ISO/IEC JTC 1
Standing Document N 9

Guide to the Transposition of
 Publicly Available Specifications
 Into International Standards

Sixth Edition, 2021

ISO/IEC Information Technology Task Force (ITTF)
Chemin de Blandonnet 8
CP 401
1214 Vermier, Geneva
Switzerland
Telephone: +41 22 749 01 11
Telefax: +41 22 733 34 30
E-mail: ittf@iso.org
Web: http://www.iso.org/ittf

ISO/IEC JTC 1 Secretariat
ANSI
25 West 43rd Street
4th Floor
New York, NY 10036 USA
Telephone: +1 212 642 4932
Telefax: +1 212 840 2298
E-mail: lrajchel@ansi.org
Web: http://www.jtc1.org

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Foreword

The purpose of this document is to explain the ISO/IEC JTC 1 policies concerning the transposition of technical specifications from sources outside of JTC 1 into International Standards (IS) and make this policy known to a larger audience.

This Standing Document is to be used in conjunction with the ISO/IEC Directives Part 1 and the Consolidated JTC 1 Supplement; and the information contained within is to be considered part of the operating rules of JTC 1. In case of conflict, the ISO/IEC Directives Part 1 and Consolidated JTC 1 Supplement take precedence.

1   Purpose and Scope of this Guide

ISO/IEC JTC 1 has processes for the transposition of technical specifications from sources outside of JTC 1 into ISO/IEC International Standards (IS). This document explains the transposition process, its benefits, and the obligations to potential submitters of such specifications.

The Guide intentionally uses a narrative language, hence no in-depth knowledge of the formalities of international standardization is required. The prime audience for this document are managers of organizations that have developed candidate specifications for submission to international standardization. Readers of this Guide should appreciate the value to all parties involved of having a specification adopted as an International Standard and will understand the processes they will need to follow.

A potential submitter requiring explanation on the material in this guide or wishing to consider the possibility of a PAS submission further should contact the JTC 1 Secretariat (lrajchel@ansi.org) for assistance.

2   Benefits of the International Standardisation Process

International Standards (IS) are recognised throughout the world, and in many countries constitute the technical regulatory basis for public procurement of IT goods and services. The transposition of a specification into an IS makes it eligible for such procurement, and hence widens the market recognition of such a specification.

3   The JTC 1 Policy regarding Publicly Available Specifications

In its October 1994 meeting in Geneva, Switzerland, JTC 1 decided that

"... it (JTC 1) will provide the capability of accepting standard solutions to IT problems that have been developed outside JTC 1. ..."

This JTC 1 landmark decision recognises the value of the work of other organizations and the contribution they may make to international IT standardization. It aims at complementing existing or forthcoming JTC 1 programs by other leading edge activity with the objective of providing the best standards worldwide.

Though the manner of transposing an acceptable specification from another organization into an International Standard mainly follows existing JTC 1 processes, the PAS process is significantly expedited by the concept of a recognised PAS Submitter. This will help to achieve a nominal eleven months period as a target for the transposition, and thus greatly reduce the time needed to establish International Standards in areas of rapidly developing technology. As a result of this process, a specification will emerge with the enhanced status of an International Standard in a shorter time scale. This is to the benefit of both the owner of the specification and JTC 1.

4   JTC 1's Strategic Orientation and its Standards Establishment Processes

JTC 1 is committed to successfully providing users and industry with information technology standards that meet the marketplace in a timely manner.

PAS Originators/Submitters are invited to explicitly reference the JTC 1 common strategic characteristics (interoperability, portability, cultural and linguistic adaptability, and accessibility) when submitting their PAS Submitter application or any PAS for transposition.

The normal JTC 1 process to establish an International Standard is through work in one of its technical bodies, which, once it has led to technical consensus, will be concluded by a ballot among National Bodies, to promote a specification to an IS. The duration of the consensus-building phase is dependent on the complexity of the subject, and the amount of resources available from JTC 1 members.

The JTC 1 PAS transposition process has been established in JTC 1 to allow a specification to be submitted by a recognized PAS Submitter directly into JTC 1 under an expedited procedure. As a result, the proposed specification may become an IS, possibly with minor modifications, in a shorter time scale.

5   The JTC 1 PAS Transposition Process Concepts

The JTC 1 PAS transposition process is based on the following key concepts:

- Publicly Available Specification (PAS)

  A technical specification is called a Publicly Available Specification (PAS) if it meets certain criteria, making it suitable for possible processing as an International Standard. These criteria (see clause 7 of this document) have been established in order to ensure a high level of consensus, quality and proper treatment of Intellectual Property Rights (IPR) related matters.

- PAS Mentor

  An individual appointed by JTC 1 to:

  a) assist PAS Originators and/or recognized PAS Submitters in creating and processing their submission(s)

  b) provide on-going advice.

  c) advise the JTC 1 Secretariat concerning the subject covered in proposed PAS Submissions and its relationship with JTC 1 work programme. The PAS Mentor shall identify which JTC 1 SCs may have existing work related to the PAS submission and shall report on this to the JTC 1 Secretariat. The PAS mentor shall engage with the SCs with which consultation is needed or desirable to support the entire transposition process and

  d) recommend that a liaison be established between the PAS Originator and SCs identified in c) above.

- PAS Originator

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

- PAS Submitter

    A PAS Originator may apply to JTC 1 for recognition as a submitter of PAS(s) for transposition. Once approved through a JTC 1 PAS Submitter ballot, the status of a recognized PAS Submitter will remain valid for an initial period of two years, with the possibility of further extension (see also clause 7 of this document)

- Explanatory Report

    The submission of the PAS must be accompanied by an Explanatory Report generated by the PAS Submitter. This report provides all information necessary to support the submission. In particular, it shall contain statements that explain how the PAS criteria are met by the specification. It should also clearly define the technical concepts used in the PAS (see clause 7 of this document).

- PAS Transposition Ballot

    The PAS together with the corresponding Explanatory Report is submitted to JTC 1 for an Enquiry Level (DIS) ballot to approve the PAS submission as an ISO/IEC International Standard.

6   The JTC 1 PAS Transposition Process

6.1   PAS Criteria: Overview

JTC 1 has established criteria which serve as a basis for the evaluation as to whether a particular organization can be recognised as a PAS Submitter and whether its specification(s) can be accepted as a candidate for transposition into an International Standard. Such criteria may also be used by potential submitters to determine the level of suitability of their specification(s) for the JTC 1 PAS transposition process.

JTC 1 considers the primary benefit of these acceptance criteria to be guidance for evaluation and acceptance rather than an absolute pass/fail mechanism. There are a wide variety of PAS available for consideration as well as a wide variety of needs within the JTC 1 community.

An absolute pass/fail mechanism over such a wide variety of material is unlikely.

What is needed throughout this process is flexibility and good judgement on the part of all concerned. Rather than provide quantitative measures to evaluate acceptability of a PAS, on a pass/fail basis, the criteria set forth the key topics for consideration and measures for evaluating them in terms of the scope, depth, and thoroughness with which the criteria topics have been considered.

The PAS criteria are broadly classified into two categories and address the following topics:

- Organization related criteria:
    - co-operative stance;
    - characteristics of the organization;
    - intellectual property rights.

- Document related criteria:
    - quality;
    - consensus;
    - alignment.

It should, however, be noted that some of the above criteria, though primarily assigned to one category, may also be relevant for the other. Please refer to clause 7 of this document for details.

6.2 Phases of the JTC 1 PAS Transposition Process

Based on these concepts, the JTC 1 PAS transposition process can be described as below. It is JTC 1's firm intention to provide full process transparency and the current status of any proposal from its website. This will contribute to an open dialogue between a PAS Submitter, JTC 1, and JTC 1 member bodies, which is strongly encouraged.

6.2.1 Recognition of a PAS Submitter

A PAS Originator interested in submitting an existing or forthcoming specification into the transposition process shall apply to the JTC 1 Secretariat for recognition as a PAS Submitter. Such application shall be accompanied by an identification of the initial PAS(s) which are planned to be submitted and by statements of the PAS Originator regarding the organization related criteria (see below).

The completed documentation shall be submitted to P-members of JTC 1 for a 12 week ballot. Approval as a recognized PAS Submitter gives a PAS Originator the right to submit specifications into the transposition process for a period of two years with the possibility of further extension of five year periods (see below). The recognition as a PAS Submitter will terminate:

- In the absence of a successful JTC 1 ballot to confirm the status of the PAS Submitter, or

- If the PAS Originator fails to submit a specification to JTC 1 for transposition within the expected period (see clause 6.2.2 below).

The initiative to submit an application for recognition shall come from a PAS Originator and should be directed to the JTC 1 Secretariat, which shall assign a PAS Mentor for assistance.

Since the PAS Submitter ballot among JTC 1 P-members will be 12 weeks, the application for recognition should be submitted in time before the planned first submission of a PAS. PAS Submitters shall follow the template for Recognition as a PAS Submitter in ANNEX A, which will:

- Define the overall scope of the application;

- Identify the initial PAS(s) which are planned to be submitted, together with their scope;

- Address all mandatory elements of the organization acceptance criteria (see clause 7.3 below).

Six months prior to the expiration of an organization's status as an approved JTC 1 PAS Submitter, the JTC 1 Secretariat, with the assistance of the assigned PAS Mentor, shall invite the PAS Submitter to review its future intentions as a PAS Submitter and consider the following options with regard to the terms of its most recent approval as a JTC 1 PAS Submitter:

- Revise (significant changes to the approved terms, e.g. changes in scope, procedures, submitter's IPR Policy, etc.);

- Withdraw (termination); or

- Reaffirm (extend current status with no significant changes).

If the PAS Submitter chooses to revise, it must submit a document to the JTC 1 Secretariat stating the changes to organization acceptance criteria shown in its previous approval.

If the PAS Submitter chooses to revise or reaffirm, it shall identify subsequent PAS(s) intended for submission. In order to allow JTC 1 a timely reaction to the revision or reaffirmation, the necessary documentation should be submitted not later than 12 weeks prior to the expiration of its status as a PAS Submitter.

The JTC 1 committee manager shall issue a 12 week letter ballot on the request for either a revision or reaffirmation. Failure to respond to the JTC 1 Secretariat's invitation for review of PAS Submitter status will automatically result in termination of a PAS Submitter's status at the conclusion of their term.

6.2.2   PAS Submission

Once a PAS Originator has been recognised, a PAS submission to the JTC 1 Secretariat may occur within the scope as identified on the application. This submission shall be accompanied by an Explanatory Report produced by the recognized PAS Submitter and shall include a statement that the organization acceptance criteria used for recognition have not changed (or an indication of the nature of changes that have occurred). The Explanatory Report particularly shall contain statements regarding the document-related criteria (see clause 7.4 below). It shall describe how the JTC 1 common strategic characteristics (see clause 4 above) are addressed.

All submissions, including the Explanatory Report, shall be submitted in electronic form.

JTC 1 requests that the first submission will occur not later than six months after the initial recognition. On request by the PAS Submitter not later than six weeks before the end of this 6 months period, the period may be extended for another six months, subject to approval by the JTC 1 chair and Secretariat. Failure by the PAS Submitter to submit a specification within the expected period will result in termination of the PAS Submitter's status.

The format of the initial PAS submission is not regulated by JTC 1. The format and content of the submitted specification are not required to comply with the ISO/IEC Directives Part 2. Recognized PAS submitters are encouraged to submit their specifications in a documentation style close to the ISO/IEC template.
. Advice on ISO/IEC's documentation style can be obtained from the ISO/IEC Information Technology Task Force (ITTF) or the JTC 1 Secretariat.

The JTC 1 Secretariat, after checking the recognition status of the PAS Submitter, will forward the specification together with the Explanatory Report to the ITTF to initiate the appropriate JTC 1 ballot process among the National Bodies.

In view of the importance of the Explanatory Report for a successful transposition, the Recognized PAS Submitter may request counsel and advice from a JTC 1 PAS Mentor during the generation of this report and throughout the transposition process. The counselling process could include a review of the submissions. . JTC 1 highly encourages PAS Submitters to make use of this counsel. This counselling process could include a review of the proposed submission, and it could occur before the PAS Submitter makes a formal submission to JTC 1..

6.2.3   PAS Transposition Ballot

A ballot on the transposition of a PAS into an International Standard follows normal JTC 1 voting rules for DIS and FDIS approval (for further details see Consolidated JTC 1 Supplement F.4). The ballot is assigned to the JTC 1 Secretariat.

The PAS Submitter will receive a copy of thdocument as well as a Summary of Voting at the conclusion of ballots.

Reflecting the importance of the PAS process, the JTC 1 Secretariat will inform JTC 1 National Bodies and Liaison Organizations, and those organizations authorised to be PAS Submitters, of the initiation of any PAS ballot, the PAS Mentor's assessment of the subject covered in proposed PAS Submission and its relationship with JTC 1 work programme, the

result of the ballot, and how future maintenance will be provided.. For both the DIS and FDIS ballots, National Bodies will receive both the PAS to be transposed and the accompanying Explanatory Report. During the DIS ballot, the balloters may propose changes to the PAS along with their vote. These DIS-raised changes can be resolved with the PAS Submitter after completion of the DIS ballot in a meeting to resolve PAS ballot comments, as described in the Consolidated JTC 1 Supplement Annex F.5.

It is at the discretion of the PAS Submitter to withdraw the specification from the transposition process at any point prior to publication. It is also the right of the PAS Submitter to request that the specification remain unchanged throughout the transposition process (therefore not accepting any changes proposed by National Bodies during the DIS voting, for example). Such a request should be clearly stated in the Explanatory Report.

In the case of a failure of the ballot, JTC 1 will make known to the PAS Submitter the reasons which have led to the negative result. Based on this information, the PAS Submitter may choose to re-submit the specification after modification.

The duration and approval criteria for DIS and FDIS ballots are specified in the Consolidated JTC 1 Supplement.. There may be additional time needed to consolidate the ballot results, and the Consolidated JTC 1 Supplement provides for a meeting to discuss comments raised with the DIS voting; the results of this meeting are typically used to modify the DIS vote document into a more acceptable document for FDIS voting. The PAS Submitter will be able to attend and participate in these meeting discussions.

A period of seven to eleven months is expected for this phase.

6.2.4   Publication

Once the specification has been approved by JTC 1 as an ISO/IEC International Standard, it will be published following ISO and IEC standing copyright policy, i.e.:

- Copyright for publication of the specification as an International Standard (IS) is granted to ISO/IEC and any National Body which transposes such IS into a national standard.

- The PAS Originator of the specification retains copyright for its own publication.

The expected duration of this final phase is 8 weeks.

6.2.5   Maintenance

6.2.5.1   Maintenance Responsibility

When PAS Submissions are approved by DIS/FDIS balloting in JTC 1, they become "ISO/IEC International Standards". As such, they are subject to accepted maintenance procedures for International Standards, including periodic review.

If the PAS Submitter has requested responsibility for the maintenance of the approved International Standard (see clause 7.3.1.2 below) in the PAS Submitter ballot, and JTC 1 has approved this arrangement, then the PAS Submitter performs maintenance functions and will submit new versions of the whole document for approval using the PAS Transposition Process (there is no provision for minor editing or amendments). In this case, the PAS Submitter must actively maintain the document and keep JTC 1 informed about the content and timing of subsequent submissions (for example, at a bi-annual JTC 1 Plenary).

It is important to note that the PAS Submitter's expected plans for maintenance must be clearly spelled out in the PAS Submitter's application (and reaffirmed in the Explanatory Report submitted with the proposed standard), and National Bodies will consider this information in their voting.

Should the PAS Submitter not elect to provide maintenance, JTC 1 will determine how maintenance will be handled, and the PAS Submitter may participate in the maintenance

activities. The active participation of the PAS Submitter in a maintenance activity is expected and strongly encouraged.

6.2.5.2 Systematic Review

ISO/IEC International Standards are subject to periodic review no more than five years after the publication of the latest version of the standard or the latest decision regarding maintenance. At that time, the responsible maintenance organization must determine whether the standard should be: Confirmed; Revised; Stabilized; or Withdrawn.

When the maintenance responsibility is assigned to the PAS Submitter, the assigned PAS Mentor will inform the PAS Submitter that its standard is scheduled for systematic review. The PAS Submitter shall then notify JTC 1 of its recommendation for approval under a systematic review ballot:

- If the recommendation to Confirm is approved, the standard will remain unchanged until the next systematic review or until a proposal is made to revise the standard, whichever comes first..

- If the recommendation to Revise is approved, the PAS Submitter shall submit a full revised PAS to replace the current standard. It must include an Explanatory Report and will be subject to DIS and FDIS approval. It is expected that the PAS Submitter will submit the revised PAS submission at this systematic review time or very shortly thereafter.

  There are no provisions for minor updates/corrections/amendments to maintain PAS documents, but the PAS Submitter must respond to maintenance issues raised by implementers and National Bodies. Decisions to approve modification requests and create updates are made using the PAS Submitter's procedures, and the decision to submit the revision to JTC 1 is made according to the process described here.

- A recommendation to Stabilize is not used with PAS submissions, as the PAS Submitter must actively maintain their document.

- If the recommendation to Withdraw is approved, the standard will be withdrawn.

7   Detailed PAS Criteria

7.1 Introduction

The PAS criteria shown in this clause 7 can be used by all affected organizations and experts throughout the entire PAS Transposition Process. That is, some PAS Submitters may use these criteria to judge for themselves whether an existing document is appropriate for the transposition process.

PAS Submitters might also consider these criteria prior to the generation and internal approval of a specification that subsequently is to be submitted to JTC 1. Additionally, JTC 1 National Bodies might use these criteria to judge whether a PAS submission should become an ISO/IEC International Standard.

7.2 Expectations in the Use of These Acceptance Criteria

7.2.1   Basic Perspective

These PAS Criteria are a checklist of subjects and measures useful in both preparing and reviewing a PAS submission. The list is extensive in order to address the wide range of potential submissions expected to be generated and considered for transposition. It is not anticipated that all criteria will be relevant to every submission. Instead a somewhat unique set of criteria are likely to be important for each different submission.

7.2.2 Mandatory Elements

Of all the criteria, responses to the following sub clauses are essential for consideration by a PAS Originator when applying for recognition, and by a recognized PAS Submitter when submitting a PAS for transposition (see also clause 7.2.5 of this document):

- Organization related criteria:
  - Co-operative stance (7.3.1);
  - Characteristics of the Organization (7.3.2); and
  - Intellectual Property Rights (7.3.3).
- Document related criteria:
  - Completeness (7.4.1.1);
  - Testability (7.4.1.3);
  - Stability (7.4.1.4);
  - Availability (7.4.1.5);
  - Consensus (7.4.2);
  - Maintenance (7.4.4).

The wording throughout the sub clauses identified above is in terms of "shall respond". Hence, failure to respond to any of these sub clauses will result in rejection of the application for recognition of the PAS Submitter or of the PAS submission. All remaining criteria sub clauses are optional. A response is desired but not absolutely necessary. The mandatory response sub clauses have been identified by "(M)" after the clause heading.

7.2.3 Supplementary Elements

The questions asked under each Criteria Category (e.g. "7.4.1.2 Clarity", items a, b, and c) are examples of ways in which the basic criteria sub-category might be evaluated. There may well be other responses to unasked questions that best describe how well a given PAS meets, for example, an acceptable level of "Clarity". In general, the more complete the PAS Explanatory Report the more the process in National Bodies to judge about a PAS transposition will be eased.

7.2.4 Rationale for Extensive Criteria List

This extensive list of criteria is intended to produce positive benefits for all concerned.

Essential aspects of this rationale are as follows:

- A single comprehensive list to apply to as wide a range of PAS submissions as possible should open up a variety of submissions under an extensive set of conditions. The net result should be the transposition of not just a few but a variety of useful technologies into the JTC 1 arena.
- A comprehensive criteria checklist will hopefully address all reasonable means of evaluating appropriateness on a "single pass" through the evaluation process.
- The criteria are intended to help ensure that the International Standards resulting from the JTC 1 PAS Transposition Process in turn facilitate the development and use of successful products in the market place which result from quality standards of a stable and widely accepted nature.
- The consistent application of the criteria will help ensure that the transposition process is not misused.

- The criteria focus the valuable time of potential submitters and recognized PAS Submitters on those factors and characteristics considered most important to a successful transposition process.

7.2.5 Application of the Criteria

When applying for recognition as a PAS Submitter, a PAS Originator shall respond to the following:

- the overall scope of the application

- the initial PAS submissions which are planned to be submitted, together with their scope

- the criteria of sub clause 7.3 of this document

When submitting a PAS, the recognized PAS Submitter shall respond, in the Explanatory Report, to the criteria of sub clause 7.4 of this document. The Explanatory Report shall include both the approved overall scope and the scope of the PAS to be submitted side by side.

7.3 Organization Acceptance Criteria

7.3.1 Co-operative Stance (M)

There should be evidence of a co-operative attitude toward open dialogue, and a stated objective of pursuing standardization in the JTC 1 arena. The JTC 1 community will reciprocate in similar ways, and in addition, will recognise the organization's contribution to International Standards.

It is JTC 1's intention to avoid any divergence between the JTC 1 revision of a transposed PAS and a version published by the PAS Originator. Therefore, JTC 1 invites the submitter to work closely with JTC 1 in revising or amending a transposed PAS.

There should be acceptable proposals covering the following categories and topics.

7.3.1.1 Commitment to Working Agreement(s)

a) What working agreements have been provided, how comprehensive are they?

b) How manageable are the proposed working agreements (e.g. understandable, simple, direct, devoid of legalistic language except where necessary)?

c) What is the attitude toward creating and using working agreements?

7.3.1.2 Ongoing Maintenance

a) Is the PAS Submitter willing and able to provide the resource needed to conduct ongoing maintenance, interpretation, and 5 year revision cycles? (in which case, following JTC 1 approval, these responsibilities will be assigned to the PAS Submitter)

b) What level of willingness and resources are available to facilitate specification progression during the transposition process (e.g. technical clarification and normal document editing, including provision of a document editor at any BRM)?

7.3.1.3 Changes During Transposition

a) What are the expectations of the PAS Originator toward technical and editorial changes made to the specification during the transposition process?

b) How flexible is the PAS Originator toward approval of only portions of the proposed specification or adding supplemental material to it?

7.3.1.4 Future Plans

a) What are the intentions of the PAS Originator toward future additions, extensions, deletions or modifications to the specification? Under what conditions? When? Rationale?

b) What willingness exists to work with JTC 1 on future versions in order to avoid divergence?
Note that the answer to this question is particularly relevant in cases where doubts may exist about the openness of the PAS Originator.

c) What is the scope of the organization's activities relative to specifications similar to but beyond that being proposed?

7.3.2 Characteristics of the Organization (M)

The PAS should have originated in a stable body that uses reasonable processes for achieving broad consensus among many parties. The PAS Originator should demonstrate the openness and non-discrimination of the process which is used to establish consensus, and it should declare any ongoing commercial interest in the specification either as an organization in its own right or by supporting organizations such as revenue from sales or royalties.

7.3.2.1 Process and Consensus

a) What processes and procedures are used to achieve consensus, by small groups and by the organization in its entirety?

b) How easy or difficult is it for interested parties, e.g. business entities, individuals, or government representatives to participate?

c) What criteria are used to determine "voting" rights in the process of achieving consensus?

7.3.2.2 Credibility and Longevity

a) What is the extent of and support from (technical commitment) active members of the organization?

b) How well is the organization recognised by the interested/affected industry?

c) How long has the organization been functional (beyond the initial establishment period) and what are the future expectations for continued existence?

d) What sort of legal business entity is the organization operating under?

7.3.3 Intellectual Property Rights (M)

ISO/IEC IPR Policies (clauses 2.13 and 2.14 of the ISO/IEC Directives Part 1) shall apply to the JTC 1 PAS Submissions.

7.4 Document Related Criteria

7.4.1 Quality

Within its scope the specification shall completely describe the functionality (in terms of interfaces, protocols, formats, etc.) necessary for an implementation of the submission. If it is based on a product, it shall include all the functionality necessary to achieve the stated level of compatibility or interoperability in a product <u>independent</u> manner.

7.4.1.1 Completeness (M)

a) How well are all interfaces specified?

b) How easily can implementation take place without need of additional descriptions?

c) What proof exists for successful implementations (e.g. availability of test results for media standards)?

7.4.1.2 Clarity

a) What means are used to provide definitive descriptions beyond straight text?

b) What tables, figures, and reference materials are used to remove ambiguity?

c) What contextual material is provided to educate the reader?

7.4.1.3 Testability (M)

The extent, use and availability of conformance/interoperability tests or means of implementation verification (e.g. availability of reference material for magnetic media) shall be described, as well as the provisions the specification has for testability.

The specification shall have had sufficient review over an extended time period to characterise it as being stable.

7.4.1.4 Stability (M)

a) How long has the specification existed, unchanged, since some form of verification (e.g. prototype testing, paper analysis, full interoperability tests) has been achieved?

b) To what extent and for how long have products been implemented using the specification?

c) What mechanisms are in place to track versions, fixes, and addenda?

7.4.1.5 Availability (M)

a) Where is the specification available (e.g. one source, multinational locations, what types of distributors)?

b) How long has the specification been available?

c) Has the distribution been widespread or restricted? (describe situation)

d) What are the costs associated with specification availability?

7.4.2 Consensus (M)

The accompanying report shall describe the extent of (inter)national consensus that the document has already achieved.

7.4.2.1 Development Consensus

a) Describe the process by which the specification was developed.

b) Describe the process by which the specification was approved.

c) What "levels" of approval have been obtained?

7.4.2.2 Response to User Requirements

a) How and when were user requirements considered and utilised?

b) To what extent have users demonstrated satisfaction?

7.4.2.3 Market Acceptance

a) How widespread is the market acceptance today? Anticipated?

b) What evidence is there of market acceptance in the literature?

7.4.2.4 Credibility

a) What is the extent and use of conformance tests or means of implementation verification?

    b) What provisions does the specification have for testability?

7.4.3 Alignment

The specification should be aligned with existing JTC 1 standards or ongoing work and thus complement existing standards, architectures and style guides. Any conflicts with existing standards, architectures and style guides should be made clear and justified.

7.4.3.1 Relationship to Existing Standards

    a) What International Standards are closely related to the specification and how?

    b) To what International Standards is the proposed specification a natural extension?

    c) How is the specification related to emerging and ongoing JTC 1 projects?

7.4.3.2 Adaptability and Migration

    a) What adaptations (migrations) of either the specification or International Standards would improve the relationship between the specification and International Standards?

    b) How much flexibility does the PAS Submitter have?

    c) What are the longer-range plans for new/evolving specifications?

7.4.3.3 Substitution and Replacement

    a) What needs exist, if any, to replace an existing International Standard? Rationale?

    b) What is the need and feasibility of using only a portion of the specification as an International Standard?

    c) What portions, if any, of the specification do not belong in an International Standard (e.g. too implementation-specific)?

7.4.3.4 Document Format and Style

    a) What plans, if any, exist to conform to JTC 1 document styles?

7.4.4 Maintenance (M)

    a) Have changes occurred on the subject of maintenance since the PAS Submitter application or renewal, or for a Fast Track, since the most recent submission of the standard? (This is the place to mention any particular agreement reached with a JTC 1 subgroup).

8 Points of Contact

8.1 JTC 1 Secretariat

The JTC 1 Secretariat is the central contact point in JTC 1.

The JTC 1 Secretariat is reached at:

American National Standards Institute
25 West 43rd Street, 4th Floor
New York, NY 10036
USA

Tel: +1 212 642-4932
Fax: +1 212 398-0023

e-mail: lrajchel@ANSI.org

http://www.JTC 1.org

8.2   ITTF

The Information Technology Task Force (ITTF) of ISO and IEC is the central contact point for JTC 1 matters in ISO and IEC. Approaching it is recommended in cases where no other appropriate contact point is readily available.

ITTF is reached at:

ITTF: ISO Central Secretariat
Chemin de Blandonnet 8
CP 401
1214 Vernier, Geneva
Switzerland
Telephone: +41 22 749 01 11
Telefax: +41 22 733 34 30
E-mail: ittf@iso.org
Web: http://www.iso.org/ittf

8.3   National Bodies

A potential PAS Submitter or PAS Originator may choose to approach the National Body in the country of its residence.

A list of the JTC 1 National Bodies is found at: https://www.iso.org/committee/45020.html

8.4   Organizations in A-liaison with JTC 1

An organization in A-liaison with JTC 1 is entitled, among others, to submit a standard for ballot in JTC 1 under the Fast Track process. A list of organizations in A-liaison with JTC 1 is found at: https://www.iso.org/committee/45020.html.

8.5   PAS Mentors

A potential PAS Submitter or PAS Originator should contact the JTC 1 Secretarariat (see above) for information regarding their assigned PAS Mentor.

ANNEX A - Template for Recognition as a PAS Submitter

References:

1. Consolidated JTC 1 Supplement clause F.3 – *Preparation and Adoption of International Standards – JTC 1 PAS Transposition Process*

2. JTC 1 Standing Document 9 – *Guide to the Transposition of Publicly Available Specifications into International Standards*

The PAS submitter is invited to:

a) identify in this application the initial PAS(s) which are planned to be submitted (see F.3.4.1 Recognition of PAS Submitter);

b) explicitly reference the JTC 1 common strategic characteristics (interoperability, portability, cultural and linguistic adaptability, and accessibility) (see SD9 clause 4).

Please be sure to address the following Organization Acceptance Criteria when applying to JTC 1 for recognition as a PAS Submitter. The paragraphs follow the clause numbering in SD9 section 7.3.

7.3   Organization Acceptance Criteria

7.3.1   Co-operative Stance (M)

There should be evidence of a co-operative attitude toward open dialogue, and a stated objective of pursuing standardization in the JTC 1 arena. The JTC 1 community will reciprocate in similar ways, and in addition, will recognise the organization's contribution to International Standards.

It is JTC 1's intention to avoid any divergence between the JTC 1 version of a transposed PAS and a version published by the PAS Originator. Therefore, JTC 1 invites the submitter to work closely with JTC 1 in revising a transposed PAS.

There should be acceptable proposals covering the following categories and topics.

7.3.1.1 Commitment to Working Agreement(s)

a) What working agreements have been provided, how comprehensive are they?

b) How manageable are the proposed working agreements (e.g. understandable, simple, direct, devoid of legalistic language except where necessary)?

c) What is the attitude toward creating and using working agreements?

7.3.1.2 Ongoing Maintenance

a) Is the PAS Submitter willing and able to provide the resource needed to conduct ongoing maintenance, interpretation, and 5 year revision cycles? (in which case, following JTC 1 approval, these responsibilities will be assigned to the PAS Submitter)

b) What level of willingness and resources are available to facilitate specification progression during the transposition process (e.g. technical clarification and normal document editing, including provision of a document editor at any BRM)?

7.3.1.3 Changes During Transposition

a) What are the expectations of the PAS Originator toward technical and editorial changes made to the specification during the transposition process?

b) How flexible is the PAS Originator toward approval of only portions of the proposed specification or adding supplemental material to it?

7.3.1.4 Future Plans

a) What are the intentions of the PAS Originator toward future additions, extensions, deletions or modifications to the specification? Under what conditions? When? Rationale?

b) What willingness exists to work with JTC 1 on future versions in order to avoid divergence?
Note that the answer to this question is particularly relevant in cases where doubts may exist about the openness of the PAS Originator.

c) What is the scope of the organization activities relative to specifications similar to but beyond that being proposed?

7.3.2   Characteristics of the Organization (M)

The PAS should have originated in a stable body that uses reasonable processes for achieving broad consensus among many parties. The PAS Originator should demonstrate the openness and non-discrimination of the process which is used to establish consensus, and it should declare any ongoing commercial interest in the specification either as an organization in its own right or by supporting organizations such as revenue from sales or royalties.

7.3.2.1 Process and Consensus

a) What processes and procedures are used to achieve consensus, by small groups and by the organization in its entirety?

b) How easy or difficult is it for interested parties, e.g. business entities, individuals, or government representatives to participate?

c) What criteria are used to determine "voting" rights in the process of achieving consensus?

7.3.2.2 Credibility and Longevity

a) What is the extent of and support from (technical commitment) active members of the organization?

b) How well is the organization recognised by the interested/affected industry?

c) How long has the organization been functional (beyond the initial establishment period) and what are the future expectations for continued existence?

d) What sort of legal business entity is the organization operating under?

7.3.3   Intellectual Property Rights (M)

ISO/IEC IPR Policies (clauses 2.13 and 2.14 of the ISO/IEC Directives Part 1) shall apply to the JTC 1 PAS Submissions.

ANNEX B - Template for PAS and Fast Track Explanatory Report

References:

1. Consolidated JTC 1 Supplement clause F.2.1.1 – Requirement to submit an explanatory report with Fast Track submissions

2. Consolidated JTC 1 Supplement clause F.3 – *Preparation and Adoption of International Standards – JTC 1 PAS Transposition Process*

3. JTC 1 Standing Document 9 – *Guide to the Transposition of Publicly Available Specifications into International Standards*

Once a PAS Originator has been recognised, a PAS submission to the JTC 1 Secretariat may occur within the technical scope identified in the PAS Submitter application. This PAS submission must be accompanied by an Explanatory Report produced by the Submitter, and a statement that the conditions for recognition of the PAS Submitter have not changed, or an indication of the nature of changes that have occurred (see SD9 clause 6.2.2). The Explanatory Report must address the document-related criteria as shown below (section 7.4 from SD9).

The Submitter is further invited to comment on the following items in the Explanatory Report:

a) Clearly define the technical concepts used in the submission (see the definition of Explanatory Report in the Consolidated JTC 1 Supplement F.3.1 and SD 9 clause 5) and

b) Explicitly reference the JTC 1 common strategic characteristics (interoperability, portability, cultural and linguistic adaptability, and accessibility) (see SD 9 clause 4).

Similarly, JTC 1 requires that an Explanatory Report be submitted with every Fast Track submission, and it must follow the same model used for a PAS submission.

Please be sure to address the following Document Related Criteria when making any PAS or Fast Track submission to JTC 1. The paragraphs follow the clause numbering in SD9 section 7.4.

7.4.1   Quality

Within its scope the specification shall completely describe the functionality (in terms of interfaces, protocols, formats, etc.) necessary for an implementation of the submission. If it is based on a product, it shall include all the functionality necessary to achieve the stated level of compatibility or interoperability in a product <u>independent</u> manner.

7.4.1.1 Completeness (M)

a) How well are all interfaces specified?

b) How easily can implementation take place without need of additional descriptions?

c) What proof exists for successful implementations (e.g. availability of test results for media standards)?

7.4.1.2 Clarity

a) What means are used to provide definitive descriptions beyond straight text?

b) What tables, figures and reference materials are used to remove ambiguity?

c) What contextual material is provided to educate the reader?

7.4.1.3 Testability (M)

The extent, use and availability of conformance/interoperability tests or means of implementation verification (e.g. availability of reference material for magnetic media) shall be described, as well as the provisions the specification has for testability.

The specification shall have had sufficient review over an extended time period to characterise it as being stable.

7.4.1.4 Stability (M)

a) How long has the specification existed, unchanged, since some form of verification (e.g. prototype testing, paper analysis, full interoperability tests) has been achieved?

b) To what extent and for how long have products been implemented using the specification?

c) What mechanisms are in place to track versions, fixes and addenda?

7.4.1.5 Availability (M)

a) Where is the specification available (e.g. one source, multinational locations, what types of distributors)?

b) How long has the specification been available?

c) Has the distribution been widespread or restricted? (describe the situation)

d) What are the costs associated with specification availability?

7.4.2　Consensus (M)

The accompanying report shall describe the extent of (inter)national consensus that the document has already achieved.

7.4.2.1 Development Consensus

a) Describe the process by which the specification was developed.

b) Describe the process by which the specification was approved.

c) What "levels" of approval have been obtained?

7.4.2.2 Response to User Requirements

a) How and when were user requirements considered and utilized?

b) To what extent have users demonstrated satisfaction?

7.4.2.3 Market Acceptance

a) How widespread is the market acceptance today? Anticipated?

b) What evidence is there of market acceptance in the literature?

7.4.2.4 Credibility

a) What is the extent and sue of conformance tests or means of implementation verification?

b) What provisions does the specification have for testability?

7.4.3　Alignment

The specification should be aligned with existing JTC 1 standards or ongoing work and thus complement existing standards, architectures and style guides. Any conflicts with existing standards, architectures and style guides should be made clear and justified.

7.4.3.1 Relationship to Existing Standards

a) What International Standards are closely related to the specification and how?

b) To what International Standards is the proposed specification a natural extension?

c) How the specification is related to emerging and ongoing JTC 1 projects?

7.4.3.2 Adaptability and Migration

a) What adaptations (migrations) of either the specification or International Standards would improve the relationship between the specification and International Standards?

b) How much flexibility do the proponents of the specification have?

c) What are the longer-range plans for new/evolving specifications?

7.4.3.3 Substitution and Replacement

a) What needs exist, if any, to replace an existing International Standard? Rationale?

b) What is the need and feasibility of using only a portion of the specification as an International Standard?

c) What portions, if any, of the specification do not belong in an International Standard (e.g. too implementation-specific)?

7.4.3.4 Document Format and Style

a) What plans, if any, exist to conform to JTC 1 document styles?

7.4.4 Maintenance (M)

a) Have changes occurred on the subject of maintenance since the PAS Submitter application or renewal or, for a Fast Track, since the most recent submission of the standard? (This is the place to mention any particular agreement reached with a JTC 1 subgroup).