector and size of the organization. Provide information on the sources consulted and their basis (e.g. proven practices), premises, assumptions and conditions (e.g. speculative or theoretical), and other pertinent information.</p>
15	<p>What are the expected benefits and costs to other affected parties (including developing countries)?</p> <p>Describe how the benefits and the costs were determined. Provide any information regarding the affected parties indicated.</p>
16	<p>What will be the expected value to society?</p>
17	<p>Have any other risks been identified (e.g. timeliness or unintended consequences to a specific business)?</p>

## Principle 2: compatibility

18	<p>Is there potential overlap or conflict with (or what is the added value in relation to) other existing or planned ISO or non-ISO international standards, or those at the national or regional level? Are there other public or private actions, guidance, requirements and regulations that seek to address the identified need, such as technical papers, proven practices, academic or professional studies, or any other body of knowledge?</p>
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19	Is the MSS or the related conformity assessment activities (e.g. audits, certifications) likely to add to, replace all or parts of, harmonize and simplify, duplicate or repeat, conflict with, or detract from the existing activities identified above? What steps are being considered to ensure compatibility, resolve conflict or avoid duplication?
20	Is the proposed MSS likely to promote or stem proliferation of MSS at the national or regional level, or by industry sectors?

### Principle 3: topic coverage

21	Is the MSS for a single specific sector?
22	Will the MSS reference or incorporate an existing, non-industry-specific ISO MSS (e.g. from the ISO 9000- series of quality management standards)? If yes, will the development of the MSS conform to the ISO/IEC Sector Policy (see 34.2 of ISO/IEC Directives, Part 2), and any other relevant policy and guidance procedures (e.g. those that may be made available by a relevant ISO committee)?
23	What steps have been taken to remove or minimize the need for particular sector-specific deviations from a generic MSS?

### Principle 4: flexibility

24	Will the MSS allow an organization competitively to add to, differentiate or encourage innovation of its management system beyond the standard?
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### Principle 5: free trade

25	How would the MSS facilitate or impact global trade? Could the MSS create or prevent a technical barrier to trade?
26	Could the MSS create or prevent a technical barrier to trade for small, medium or large organizations?
27	Could the MSS create or prevent a technical barrier to trade for developing or developed countries?
28	If the proposed MSS is intended to be used in government regulations, is it likely to add to, duplicate, replace, enhance or support existing governmental regulations?

### Principle 6: applicability of conformity

29	If the intended use is for contractual or regulatory purposes, what are the potential methods to demonstrate conformance (e.g. first party, second party or third party)? Does the MSS enable organizations to be flexible in choosing the method of demonstrating conformance, and to accommodate for changes in its operations, management, physical locations and equipment?
30	If third-party registration/certification is a potential option, what are the anticipated benefits and costs to the organization? Will the MSS facilitate joint audits with other MSS or promote parallel assessments?

### Principle 7: exclusions

31	Does the proposed purpose or scope include product (including service) specifications, product test methods, product performance levels, or other forms of guidance or requirements directly related to products produced or provided by the implementing organization?
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## Appendix 2

(normative)

### High level structure, identical core text, common terms and core definitions

NOTE In the Identical text proposals, XXX = an MSS discipline specific qualifier (e.g. energy, road traffic safety, IT security, food safety, societal security, environment, quality) that needs to be inserted. *Blue italicized text is given as advisory notes to standards drafters.*

#### Introduction

*DRAFTING INSTRUCTION Specific to the discipline.*

#### 1. Scope

*DRAFTING INSTRUCTION Specific to the discipline.*

#### 2. Normative references

*DRAFTING INSTRUCTION Clause Title shall be used. Specific to the discipline.*

#### 3. Terms and definitions

*DRAFTING INSTRUCTION 1 Clause Title shall be used. Terms and definitions may either be within the standard or in a separate document. To reference Common terms and Core definitions + discipline specific ones. The arrangement of terms and definitions shall be according to the concept systems of each standard.*

For the purposes of this document, the following terms and definitions apply.

*DRAFTING INSTRUCTION 2 The following terms and definitions constitute an integral part of the “common text” for management systems standards. Additional terms and definitions may be added as needed. Notes may be added or modified to serve the purpose of each standard.*

*DRAFTING INSTRUCTION 3 Italics type in a definition indicates a cross-reference to another term defined in this clause, and the number reference for the term is given in parentheses.*

*DRAFTING INSTRUCTION 4 Where the text “XXX” appears throughout this clause, the appropriate reference should be inserted depending on the context in which these terms and definitions are being applied. For example: “an XXX objective” could be substituted as “an information security objective”.*

##### 3.1 organization

person or group of people that has its own functions with responsibilities, authorities and relationships to achieve its *objectives* (3.8)

Note 1 to entry: The concept of organization includes, but is not limited to sole-trader, company, corporation, firm, enterprise, authority, partnership, charity or institution, or part or combination thereof, whether incorporated or not, public or private.

##### 3.2 interested party (preferred term) stakeholder (admitted term)

person or *organization* (3.1) that can affect, be affected by, or perceive itself to be affected by a decision or activity

### **3.3 requirement**

need or expectation that is stated, generally implied or obligatory

Note 1 to entry: “Generally implied” means that it is custom or common practice for the organization and interested parties that the need or expectation under consideration is implied.

Note 2 to entry: A specified requirement is one that is stated, for example in documented information.

### **3.4 management system**

set of interrelated or interacting elements of an *organization* (3.1) to establish *policies* (3.7) and *objectives* (3.8) and *processes* (3.12) to achieve those objectives

Note 1 to entry: A management system can address a single discipline or several disciplines.

Note 2 to entry: The system elements include the organization’s structure, roles and responsibilities, planning and operation.

Note 3 to entry: The scope of a management system may include the whole of the organization, specific and identified functions of the organization, specific and identified sections of the organization, or one or more functions across a group of organizations.

### **3.5 top management**

person or group of people who directs and controls an *organization* (3.1) at the highest level

Note 1 to entry: Top management has the power to delegate authority and provide resources within the organization.

Note 2 to entry: If the scope of the *management system* (3.4) covers only part of an organization, then top management refers to those who direct and control that part of the organization.

### **3.6 effectiveness**

extent to which planned activities are realized and planned results achieved

### **3.7 policy**

intentions and direction of an *organization* (3.1), as formally expressed by its *top management* (3.5)

### **3.8 objective**

result to be achieved

Note 1 to entry: An objective can be strategic, tactical, or operational.

Note 2 to entry: Objectives can relate to different disciplines (such as financial, health and safety, and environmental goals) and can apply at different levels (such as strategic, organization-wide, project, product and *process* (3.12)).

Note 3 to entry: An objective can be expressed in other ways, e.g. as an intended outcome, a purpose, an operational criterion, as an XXX objective, or by the use of other words with similar meaning (e.g. aim, goal, or target).

Note 4 to entry: In the context of XXX management systems, XXX objectives are set by the organization, consistent with the XXX policy, to achieve specific results.

### **3.9 risk** effect of uncertainty

Note 1 to entry: An effect is a deviation from the expected — positive or negative.

Note 2 to entry: Uncertainty is the state, even partial, of deficiency of information related to, understanding or knowledge of, an event, its consequence, or likelihood.

Note 3 to entry: Risk is often characterized by reference to potential “events” (as defined in ISO Guide 73:2009, 3.5.1.3) and “consequences” (as defined in ISO Guide 73:2009, 3.6.1.3), or a combination of these.

Note 4 to entry: Risk is often expressed in terms of a combination of the consequences of an event (including changes in circumstances) and the associated “likelihood” (as defined in ISO Guide 73:2009, 3.6.1.1) of occurrence.

### 3.10

#### **competence**

ability to apply knowledge and skills to achieve intended results

### 3.11

#### **documented information**

information required to be controlled and maintained by an *organization* (3.1) and the medium on which it is contained

Note 1 to entry: Documented information can be in any format and media, and from any source.

Note 2 to entry: Documented information can refer to:

- the *management system* (3.4), including related *processes* (3.12);
- information created in order for the organization to operate (documentation);
- evidence of results achieved (records).

### 3.12

#### **process**

set of interrelated or interacting activities which transforms inputs into outputs

### 3.13

#### **performance**

measurable result

Note 1 to entry: Performance can relate either to quantitative or qualitative findings.

Note 2 to entry: Performance can relate to the management of activities, *processes* (3.12), products (including services), systems or *organizations* (3.1).

### 3.14

#### **outsource** (verb)

make an arrangement where an external *organization* (3.1) performs part of an organization’s function or *process* (3.12)

Note 1 to entry: An external organization is outside the scope of the *management system* (3.4), although the outsourced function or process is within the scope.

### 3.15

#### **monitoring**

determining the status of a system, a *process* (3.12) or an activity

Note 1 to entry: To determine the status, there may be a need to check, supervise or critically observe.

### 3.16

#### **measurement**

*process* (3.12) to determine a value

**3.17**

**audit**

systematic, independent and documented *process* (3.12) for obtaining audit evidence and evaluating it objectively to determine the extent to which the audit criteria are fulfilled

Note 1 to entry: An audit can be an internal audit (first party) or an external audit (second party or third party), and it can be a combined audit (combining two or more disciplines).

Note 2 to entry: An internal audit is conducted by the organization itself, or by an external party on its behalf.

Note 3 to entry: "Audit evidence" and "audit criteria" are defined in ISO 19011.

**3.18**

**conformity**

fulfilment of a *requirement* (3.3)

**3.19**

**nonconformity**

non-fulfilment of a *requirement* (3.3)

**3.20**

**corrective action**

action to eliminate the cause of a *nonconformity* (3.19) and to prevent recurrence

**3.21**

**continual improvement**

recurring activity to enhance *performance* (3.13)

**4. Context of the organization**

**4.1 Understanding the organization and its context**

The organization shall determine external and internal issues that are relevant to its purpose and that affect its ability to achieve the intended outcome(s) of its XXX management system.

**4.2 Understanding the needs and expectations of interested parties**

The organization shall determine:

- the interested parties that are relevant to the XXX management system;
- the relevant requirements of these interested parties.

**4.3 Determining the scope of the XXX management system**

The organization shall determine the boundaries and applicability of the XXX management system to establish its scope.

When determining this scope, the organization shall consider:

- the external and internal issues referred to in 4.1;
- the requirements referred to in 4.2.

The scope shall be available as documented information.

#### **4.4 XXX management system**

The organization shall establish, implement, maintain and continually improve an XXX management system, including the processes needed and their interactions, in accordance with the requirements of this International Standard/this part of ISO XXXX/this Technical Specification.

### **5. Leadership**

#### **5.1 Leadership and commitment**

Top management shall demonstrate leadership and commitment with respect to the XXX management system by:

- ensuring that the XXX policy and XXX objectives are established and are compatible with the strategic direction of the organization;
- ensuring the integration of the XXX management system requirements into the organization's business processes;
- ensuring that the resources needed for the XXX management system are available;
- communicating the importance of effective XXX management and of conforming to the XXX management system requirements;
- ensuring that the XXX management system achieves its intended outcome(s);
- directing and supporting persons to contribute to the effectiveness of the XXX management system;
- promoting continual improvement;
- supporting other relevant management roles to demonstrate their leadership as it applies to their areas of responsibility.

NOTE Reference to "business" in this International Standard/this part of ISO XXXX/this Technical Specification can be interpreted broadly to mean those activities that are core to the purposes of the organization's existence.

#### **5.2 Policy**

Top management shall establish a XXX policy that:

- a) is appropriate to the purpose of the organization;
- b) provides a framework for setting XXX objectives;
- c) includes a commitment to satisfy applicable requirements;
- d) includes a commitment to continual improvement of the XXX management system.

The XXX policy shall:

- be available as documented information;
- be communicated within the organization;
- be available to interested parties, as appropriate.

#### **5.3 Organizational roles, responsibilities and authorities**

Top management shall ensure that the responsibilities and authorities for relevant roles are assigned and communicated within the organization.



Top management shall assign the responsibility and authority for:

- a) ensuring that the XXX management system conforms to the requirements of this International Standard/this part of ISO XXXX/this Technical Specification;
- b) reporting on the performance of the XXX management system to top management.

## **6. Planning**

### **6.1 Actions to address risks and opportunities**

When planning for the XXX management system, the organization shall consider the issues referred to in 4.1 and the requirements referred to in 4.2 and determine the risks and opportunities that need to be addressed to:

- give assurance that the XXX management system can achieve its intended outcome(s);
- prevent, or reduce, undesired effects;
- achieve continual improvement.

The organization shall plan:

- a) actions to address these risks and opportunities;
- b) how to:
  - integrate and implement the actions into its XXX management system processes;
  - evaluate the effectiveness of these actions.

### **6.2 XXX objectives and planning to achieve them**

The organization shall establish XXX objectives at relevant functions and levels.

The XXX objectives shall:

- a) be consistent with the XXX policy;
- b) be measurable (if practicable);
- c) take into account applicable requirements;
- d) be monitored;
- e) be communicated;
- f) be updated as appropriate.

The organization shall retain documented information on the XXX objectives.

When planning how to achieve its XXX objectives, the organization shall determine:

- what will be done;
- what resources will be required;
- who will be responsible;
- when it will be completed;
- how the results will be evaluated.

## **7. Support**

### **7.1 Resources**

The organization shall determine and provide the resources needed for the establishment, implementation, maintenance and continual improvement of the XXX management system.

### **7.2 Competence**

The organization shall:

- determine the necessary competence of person(s) doing work under its control that affects its XXX performance;
- ensure that these persons are competent on the basis of appropriate education, training, or experience;
- where applicable, take actions to acquire the necessary competence, and evaluate the effectiveness of the actions taken;
- retain appropriate documented information as evidence of competence.

NOTE Applicable actions can include, for example, the provision of training to, the mentoring of, or the re-assignment of currently employed persons; or the hiring or contracting of competent persons.

### **7.3 Awareness**

Persons doing work under the organization's control shall be aware of:

- the XXX policy;
- their contribution to the effectiveness of the XXX management system, including the benefits of improved XXX performance;
- the implications of not conforming with the XXX management system requirements.

### **7.4 Communication**

The organization shall determine the internal and external communications relevant to the XXX management system, including:

- on what it will communicate;
- when to communicate;
- with whom to communicate;
- how to communicate.

### **7.5 Documented information**

#### **7.5.1 General**

The organization's XXX management system shall include:

- a) documented information required by this International Standard/this part of ISO XXXX/this Technical Specification;
- b) documented information determined by the organization as being necessary for the effectiveness of the XXX management system.

NOTE The extent of documented information for a XXX management system can differ from one organization to another due to:

- the size of organization and its type of activities, processes, products and services;
- the complexity of processes and their interactions;
- the competence of persons.

### 7.5.2 Creating and updating

When creating and updating documented information the organization shall ensure appropriate:

- identification and description (e.g. a title, date, author, or reference number);
- format (e.g. language, software version, graphics) and media (e.g. paper, electronic);
- review and approval for suitability and adequacy.

### 7.5.3 Control of documented information

Documented information required by the XXX management system and by this International Standard/this part of ISO XXXX/this Technical Specification shall be controlled to ensure:

- a) it is available and suitable for use, where and when it is needed;
- b) it is adequately protected (e.g. from loss of confidentiality, improper use, or loss of integrity).

For the control of documented information, the organization shall address the following activities, as applicable:

- distribution, access, retrieval and use;
- storage and preservation, including preservation of legibility;
- control of changes (e.g. version control);
- retention and disposition.

Documented information of external origin determined by the organization to be necessary for the planning and operation of the XXX management system shall be identified, as appropriate, and controlled.

NOTE Access can imply a decision regarding the permission to view the documented information only, or the permission and authority to view and change the documented information.

## 8. Operation

### 8.1 Operational planning and control

*DRAFTING INSTRUCTION This subclause heading will be deleted if no additional subclauses are added to Clause 8.*

The organization shall plan, implement and control the processes needed to meet requirements, and to implement the actions determined in 6.1, by:

- establishing criteria for the processes;
- implementing control of the processes in accordance with the criteria;
- keeping documented information to the extent necessary to have confidence that the processes have been carried out as planned.

The organization shall control planned changes and review the consequences of unintended changes, taking action to mitigate any adverse effects, as necessary.

The organization shall ensure that outsourced processes are controlled.

## **9. Performance evaluation**

### **9.1 Monitoring, measurement, analysis and evaluation**

The organization shall determine:

- what needs to be monitored and measured;
- the methods for monitoring, measurement, analysis and evaluation, as applicable, to ensure valid results;
- when the monitoring and measuring shall be performed;
- when the results from monitoring and measurement shall be analysed and evaluated.

The organization shall retain appropriate documented information as evidence of the results.

The organization shall evaluate the XXX performance and the effectiveness of the XXX management system.

### **9.2 Internal audit**

**9.2.1** The organization shall conduct internal audits at planned intervals to provide information on whether the XXX management system:

- a) conforms to:
  - the organization's own requirements for its XXX management system;
  - the requirements of this International Standard/this part of ISO XXXX/this Technical Specification;
- b) is effectively implemented and maintained.

**9.2.2** The organization shall:

- a) plan, establish, implement and maintain an audit programme(s) including the frequency, methods, responsibilities, planning requirements and reporting, which shall take into consideration the importance of the processes concerned and the results of previous audits;
- b) define the audit criteria and scope for each audit;
- c) select auditors and conduct audits to ensure objectivity and the impartiality of the audit process;
- d) ensure that the results of the audits are reported to relevant management;
- e) retain documented information as evidence of the implementation of the audit programme and the audit results.

### **9.3 Management review**

Top management shall review the organization's XXX management system, at planned intervals, to ensure its continuing suitability, adequacy and effectiveness.

The management review shall include consideration of:

- a) the status of actions from previous management reviews;
- b) changes in external and internal issues that are relevant to the XXX management system;
- c) information on the XXX performance, including trends in:
  - nonconformities and corrective actions;
  - monitoring and measurement results;
  - audit results;
- d) opportunities for continual improvement.

The outputs of the management review shall include decisions related to continual improvement opportunities and any need for changes to the XXX management system.

The organization shall retain documented information as evidence of the results of management reviews.

## **10. Improvement**

### **10.1 Nonconformity and corrective action**

When a nonconformity occurs, the organization shall:

- a) react to the nonconformity and, as applicable:
  - take action to control and correct it;
  - deal with the consequences;
- b) evaluate the need for action to eliminate the cause(s) of the nonconformity, in order that it does not recur or occur elsewhere, by:
  - reviewing the nonconformity;
  - determining the causes of the nonconformity;
  - determining if similar nonconformities exist, or could potentially occur;
- c) implement any action needed;
- d) review the effectiveness of any corrective action taken;
- e) make changes to the XXX management system, if necessary.

Corrective actions shall be appropriate to the effects of the nonconformities encountered.

The organization shall retain documented information as evidence of:

- the nature of the nonconformities and any subsequent actions taken;
- the results of any corrective action.

### **10.2 Continual improvement**

The organization shall continually improve the suitability, adequacy and effectiveness of the XXX management system.

### **Appendix 3**

(informative)

#### **Guidance on high level structure, identical core text, common terms and core definitions**

Guidance on the high level structure, identical core text, common terms and core definitions is provided at the following URL:

[Annex SL Guidance documents](#)

(<http://isotc.iso.org/livelink/livelink?func=ll&objId=16347818&objAction=browse&viewType=1>).

## **Annex SM** **(normative)**

### **Global relevance of ISO technical work and publications**

#### **SM.1 Introduction**

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

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

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

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

#### **SM.2 Terms and definitions**

##### **Standard**

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

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

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

##### **international standard**

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

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



## **International Standard**

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

(ISO/IEC Directives, Part 2)

## **Global relevance**

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

## **SM.3 Principles**

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

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

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

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

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

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

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

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

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

ISO/IEC Directives, Part 2, clause 5.4 Performance principle (Excerpt) “Whenever possible, requirements shall be expressed in terms of performance rather than design or descriptive characteristics. This principle allows maximum freedom for technical development and reduces the risk of undesirable market impacts (e.g. restriction of innovative solutions).”

Given these quotations, the use of the performance-based approach is widely recognized as supporting the development of globally relevant ISO standards. In the case of design-based standards, the freedom for further technical innovation is most limited, while performance-based standards provide for

maximum freedom for further innovation. However, in practice, there may be cases where inclusion of design requirements for some provisions within a performance-based standard is appropriate. There may also be other cases where development of a completely design-based standard may be appropriate and will result in a globally relevant ISO standard.

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

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

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

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

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

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

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

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

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

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

## Annex SN (normative)

### Registration Authority (“RA”) Policy

#### SN.1 Scope

A number of International Standards developed by ISO technical committees require the assignment of unique registration elements, and describe the methodology for the assignment of these elements. The elements themselves are not part of the standard but are assigned by an appointed RA, who also maintains an accurate register of the elements that have been assigned. The RA is a competent body with the requisite infrastructure for ensuring the effective allocation of these registration elements. These bodies are designated by ISO to serve as the unique RA for particular standards, which creates a de facto monopoly situation.

This Policy is mandatory and must be read in conjunction with [Annex H](#) of Part 1 of the ISO/IEC Directives.

Where ISO/CS becomes aware of a RA Standard that has not followed this Policy, it shall stop the publication process to allow time to implement this Policy before the RA Standard is published. For this reason committees are encouraged to make the ISO Technical Program Manager (TPM) aware of a project requiring an RA as early in the development process as possible to avoid delays in publication.

#### SN.2 Definitions

**SN.2.1 RA Standard:** The standard for which the RA is providing the Registration Services.

**SN.2.2 Registration Services:** Services provided by the RA in the implementation of the RA Standard and which shall be described in the RA Standard.

**SN.2.3 Registration Authority (“RA”):** Entity appointed by ISO to fulfill the Registration Services in a RA Standard.

**SN.2.4 Registration Agencies:** Third parties (e.g. national or regional sub-entities) to which the RA delegates part of the Registration Services. Even when delegated to Registration Agencies, the Registration Services remain under the responsibility of the RA.

**SN.2.5 Registration Authority Agreement (“RAA”):** Agreement based on the RAA template signed by the RA and the ISO Secretary-General on behalf of ISO, which details the functions, roles and legal obligations of the parties involved. A RAA must be signed before a RA Standard is published (including revisions).

**SN.2.6 Registration Elements:** Unique elements, the methodology for which is described in the standard but which themselves are not part of the standard.

**SN.2.7 Technical Programme Managers (TPM):** Individual within ISO/CS assigned to work with a given committee.

## SN.3 Procedure

### SN.3.1 Chronology

This Policy addresses the various aspects of a RA in the order of the life cycle of a typical RA noting that some stages may be done in parallel. Each stage is addressed as follows:

- Identifying the need for a RA ([SN.3.2](#))
- Drafting a RA Standard ([SN.3.3](#))
- Selecting a RA ([SN.3.4](#))
- Appointing a RA ([SN.3.5](#))
- Signing the RAA ([SN.3.6](#))
- Terminating a RA ([SN.3.7](#))
- Implementing a RA Standard ([SN.3.8](#))
  - The Role of the RA ([SN.3.8.1](#))
  - The Role of the Committee ([SN.3.8.2](#))
  - The Role of the ISO Central Secretariat ([SN.3.8.2](#))

### SN.3.2 Identifying the need for RA

The committee confirms its decision that a standard needs a RA for its implementation by way of a resolution.

The committee secretariat completes the RA Confirmation (“RAC”) Form (See Annex SJ) and submits it to the TPM as soon as possible, but no later than the beginning of the preparatory (WD) stage.

### SN.3.3 Drafting a RA Standard

The following shall be included in all RA Standards:

- A description of the identification scheme or the mechanism for generating unique registration elements.
- A description of the Registration Services, and the responsibility of the RA for providing the Registration Services.
- The link to the page on iso.org where users can find out the name and contact information of the RA for a given standard. This should also provide links to the RA's website which contains more information on the Registration Services.

The following shall not be included in RA Standards:

- In accordance with clause 4 of the ISO/IEC Directives, Part 2, contractual or other legal elements shall not be included in the RA Standard.
- Procedures concerning the provision of the Registration Services (e.g. a Handbook made available by the RA) shall not be included in the RA Standard. These are to be publicly provided by the RA (e.g. via a website).
- The name of the RA shall not be mentioned in the RA Standard. Instead, the link to the ISO website shall be provided (see above).
- References to the selection or confirmation process for the RA shall not be included in the RA Standard.

- In case of delegation of Registration Services by the RA to third parties (e.g. national or regional sub-entities referred to as “Registration Agencies”) as agreed under the RAA, the RA Standard may mention the fact that some Registration Services have been delegated. However, any further details about Registration Agencies shall not be included in the RA Standard.

The TPM is responsible for coordinating with the committee to ensure that the right elements are included in the RA Standard. Any questions about what should be included in the RA Standard are to be addressed to the TPM.

### SN.3.4 Selecting a RA

The selection process of the RA applies to new RA Standards and existing RA Standards in cases where the existing RA ceases to be the RA for any reason.

In the case of revisions, the committee shall decide whether the existing RA should continue or if a selection process should be launched to select additional RA candidates. The decision to launch a selection process should be supported by a rationale. The committee shall confirm its decision by resolution.

The selection process shall be completed before the project reaches the DIS stage. It is important for the DIS to contain details about the nature of the Registration Services needed.

The committee establishes the criteria for the selection of the RA and confirms these by resolution. The minimum elements of the selection process shall be:

- **Selection criteria** – these must be clearly explained and with sufficient details for possible RA candidates to assess their ability to meet the criteria and apply on this basis. Included in the selection criteria shall be the requirement that the RA provide the following information in writing:
  - Proof (e.g. Statutes) that it is a legal entity which means that is an organization formed under the laws of a jurisdiction and that it is therefore subject to governance related rules.
  - Expression of willingness to take responsibility for the Registration Services.
  - Confirmation that the RA is technically and financially able to carry out the RA Services described in the RA Standard and the RAA on an international level.
  - Expression of willingness to sign a RAA, the ISO/CS RAA template for which shall be shared with RA candidates.
  - Confirmation of whether it intends to delegate part of the Registration Services to Registration Agencies.
  - Whether it will charge fees for the services and, if it charges fees, confirmation that any such fees will be on a cost recovery basis.
- **Public call for RA candidates** – committees shall take the appropriate steps needed to post the call for competent RA applicants to as broad a market as possible, also targeting possible organizations by inviting them to apply.
- **Evaluation** – RA candidates shall provide their responses in writing. The committee (or a subset thereof) shall decide on objective evaluation criteria based on selection criteria, including the relative weight given to each selection criteria.
- **Record-keeping** – the committee secretariat shall keep records of all documents in the selection process, including the call for candidates, applications, evaluation, decision, etc.

The committee shall then confirm its recommendation for appointment of the organization selected to be RA via a resolution.

### SN.3.5 Appointing a RA

The information that is provided by the committee in the RAC (see [SN.3.2](#) above) is needed to launch the TMB ballot appointing the RA, as well as the ISO Council ballot if the RA intends to charge fees. In the case of revisions, approval from the TMB or ISO Council is not needed if the committee decides that the same RA should continue (see [SN.3.4](#)).

The ISO/IEC Directives state that RA may charge fees for the Registration Services subject to authorization by the ISO Council, and as long as the basis of charging fees is strictly on a cost recovery basis.

The information must therefore be fully complete. In the case of JTC 1 RA Standards, a copy of the RAC Form shall also be provided to the IEC since RA appointments must all be confirmed by the IEC/SMB (and Council Board) where fees are charged.

### SN.3.6 Signing a RAA

Only after the TMB (and Council if fees are charged) has appointed the RA (and in the case of JTC 1 RA Standards, involving the IEC) can the RAA be signed. Signing a RAA based on the ISO/CS template is mandatory for all RAs. The RAA shall be signed before publication of a new or revised RA Standard. If a RAA is not signed, the new or revised RA Standard shall not be published.

Because a RA Standard can change throughout the phases of development, the RA must be provided with the version of the RA Standard that is ready for publication. The list of RA tasks is referenced in the RAA.

To ensure consistency and equality of treatment between the different RAs, any requested deviations from the RAA template which ISO/CS considers to be significant in nature shall be submitted to the TMB for approval.

### SN.3.7 Terminating a RA

Termination of RAs could occur when the RA resigns or because the committee and ISO/CS have come to the conclusion (due to withdrawal of the RA Standard, customer complaints, etc.) that the RA should no longer continue to provide the Registration Services. The committee shall notify the TPM of any issue that it becomes aware of that could lead to the end of the Registration Services by the RA.

The process detailed in [SN.3.4](#) above should be followed in the selection of a replacement RA unless the committee has identified an alternative RA candidate that meets the selection criteria in 3.4 and going through the selection process for additional RA candidates would cause disruption in the RA Services.

The RAA defines a notice period in case of the termination of an RA. This notice period is to be used for the selection process of a new RA so that the transition from one RA to the other is seamless.

### SN.3.8 Implementing a RA Standard

#### SN.3.8.1 Role of the RA

The RA provides the Registration Services by:

- providing the Registration Services described in the RA Standard, and
- respecting the provisions of the RAA.

#### SN.3.8.2 Role of the committee

Although RAA are signed by the RA and by the ISO Secretary-General, the signature of a RAA by the Secretary-General binds all components in the ISO system, including ISO members and ISO committees. The central role is played by committees. In addition to identifying the need for a RA standard (3.2),



drafting the RA Standard (3.3) and selecting a RA (3.4) for both new and revised RA Standards, the committee has the main responsibility for the oversight of the RA as follows:

- **Answering questions:** The committee must be available to the RA to answer questions about the RA Standard and clarify any expectations regarding their role in implementing the RA Standard.
- **Assessing RA's annual reports:** The RAA requires RA to provide annual reports with a specified list of elements. The committee shall ensure that these annual reports are provided and shall read through them.
- **Monitoring:** In addition to the annual RA report, the committee shall also collect any feedback from industry and users of the RA Standard. Based on all of these elements (RA report and other feedback), the committee shall report to ISO/CS (see below).
- **Reporting to ISO/CS:** At least once per year and based on the information collected under **Monitoring** above, the committee shall provide a report to the responsible TPM using the Annual Committee Report to TPM ("ACR") Form (See Annex SJ). The purpose of such reports is to confirm that the RA operates in accordance with the RAA or to raise any concerns (concerns can include: RA Standard not meeting industry or user needs, complaints about the quality of the Registration Services, etc.). Such reports shall be provided at least annually to the responsible TPM or more frequently if the committee deems it necessary. The TPM may also ask for ad hoc reports. If the report identifies concerns, it shall include the planned **Corrective measures** (see below) needed to address these concerns.
- **Corrective measures:**
  - By the committee: the committee is responsible for implementing the corrective measures that are within its area of responsibility. These could include: revising the RA Standard, providing advice and guidance to the RA, carrying out audits or recommending the termination of the RAA to ISO/CS in severe cases.
  - By ISO/CS: the corrective measures that fall within the responsibility of ISO/CS (e.g. updating or overseeing the RAA) will be coordinated by the TPM. The TPM may also recommend corrective measures.
  - By the RA: the RA is responsible for any corrective measure that are within its area of responsibility, which would include the Registration Services and the provisions described in the RAA.
- **Dispute resolution:** In case of a dispute with customers of RA Services, the RA shall act diligently to resolve it. The RA shall bring disputes that it cannot resolve to the attention of the committee (as stated in the RAA) who shall advise the responsible TPM. The role of the committee (and ISO/CS) is limited to supporting the RA address the dispute. The committee shall not take over responsibility for the dispute or become the appellate body for disputes against the RA because this may inadvertently give the impression that ISO is responsible for the Registration Services.
- **Maintenance of records:** All key communications and documentation from and about the RA must be archived. The committee secretariat is responsible for ensuring that these are maintained in a separate folder on e-committees.

The committee may create a subgroup [often referred to as a Registration Management Group ("RMG")] in order to help them with the above. Committees (either directly or through the RMG) shall not participate or get involved in providing the Registration Services.

### SN.3.8.3 Role of the ISO/CS

The committee's interface with ISO/CS is through the responsible TPM. The role of the TPM includes:

- Identification of RA Standards during the development process if not done by the committee.
- Providing guidance and advice for the drafting of RA Standards.



- Training committees on the RA Policy.
- Coordination with committees to ensure compliance with the RA Policies, quality of Registration Services, appropriate handling of complaints, addressing industry and users' needs, including addressing the concerns raised in the annual reports provided by committees (using the ACR Form) and recommending and assisting in the implementation of any corrective measures (see [SN.3.8.2](#)).
- Maintenance of records in relation to his or her involvement.

## **Annex SO** **(informative)**

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

#### **SO.1 Background Context**

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

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

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

#### **SO.2 Principles**

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

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

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

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

### **SO.3 Implementation**

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

## Annex SP (normative)

### Environmental management — Sector, aspect and element policy

**SP.1** Any ISO technical committee or subcommittee that proposes development of a sector-, aspect- or element-specific environmental management standard (see SP.6 below for definitions) shall clearly demonstrate its market relevance and alignment through the completion of appropriate ISO project approval procedures, including:

- ISO Form 4, *New Work Item Proposal* for sector-, aspect- or element-specific specific application of generic environmental management system standards, environmental labeling, life-cycle assessment and greenhouse gas management standards, and
- Annex SL *Proposals for management system standards* for sector-, aspect- or element-specific specific application of generic environmental management system standards.

Approval documentation should include specific justification as to why the relevant generic ISO 14000-series standard(s) insufficiently address sector-, aspect- or element-specific needs and how the proposed new standard would effectively resolve identified issues. Proposers should critically assess whether additional sector-, aspect- or element-specific requirements are needed as opposed to the provision of additional guidance to the generic environmental management standard(s).

**SP.2** Any ISO technical committee or subcommittee that proposes development of a sector-, aspect- or element-specific environmental management standard should consider and reflect the needs of developing countries, economies in transition, small- and medium- enterprises and organizations operating across a variety of sectors;

**SP.3** ISO/TC 207 will cooperate in or, where appropriate and as decided by the ISO Technical Management Board, lead joint projects with ISO technical committees or subcommittees developing sector-, aspect- or element-specific environmental management standards to avoid duplication of effort and promote consistency and alignment. There is no intention to restrict the development of market relevant standards in committees outside of ISO/TC 207.

**SP.4** ISO technical committees or subcommittees developing sector-, aspect- or element-specific environmental management standards shall:

- include the normative reference of the appropriate generic ISO 14000- series environmental management systems, environmental labeling, life-cycle assessment and greenhouse gas management standards;
- include the normative reference of the appropriate generic ISO 14050 terms and definitions;
- distinguish ISO 14000- series text if it is reproduced; and
- not interpret, change, or subtract from the requirements of the generic ISO 14000- series environmental management systems, environmental labeling, life-cycle assessment and greenhouse gas management standards.

**SP.5** Any requests for guidance on this sector-, aspect- or element-specific policy or for interpretation of generic ISO 14000- series standards or ISO 14050 terms and definitions shall be submitted to the ISO Central Secretariat.

## **SP.6 Terms and definitions**

### **SP.6.1**

#### **Sector-specific environmental management standard**

Standard that provides additional requirements or guidance for the application of a generic environmental management standard to a specific economic or business sector; for example the application of an environmental management system (ISO 14001) or life-cycle assessment (ISO 14044) to agri-food or energy sectors.

### **SP.6.2**

#### **Aspect-specific environmental management standard**

Standard that provides additional requirements or guidance for the application of a generic environmental management standard for a specific environmental aspect or aspects within its scope; for example the application of an environmental management system (ISO 14001) for greenhouse gas (aspect) management or life-cycle assessment (ISO 14044) for the water (aspect) footprint of products.

### **SP.6.3**

#### **Element-specific environmental management standard**

Standard that provides additional requirements or guidance for the application of a generic environmental management standard for a specific element or elements within its scope; for example communications or emergency management (elements) within an environmental management system (ISO 14001) or data collection or critical review (elements) within a life-cycle assessment (ISO 14044).

### **SP.6.4**

#### **“Generic” standard**

Standard designed to be widely applicable across economic sectors, various types and sizes of organizations and diverse geographical, cultural and social conditions.

### **SP.6.5**

#### **Standard**

International Standard, including requirement standards (e.g. Type A management systems standards) or guidance standard (e.g. Type B management system standards).

## Annex SQ (normative)

### Selection criteria for people leading the technical work

#### SQ.1 Obligations of member bodies

Member bodies are responsible for ensuring that candidates for leadership positions (i.e. chairs, convenors, and secretaries) meet the requirements contained in [SQ.3](#). Member bodies are also responsible for ensuring that any gaps in skills or knowledge of the selected leaders, as well as experts, are identified and filled through ongoing training.

#### SQ.2 Resources available to fill gaps in skills or knowledge

A number of resources are available to help member bodies fill any identified gaps in skills or knowledge:

- Training and other materials are available from the ISO Central Secretariat to ensure the effectiveness of the various roles in conducting/attending meetings, including understanding key concepts.
- To help train experts, it may be useful to schedule committee pre-sessions and information on existing resources before or in conjunction with committee plenaries.
- The support of the Technical Programme Manager, particularly in the case of new committees, is available to train leaders and experts. In the case of new committees, the Technical Programme Manager should attend the first meeting to provide an overall introduction of ISO and its processes.
- Exchange programmes could also be organized between member bodies or with the ISO Central Secretariat. Member bodies may also wish to consider twinnings.
- The services of an external facilitator for coaching and training could be considered as one of the options to assist the committee leadership to develop non-ISO specific skills, such as the skills needed to run effective meetings, general leadership skills, etc.

#### SQ.3 Selection Criteria for people leading the technical work

The success of any committee or working group is dependent on its leadership. This selection criteria applies to committee <sup>4)</sup> chairs, working group convenors and committee secretaries. Member bodies are therefore required to apply this criteria when nominating people to these roles in order to ensure that the new [ISO Code of Conduct for the technical work](#) is upheld and that the ISO/IEC Directives are correctly applied.

##### SQ.3.1 Chairs and convenors

###### SQ.3.1.1 Competencies and attributes of good chairs and convenors:

- existing role and good reputation in the sector
- relevant professional experience with previous experience of chairmanship
- lead and inspire delegates and experts from the sector towards consensus

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4) Technical Committees, Subcommittees, Project Committees.

- understand the international nature of ISO's work and its resulting benefits
- commit time and resources to their role
- develop solutions through innovative and creative thinking in a consensus environment
- act proactively and communicate diplomatically
- foster and value cooperation with other ISO and IEC Committees and partners including those from regulatory bodies
- act in a purely international capacity

**SQ.3.1.2 Job specification for chairs and convenors:**

- lead meetings effectively with a view to reaching agreement and to ensure that positions and decisions are clearly understood
- ensure that all positions and views (at meetings and by correspondence) are given equal treatment
- manage projects according to agreed target dates in accordance with the project plan from preparation to completion
- work to ensure that a full range of technical competence is available to the group
- be fully knowledgeable of the subject and market needs
- propose decisions to progress or to stop work on the basis of its market or global relevance
- have basic knowledge of ISO and its procedures

**SQ.3.1.3 Additionally — chairs of committees are required to:**

- take responsibility for the overall management of the committee, including any subcommittees and working groups
- advise the ISO Technical Management Board on important matters relating to the Committee
- ensure that the policy and strategic decisions of the ISO Technical Management Board are implemented by the Committee
- think strategically to promote ISO's work in the sector

**SQ.3.1.4 Supporting information**

The following information should be considered by the member bodies in the nominations for chairs and convenors:

- current role in the sector
- education
- professional career
- leadership experience
- similar activities
- language skills



## **SQ.3.2 Secretaries and secretariats**

### **SQ.3.2.1 Selection of secretaries and secretariats**

The success of an ISO committee is dependent on its secretariat and secretary. The following list is based on the ISO/IEC Directives and shows the tasks expected to be performed in these roles. ISO Members should use this list when appointing organizations and professionals as secretariats and secretaries.

### **SQ.3.2.2 Good documents**

Preparing drafts for the committee, arranging for their distribution and the treatment of the comments received. Preparing of drafts, text and figures for circulation by ISO Central Secretariat (ISO/CS) for enquiry and final draft International Standards or for publication. Fulfilling the ISO/CS submission requirements of such documents when sending them.

### **SQ.3.2.3 Excellent project management**

Assisting in the establishment of priorities and target dates for each project. Notifying the names of all working group convenors and project leaders to the ISO Central Secretariat. Initiating ballots. Proposing proactive solutions for projects that are running significantly overtime, and/or which appear to lack sufficient support.

### **SQ.3.2.4 Well prepared meetings**

Establishing the agenda and arranging for its distribution as well as the distribution of all documents on the agenda, including reports of working groups, and indicating all other documents which are necessary for discussion during the meeting. Recording the decisions taken in a meeting and making these decisions available in writing for confirmation in the meeting. Preparing the minutes of meetings to be circulated in a timely manner after the meeting.

### **SQ.3.2.5 Good advice on ISO processes**

Providing advice to the chair, project leaders, and convenors on the ISO/IEC Directives and in particular the procedures associated with the progression of projects. Contacting any subcommittees and working group regarding their activities.

### **SQ.3.2.6 Connecting and networking**

Working in close liaison with the chair of the committee. Maintaining close contact with the ISO Central Secretariat and with the members of the committee regarding its activities. Maintaining close contact with the secretary of any parent committee.

### **SQ.3.2.7 Proactive follow up of actions**

Ensuring that all actions agreed at meetings or by correspondence are completed on time and in a transparent manner.

### **SQ.3.2.8 Good with IT**

Appropriate knowledge and capabilities in using MS Word based drafting tools and the ISO web-based applications including Livelink-e-committees, the committee balloting application and the submission interface.

**SQ.3.2.9 Supporting Information**

The following information should be considered by the member body when appointing secretaries:

- education
- professional career
- experience in standardization work
- participation in training programmes on standardization
- experience with ISO's IT tools and IT infrastructure
- language skills

## **Annex SR** **(normative)**

### **Statements intended to limit the purpose or use of deliverables**

#### **SR.1 Principles**

The ISO Technical Management Board adopted the following ISO/TMB Resolution 8/2012 regarding statements intended to limit the purpose or use of deliverables:

Noting that ISO Council Resolution 9/2001 confirms ISO's compliance with the basic principles of the operation and implementation of the WTO Agreement on Technical Barriers to Trade (TBT),

Agrees that statements intended to limit the purpose or use of deliverables in relation to barriers or obstacles to trade are not permitted,

Further agrees that statements relating to contractual obligations or government regulation are also not permitted,

Requests that any such statements be removed during the development of a deliverable (i.e. before the close of the DIS) and that any such statements in existing deliverables be removed when the deliverable is revised,

Requires that any exceptions to the above in exceptional cases be approved by the ISO/TMB (...)

The ISO Technical Management Board also adopted the following ISO/TMB Resolution 69/2012 regarding statements intended to limit the purpose or use of deliverables in relation to conformity assessment ("conformity assessment disclaimers"):

Recalling [TMB Resolution 8/2012](#) *Statements intended to limit the purpose or use of deliverables*,

(...)

Decides that statements related to conformity assessment (for example certification) are not permitted in ISO deliverables,

(...)

Agrees that any conformity assessment statements must be removed during the development of a deliverable (i.e. before the close of the DIS) and that any such statements in existing deliverables must be removed when the deliverable is revised, to be replaced by the link in the Foreword, and

Requires that any exceptions to the above be approved by the TMB.

#### **SR.2 Further information regarding statements in relation to barriers or obstacles to trade**

Various statements intended to limited purpose or use of deliverables (sometimes referred to as "disclaimers") in relation to barriers or obstacles to trade are included in a number of ISO deliverables. Though the wording differs slightly from case to case, they make the point that the deliverable in question is not intended to create barriers or obstacles to trade.

As explained on the [ISO/IEC Information Centre](#), the [Agreement on Technical Barriers to Trade](#) (TBT) is one of the legal texts of the [WTO Agreement](#). It obliges [WTO Members](#) to ensure that, *inter alia*, voluntary standards do not create unnecessary obstacles to trade. Specifically, [Annex 3](#) of the TBT

entitled *Code of Good Practice for the Preparation, Adoption and Application of Standards* (para. E) states: “The standardizing body shall ensure that standards are not prepared, adopted or applied with a view to or with the effect of, creating unnecessary obstacles to international trade.”

Standardizing bodies within the territory of a WTO Member can notify their acceptance of the Code of Good Practice for the Preparation, Adoption and Application of Standards (Annex 3 to the TBT). A [list](#) is available of the standardizing bodies from the countries that have notified their acceptance. In accordance with the TBT, the onus is then on WTO Members to ensure that the TBT is respected within their respective territories.

The obligation to avoid obstacles to trade is therefore amply covered in the TBT. To add a TBT disclaimer in some standards but not in others creates two classes of standards with no clear difference between the two. In fact, if the practice were allowed to continue, this could inadvertently create the impression that there are two different levels of compliance with the TBT.

In addition, the issue of ISO’s general compliance with the basic principles of the operation and implementation of the TBT was considered by the ISO Council. By way of ISO Council Resolution 9/2001, the ISO Council confirmed that ISO was indeed compliant in this regard.

### **SR.3 Further information regarding statements in relation to contractual obligations or government regulation**

ISO/TMB Resolution 8/2012 reinforces the application of clause 4 of the ISO/IEC Directives, Part 2 which states that “A document shall not include contractual requirements (e.g. concerning claims, guarantees, covering of expenses) and legal or statutory requirements.”

In addition, a document shall not include statements about the need to respect national law or statements that an ISO standard is not intended to conflict with national law. The application of ISO standards is voluntary and national law takes precedence in case of conflict. Furthermore, to add such statements in some standards but not in others creates two classes of standards. This could inadvertently create the impression that an ISO standard takes precedence over national law unless primacy of national law is expressly stated.

### **SR.4 Further information on do’s and don’ts related to conformity assessment**

Further information regarding conformity assessment for standard writers is available in the publication entitled “Conformity assessment for standards writers — Do’s and Don’ts”: <http://www.iso.org/iso/PUB100303.pdf> and in clause 33 of ISO/IEC Directives, Part 2. Additional guidance is also contained in the generic text, a link to which is included in the Foreword of ISO deliverables ([www.iso.org/foreword-info](http://www.iso.org/foreword-info)).

### **SR.5 Requests for exceptions**

Requests for exceptions to include a statement intended to limit the purpose or use of deliverables must be approved by the ISO Technical Management Board who will carefully consider such requests on a case by case basis.

## **Annex SS** **(normative)**

### **Optional use of the Committee Draft (CD) stage — Guidance for committees**

The following is guidance for committees regarding the optional use of the Committee Draft (CD) stage.

#### **SS.1 Implementation guidance**

- Decisions on whether to skip the CD should be made on a case by case basis.
- Decisions should be made on the basis of what is expected to be gained by a CD circulation (e.g. further understanding of an issue) compared to possible increases in costs and time (additional drafting and meetings).
- The proposal to skip the CD stage should be made by the Working Group Convenor/Project Leader following a consultation with the WG experts to prove consensus.
- The final decision should then be taken by the parent committee by consensus through a 4 week Committee Internal Ballot or at a meeting (for a definition of consensus, see [clause 2.5.6](#)).
- In cases where there are concerns that skipping of the CD stage may seriously compromise consensus, then skipping the CD stage should be avoided.

#### **SS.2 Tips for Convenors and Project Leaders when proposing to skip the CD stage**

- 1) Use stage 0 to build a draft document which reflects already known stakeholder views.
- 2) Ensure a high quality draft is circulated with the New Work Item Proposal.
- 3) Inform the parent committee secretary as soon as it is known that the Working Group (WG) would like the project to skip the CD stage.
- 4) Ensure P-members with a major interest in the subject have nominated experts to the WG and that consensus has been achieved on the document among the WG.
- 5) Ensure appropriate number of re-iterations of Working Drafts circulations to the experts.
- 6) Give regular updates about the status of the work to the secretary of the committee who in turn should provide updates to the P-members and circulate working drafts for information if necessary.
- 7) Ask WG Experts to regularly inform their nominating P-members of the status of the work and encourage the WG experts to conduct informal consultations at the national level.
- 8) Ensure the document submitted to the committee secretary is of high technical quality which is good enough for a DIS vote.
- 9) Always ensure a full review of the DIS comments after the DIS vote.

### **SS.3 Tips for committee Chairs and Secretaries**

- Inform the members of the committee as soon as it is known that the Working Group would like to skip the CD stage.
- When submitting the DIS draft to ISO CS for preparation of the vote send the draft to the committee for information.

### **SS.4 Other information**

- This does not alter the current standards development timeframes which remain at 2, 3 or 4 years. The optional use of the CD will help you meet or beat your target dates that are set under these timeframes.
- For Vienna Agreement projects the CD can also be used on an optional basis.

## Reference documents

The following are links to reference documents for the ISO technical community on a number of important subjects.

- ISO's web page ([www.iso.org](http://www.iso.org))
- ISO/IEC Directives, Parts 1 & 2, Consolidated ISO Supplement to ISO/IEC Directives, Part 1, JTC 1 Supplement ([www.iso.org/directives](http://www.iso.org/directives))
- Guidance for ISO national standards bodies — engaging stakeholders and building consensus ([http://www.iso.org/iso/guidance\\_nsb.pdf](http://www.iso.org/iso/guidance_nsb.pdf)). See also companion for ISO members: (<http://www.iso.org/sites/PEG/index.html>), and Additional guidance from the TMB on stakeholder engagement: ([http://www.iso.org/iso/additional\\_guidance\\_on\\_stakeholder\\_engagement\\_tmb\\_peg.pdf](http://www.iso.org/iso/additional_guidance_on_stakeholder_engagement_tmb_peg.pdf))
- Guidance for liaisons organizations — engaging stakeholders and building consensus ([http://www.iso.org/iso/guidance\\_liaison-organizations.pdf](http://www.iso.org/iso/guidance_liaison-organizations.pdf))
- Using and references ISO and IEC standards to support public policy (<http://www.iso.org/sites/policy/>)
- ISO's global relevance policy ([http://www.iso.org/iso/home/standards\\_development/governance\\_of\\_technical\\_work.htm](http://www.iso.org/iso/home/standards_development/governance_of_technical_work.htm))
- ISO Code of Conduct for the technical work and suggestions for implementation ([https://www.iso.org/files/live/sites/isoorg/files/publications/en/2016\\_codes\\_of\\_conduct.pdf](https://www.iso.org/files/live/sites/isoorg/files/publications/en/2016_codes_of_conduct.pdf))
- Policy for the distribution of ISO publications and the protection of ISO's copyright (ISO POCOSA 2012) (<https://connect.iso.org/display/marketing/POCOSA>)
- How to write standards (<http://www.iso.org/iso/how-to-write-standards.pdf>)
- Model manuscript of a draft International Standard (known as “The Rice Model”) (<https://www.iso.org/publication/PUB100407.html>)
- ISO Guides — adding value to International Standards ([http://www.iso.org/iso/iso-iec\\_guides.pdf](http://www.iso.org/iso/iso-iec_guides.pdf))
- Guidelines for TC/SC Chairs and Secretariats for implementation of the Agreement on technical cooperation between ISO and CEN (Vienna Agreement) (<http://isotc.iso.org/livelink/livelink/open/4230689>)



- Guidance on twinning in ISO standards development activities  
([http://www.iso.org/iso/guidance\\_twinning\\_ld.pdf](http://www.iso.org/iso/guidance_twinning_ld.pdf))
- Guidance for writing standards taking into account micro, small and medium-sized enterprises' needs  
(<http://www.iso.org/iso/guidance-for-writing-standards-for-smes.pdf>)
- Guide for addressing sustainability in standards ("Guide 82")  
(<http://isotc.iso.org/livelink/livelink?func=ll&objId=8389141&objAction=browse&viewType=1>)
- Policy concerning normative references in ISO publications  
(<https://connect.iso.org/pages/viewpage.action?pageId=27592570>)
- Guidelines on competition law  
([http://www.iso.org/iso/competition\\_law\\_guidelines.pdf](http://www.iso.org/iso/competition_law_guidelines.pdf))
- Guidelines on remote participation at committee meetings  
(<http://isotc.iso.org/livelink/livelink/open/17857546>)
- Guidelines for the submission of text and drawings to ISO/CS  
(<http://isotc.iso.org/livelink/livelink/open/18862226>)



