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# **ISO/IEC Directives, Part 1**

*Directives ISO/CEI, Partie 1*

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## **Procedures for the technical work**

*Procédures pour les travaux  
techniques*

Sixth edition, 2008

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Comment [MJC1]: Add Annex I

## Foreword

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

- Part 1: Procedures for the technical work
- Part 2: Rules for the structure and drafting of International Standards

Furthermore, ISO and IEC have published independent supplements to these parts, which include procedures that are not common to the two organizations. All forms related to the process of standards development are given in the respective Supplements to the ISO/IEC Directives.

This part sets out the procedures to be followed within the International Organization for Standardization (ISO) and the International Electrotechnical Commission (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 JTC 1 has procedures that differ in part from those applicable to other committees in ISO and IEC.

Both ISO and IEC provide additional guidance and tools to all those concerned with the preparation of technical documents on their respective websites (<http://www.iso.org/tc> and <http://www.iec.ch>).

This sixth edition incorporates changes agreed by the respective technical management boards since publication of the fifth edition in 2004. Procedures which have been adopted in only one of the organizations are being published separately in the ISO Supplement or the IEC Supplement to the ISO/IEC Directives, respectively. The Supplements are to be used in conjunction with this document.

The principal changes with respect to the previous edition are:

addition of procedures for joint working groups (see 1.11.5) and the development of standards under the Mode 5 – Integrated liaison (see B.4.2.6)

deletion of clause related to the handling of Publicly Available Specifications in IEC

inclusion of the guidelines for implementation of the common patent policy for ITU-T/ITU-R/ISO/IEC in its entirety and without modification (see Annex I)

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) Modern technology and programme management

Within the framework of these procedures, the work may be accelerated and the task of experts and secretariats facilitated both by progressive introduction of new technologies and modern programme 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.

### 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 rediscussion, 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.

**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. In JTC 1, the "office of the CEO" is the Information Technology Task Force (ITTf). In this JTC 1 Supplement, singular terms, such as "technical management board" refer to both the ISO and IEC entities. For example, the use of the term "Chief Executive Officer (CEO)" should be understood to include both the ISO Secretary-General and the IEC General-Secretary.

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 refers.		

**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>JWG</b>	joint working group
<b>TC</b>	technical committee
<b>SC</b>	subcommittee
<b>WG</b>	working group
<b>PT</b>	project team
<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 chairmen 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 Explanations of the terms new work item proposal, committee draft, enquiry draft and final draft International Standard are given in Clause 2.

### 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 chairmen 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 1.11) or a joint working group (see 1.11.5) 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**

Joint technical committees may be established by a common decision of the ISO/TMB and IEC SMB, or by a decision of the JTAB.

### **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 authorization of the ISO/IEC Joint Technical Advisory Board (JTAB).

The CEOs are represented at JTC 1 by the Information Technology Task Force (ITTF).

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

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

ITTF attends meetings of JTC 1 when a new Secretariat is appointed and to any meetings where such presence is desirable for solving problems, but the ITTF cannot assist the Secretariat, on a permanent or semi-permanent basis, in carrying out its duties.

The ITTF performs the following tasks with respect to ISs:

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

In addition the ITTF has certain other specific duties:

- Maintaining up-to-date records showing the participation categories (P- and O-) of NBs in JTC 1 and each subcommittee;
- Maintaining up-to-date records of the liaisons established for JTC 1 and each subcommittee;
- Coordinating the meetings of JTC 1 and subcommittees relative to other ISO and IEC TCs;
- Dealing with questions concerning relations with organizations (invitations to meetings of JTC 1 and its subcommittees, ISO or IEC technical representation to meetings of such organizations, establishment of new liaisons, etc.);
- Maintaining up-to-date records showing project information and NB memberships.
- **Maintain up-to-date records of IPR declarations and entries in the IPR Database**

## **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 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 the respective Supplements to the ISO/IEC Directives), 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.

The form shall be submitted to the office of the CEO.

For details relating to justification of the proposal, see C.4.

**1.5.5** The Chief Executive Officer shall consult interested parties, including the Chairman of the technical management board, immediately after such a proposal is received. If necessary, an ad hoc group may be established to examine the proposal.

Any comments and recommendations by the Chief Executive Officer resulting from the consultations shall be added to the proposal form.

**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, 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 3 months after circulation.

**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 have 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. 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. 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. Should it be necessary to specify that certain questions are outside the scope of the technical committee, these questions shall be listed at the end of the scope and be introduced by the word "Excluded: ...".

For recommendations on scopes, see the [IEC Supplement to the ISO/IEC Directives, 2004, Clause 2](#) and [Annex A](#), and ISO Supplement to the ISO/IEC Directives, 2001, Annex SB.

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

**1.5.12** 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.

In JTC 1, Subcommittees are established and dissolved by a majority decision of the P-members of JTC 1 voting on the decision.

**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.

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

A subcommittee shall have a single, descriptive, and self-explanatory title. The scope is a statement precisely defining the limits of the work of the subcommittee within the scope of

JTC 1. The scope shall be drafted as concisely as possible so as to eliminate all superfluous phraseology. Responsibilities which are automatically assigned to the subcommittee such as "development of standardisation requirements" and "creation of new work item proposals", shall not be referred to in the scope. The definition of the scope should begin with the words "Standardisation of ..." or "Standardisation in the field of ...". Should it be necessary to specify that certain questions are outside the scope of the subcommittee, these questions should be listed at the end of the definition and be introduced by the word "Excluded: ...."

**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**

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

Only one national body per country (either Member Body of ISO or National Committee of IEC) is eligible for membership in JTC 1.

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**).

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).

In JTC 1, there is only one vote per country.

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 P- and O-members of the parent technical committee. O-members of a technical committee may be granted P-membership in a subcommittee without changing their 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; notification is required of the intended status of any interested member of the technical committee.

**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 make a contribution to 2 consecutive meetings, either by direct participation or by correspondence,
- or has failed to vote on questions formally submitted for voting within the technical committee or subcommittee (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, 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.

**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, 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 twelve months, indicate to the Chief Executive Officer that it wishes to regain P-membership of the committee, in which case this shall be granted.

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

### **1.8.1 Appointment**

For the appointment of chairmen, see the [IEC Supplement to the ISO/IEC Directives, 2004, Clause 3](#) and [ISO Supplement to the ISO/IEC Directives, 2001, 1.8](#).

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

The Chairman of a subcommittee shall be nominated by the Secretariat of the subcommittee subject to endorsement by the individual's NB, endorsed by the subcommittee, and appointed by JTC 1 at its plenary meeting. The subcommittee Secretariats are required to provide nominations (and/or re-nominations), with the appropriate endorsements, in a timely manner for approval at the JTC 1 Plenary where the current Chairman's term expires. The Chairman shall serve for a nominal term of three years ending at the 3rd annual JTC 1 Plenary meeting following the three-year appointment. The Chairman may be reappointed for additional three-year terms.

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

### **1.8.2 Responsibilities**

The chairman of a technical committee is responsible for the overall management of that technical committee, including any subcommittees and working groups. He shall advise the technical management board on important matters relating to that technical committee via the technical committee secretariat. For this purpose he shall receive reports from the chairmen of any subcommittees via the subcommittee secretariats.

The chairman of a technical committee or subcommittee shall

- c) act in a purely international capacity, divesting him- or herself of a national point of view; thus he/she cannot serve concurrently as the delegate of a national body in his own committee;
- d) guide the secretary of that technical committee or subcommittee in carrying out his duty;
- e) conduct meetings with a view to reaching agreement on committee drafts (see 2.5);
- f) ensure at meetings that all points of view expressed are adequately summed up so that they are understood by all present;
- g) ensure at meetings that all decisions are clearly formulated and made available in written form by the secretary for confirmation during the meeting;
- h) take appropriate decisions at the enquiry stage (see 2.6).

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

## 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.

In JTC 1, the technical committee shall decide on the allocation of the Secretariat of the subcommittee in all cases.

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).

### 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 council board and the technical management board are followed.

The secretariat shall ensure the timely execution of the following:

- a) preparation of committee drafts, arranging for their distribution (see [IEC Supplement to the ISO/IEC Directives, 2004, Annex D](#) and [ISO Supplement to the ISO/IEC Directives, 2001, Annex SF](#)) and the treatment of the comments received;
- b) preparation of meetings (see also Clause 4), including
  - establishment of the agenda and arranging for its distribution;
  - 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);
  - preparation of compilations of comments on documents which appear on the agenda;
- c) recording of decisions taken in a meeting and making these decisions available in writing for confirmation during the meeting (see E.5);
- d) preparation of the minutes of meetings;
- e) preparation of reports to the technical management board (TC secretariat), or to the parent committee (SC secretariat);
- f) preparation of enquiry drafts and final draft International Standards.

The secretariat of a technical committee or subcommittee is responsible for 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 1.10 and the respective Supplements to the ISO/IEC Directives.)

In JTC 1, texts are only required to be prepared in English.

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

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

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 and in ISO maintain a register of the membership of its working groups.

### 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.

#### 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.

In JTC 1, the technical committee shall decide on the allocation of the secretariat of the subcommittee in all cases.

#### 1.10 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.

In IEC, a representative of the office of the CEO will attend editing committee meetings if required.

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 texts electronically and of providing the finalized texts in machine-readable form (see also 2.6.6).

In JTC 1, a Project Editor is assigned responsibility for the editing and updating of 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).

A Project Editor should be identified as early as possible for each standard or other document under development. The Project Editor is appointed by the subcommittee and shall follow the editing instructions given by the entity responsible for the project.

It is the responsibility of the Project Editor to maintain the document throughout the stages of technical work, i.e. until publication. The Foreword of the final text of the deliverable shall indicate the JTC 1 Subcommittee responsible for the deliverable.

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

### 1.11 Working groups

**1.11.1** 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.

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- or D-liaison organization (see 1.17) by which they have been appointed. 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.

In JTC 1, NBs that are P-members or O-members of the parent body and organisations in liaison Category A and Category C (D-liaison is not used in JTC 1) may nominate experts as members of a WG. Internal organisations, (e.g. other SCs or other ISO or IEC TCs, see 3.3.3) may also participate in WG meetings. All participants at each WG meeting must be authorised by their NB or appropriate liaison organisation.

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

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

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

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

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 3 months. This information shall be communicated immediately after the committee meeting to the P-members of the committee and A- and D-liaison organizations, with an invitation to appoint experts within 6 weeks.

**1.11.2** The composition of a working group (names, addresses, phone and fax numbers and e-mail addresses) shall be made available by the committee secretary to the working group convenor prior to the first meeting of the working group. The names of the members may also be made available to the other members and the members of the parent committee.

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

In JTC 1, working groups are established to expedite development of one or more approved work items, and a WG may exist as long as it has responsibility for those approved work items. Additional projects may be assigned, where appropriate, to existing WGs.

**1.11.4** Distribution of the internal documents of a working group and of its reports shall be carried out in accordance with procedures described in the [IEC Supplement to the Directives, 2004, Annex D](#) and the ISO Supplement to the Directives, 2001, Annex SF.

**1.11.5** 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. 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;
- the membership of the joint working group (membership may be open to all interested experts from the parent committees, or it may be decided to limit the participation to equal numbers from each of the parent committee for example)

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

- record the project in their programme of work;
- 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)
- 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.

A proposal to establish a joint ISO/IEC working group, including decisions on which committee/organization is responsible for final publication and subsequent maintenance of the publication, the joint working group convenor and membership shall be submitted for information to the technical management boards (see also B.4.2.11).

**1.11.6** The parent body shall assign responsibility for the administration of a working group to a Convener, if necessary supported by a Secretariat. Any Secretariat shall be either an NB or

an organisation endorsed by the NB. The NB must confirm in writing its consent to the arrangement before it can be affected.

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

The administrative responsibilities include:

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

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

- The Convener selected, if possible, should be an active member of the parent body and have experience in the operation of JTC 1 and its subcommittees and working groups. Where an experienced individual is not chosen, it is the responsibility of the Convenor's NB to be sure that the Convener is briefed and educated on all the necessary procedures governing JTC 1 operations;
- Before appointment or reappointment, the nomination of a Convener shall be endorsed by the Convenor's NB and the NB shall confirm to the parent body, with a copy to JTC 1, if JTC 1 is not the parent body, that the nominee has the necessary resources and administrative support to carry out the responsibilities assigned to a Convener;

- All working group Convenorships shall be for nominal three-year terms ending at the next plenary session of the parent body following the three-year term. The Convener may be reappointed for additional three-year terms.

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

The Convener of a working group is responsible for the proper conduct of the work, where practicable with the help of a Secretary, under the authority of a P member of the parent body. The Convener shall report periodically, at a minimum at each plenary meeting, to the parent body on the progress of the working group.

## **1.12 Project teams**

In the IEC, during the process of approving a new work item (see 2.3), P-members approving the work item are required to appoint experts able to participate in the development of the project. In IEC, these experts form a project team (PT) operating under the responsibility of the project leader. Project teams shall be designated by the project number assigned to the project concerned. Once the project has been finished, the project team shall be disbanded. Each project team should normally have only one project on its work programme. Project teams may either be grouped together into working groups or report directly to the parent committee.

For other aspects relating to the work of project teams, see 1.11, working groups.

## **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 chairman 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. The parent committee shall approve the final constitution.

**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 1.11) or a joint working group (see 1.11.5) 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.

In JTC 1, there are three designated types of advisory groups: Special Working Groups (SWG), Rapporteur Groups (RG) and SC Advisory Group.

JTC 1 Special Working Groups (SWG)

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

The allocation of a JTC 1 SWG Secretariat shall be in accordance with the provisions for SC Secretariats. The responsibilities of a JTC 1 SWG Secretariat shall be in accordance with the provisions for subcommittee secretariats. The Convener of a JTC 1 SWG will be appointed in accordance with the provisions for subcommittee chairmen.

#### JTC 1 Rapporteur Groups (RGs)

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

##### Purpose of a Rapporteur Group

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

##### Membership and Participation

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

Observers are permitted at the discretion of the Rapporteur.

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

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

The Rapporteur shall report periodically to JTC 1 on the progress of the RG.

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

#### SC Advisory Groups

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

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

- Agendas for AG meetings shall be distributed to all P-members of the SC.

#### 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.

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

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

When established, the terms of reference of each ad hoc group shall be defined by the establishing body taking into account:

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

If continuation of the ad hoc group is required, it shall be re-established at each meeting of the establishing body.

The following are examples of ad hoc groups:

- Subgroup Rapporteur group;
- Drafting group;
- Editing group;
- Ballot resolution group;
- Study group

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

#### 1.15 Liaison between technical committees

**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.



**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 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. They may also attend meetings of working groups of the technical committee or subcommittee if they so request.

## **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 cooperating organization is not entitled to make any charges for documents submitted.

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.

### **1.17.2 Liaisons at the technical committee/subcommittee level**

#### **1.17.2.1 Category A and B liaison**

The categories of liaison are the following.

- **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/PT (see 1.11.1 and 1.12).
- **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.

#### 1.17.2.2 Acceptance criteria

The liaison organizations shall be international or broadly based regional organizations working or interested in similar or related fields.

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.

#### 1.17.2.3 Establishment of liaisons

Liaisons are established by the Chief Executive Officer in consultation with the secretariat of the technical committee or subcommittee concerned. They are centrally recorded and reported to the technical management board.

#### 1.17.2.4 Review of liaisons

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

### 1.17.3 Liaisons at the working group/project team level

#### 1.17.3.1 Category D liaison<sup>1)</sup>

The category of liaison is as follows:

- **Category D:** Organizations that make a technical contribution to and participate actively in the work of a working group, maintenance team or project team.

#### 1.17.3.2 Acceptance criteria

Liaison organizations 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.

A liaison organization shall be willing to make a contribution to 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.

#### 1.17.3.3 Management of liaisons

Category D liaisons shall be submitted for approval to the technical management board by the committee secretary, with a clear indication of the WG/PT/MT concerned. The submission shall include a rationale for the setting-up of the liaison, as well as an indication of how the

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

organization meets the acceptance criteria given in 1.17.3.2. The committee secretary is responsible for administering D-liaisons.

#### 1.17.3.4 Review of liaisons

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

#### 1.17.3.5 Rights and obligations

Category D liaison organizations have the right to participate as full members in a working group (see 1.11.1) or project team (see 1.12).

Category D liaison experts act as the official representative of the organization by which they are appointed.

In JTC 1, the establishment of liaison should be initiated by a written liaison statement from the requester and confirmed by the receiver. In addition to the above, the liaison request should include:

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

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

##### Technical liaison

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

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

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

##### Formal liaison

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

In JTC 1, Category C is used to designate liaisons at the project or Working Group level, and Category D is not used.

**Category C:** Organisations which make an effective technical contribution and participate actively at the working group or project level of JTC 1 or its subcommittees.

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

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

#### Liaison with ITU T

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

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

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

[Note: In addition to liaison between JTC 1 and ITU T, two methods for collaboration on work of mutual interest are defined.

#### Collaborative Relationship with ITU T

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

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

- Any start-up provisions to accommodate work in progress.

In the case of collaborative team the terms of reference shall take into account:

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

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

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

## 2 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 plan

Each technical committee shall prepare a strategic 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 IEC Supplement to the ISO/IEC Directives, 2004, Clause 4 and ISO Supplement to the ISO/IEC Directives, 2001, 2.9);

In JTC 1, the revision process is in clause 2.9 of this Supplement.

- d) giving a prospective view on emerging needs.

The strategic 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.

In JTC 1, the strategic plan is called the Business Plan, and its template is included on the JTC 1 Website as a Standing Document.

### 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	PWI
<b>Proposal stage</b>	New work item proposal	NP
<b>Preparatory stage</b>	Working draft(s) <sup>1)</sup>	WD
<b>Committee stage</b>	Committee draft(s) <sup>1)</sup>	CD
<b>Enquiry stage</b>	Enquiry draft <sup>2)</sup>	ISO/DIS IEC/CDV
<b>Approval stage</b>	final draft International Standard <sup>3)</sup>	FDIS
<b>Publication stage</b>	International Standard	ISO, IEC or ISO/IEC
1) These stages may be omitted, as described in Annex F.		
2) Draft International Standard in ISO, committee draft for vote in IEC.		
3) May be omitted (see 2.6.4).		

**Note:** In JTC 1, the enquiry draft is the DIS.

**2.1.3.2** F.1 illustrates the steps leading to publication of an International Standard.

**2.1.3.3** The [IEC Supplement to the ISO/IEC Directives, 2004, Annex F](#) and [ISO Supplement to the ISO/IEC Directives, 2001, Annex SI](#), give a matrix presentation of the project stages, with a numerical designation of associated sub-stages.

In JTC 1, the matrix is identical to Annex SI in the ISO Supplement to the ISO/IEC Directives, 2001.

### 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 [IEC Supplement to the ISO/IEC Directives, 2004, Clause 4](#) and [ISO Supplement to the ISO/IEC Directives, 2001, 2.9](#), for review and maintenance of existing International Standards).

In JTC 1, the maintenance process is in clause 2.9 of this Supplement.

### 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.

NOTE Throughout the following text, the expression "technical committee or subcommittee" means "subcommittee" in all cases where there exists a subcommittee within whose defined scope the project in question may be considered to lie.

**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 respective Supplements to the ISO/IEC Directives) 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.

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

Following its plenary meeting, a subcommittee shall submit to the JTC 1 Secretariat as a single document the subcommittee's modified programme of work, including all proposed subdivisions of projects and minor enhancements of existing work, exclusive of proposals for new work. This document shall be considered using the default approval process (see Annex ??, Voting).

**2.1.5.5** The programme of work shall indicate, if appropriate, the subcommittee and/or working group or project team 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 originator 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).

These target dates shall correspond to the shortest possible development times, taking into account the need 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 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 following time limits may be used as guidance when establishing target dates (following approval of the work item):

- availability of working draft (if not supplied with the proposal): 6 months
- availability of committee draft: 12 months
- availability of enquiry draft: 24 months
- availability of approval draft: 33 months
- availability of published standard: 36 months

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).

In JTC 1, for each item of the programme of work, target dates are established for:

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

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

#### Default Timeframe

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

#### Accelerated Timeframe

##### Committee draft omitted

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

#### Extended Timeframe



-Availability of committee draft: 12 months

-Availability of approval draft: 43 months

-Availability of published standard: 48 months

Note: the above timeframes should be transferred into a table.(see slides ANSI uses for training)

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

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

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

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

## Priorities

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

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

### 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/PT 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 originator 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). In the case of a project team (see 1.12), the project leader reports to the committee concerned.

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

In JTC 1, project leader is not used.

#### 2.1.9 Progress control

Periodical progress reports to the technical committee shall be made by its subcommittees and working groups or project teams (see also IEC Supplement to the ISO/IEC Directives, 2004, Annex E and ISO Supplement to the ISO/IEC Directives, 2001, Annex SL). 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 IEC Supplement to the ISO/IEC Directives, 2004, Annex D and ISO Supplement to the ISO/IEC Directives, 2001, Annex SF.

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

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

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

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

Action required when target dates are exceeded:

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

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

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

- Technical content of current text is considered acceptable and mature. Progress existing text as an FDIS

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

## Reporting

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

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

Part 2 shall be a statistical report and shall:

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

## 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.

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

**2.2.2** The preliminary stage shall be applied for work items where no target dates can be established.

**2.2.3** All preliminary work items shall be subject to regular review by the committee. The committee shall evaluate the resources required for each such item.

**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**

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

- a new standard;
- a new part of an existing standard;
- in ISO, revision of an existing standard or part;
- in ISO, an amendment to an existing standard or part;

In JTC 1, an amendment to an existing standard or part;

- a Technical Specification (see 3.1) or a Publicly Available Specification (see 3.2).

In JTC 1, the Publicly Available Specification process is a different process than the one that results in the PAS deliverable in ISO and IEC.

**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 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 (see C.5 for all new work other than amendments to existing publications).

The originator 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.

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 for information.

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

A decision upon a new work item proposal may be taken either by correspondence or at a meeting of a technical committee or subcommittee.

If a decision upon a new work item proposal is to be taken at a meeting, the proposal shall be put on the agenda, according to the conditions of 4.2.1.

In JTC 1, each proposal shall be voted on by letter ballot, even if it has appeared on the agenda of a meeting.

Votes shall be returned within 3 months or at the meeting at which the decision is to be taken.

P-members agreeing to participate actively in the work shall nominate (an) expert(s) on the appropriate form.

When completing the reply form, national bodies should consider the principles given in Annex C.

In JTC 1, it is the responsibility of NBs to review each NP to ensure proper coordination among standards development activities and avoidance of duplication of efforts. In this regard, NBs should take particular note of related standardisation activities identified in the proposal and are encouraged to seek input from the national counterparts to these organisations when developing a position since direct input from the international organisations identified may or may not be possible within the time frame of the ballot.

### 2.3.5 Acceptance requires

- a) 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,
  - in IEC, 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 b)] will be taken into account when making this tally;
  - in ISO, 5 P-members approving the work item;
  - In JTC 1, 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 b)] will be taken into account when making this tally

individual committees may increase this minimum requirement, and

- b) approval of the work item by a simple majority of the P-members of the technical committee or subcommittee voting.

In JTC 1, active participation for NPs includes involvement by NBs in more than one of the following:

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

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

**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 and shall be registered by the office of the CEO. The agreed target dates (see 2.1.6) shall be indicated on the appropriate form.

**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.

In JTC 1, a subcommittee may assign the project to a WG or develop the document within the subcommittee itself. For simplicity, the following sections assume assignment to a WG, but in cases where the SC does the development, references to the WG should be understood as

references to the SC. Similarly, in rare instances a WG may report directly to JTC 1 rather than to an SC; in such cases, references to the SC should be understood as references to JTC 1.

**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 2.3.5a)).

**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 or project team the convenor of which will normally be the project leader.

Such a working group or, in IEC, project team 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 1.11). The working group or project team 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 or, in IEC, a project team, those P-members having agreed to participate actively (see 2.3.5a)) 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 or project team. He may invite a member of the working group or project team to act as its secretary.

**2.4.5.1** In JTC 1, a project editor should be identified (see 5.7). The WG develops one or more WDs of the standard. Usually, a WD undergoes several revisions before the WG recommends that it be progressed to Stage 3. As decisions are made regarding the content of the WD, the convenor should take care to assure consensus, not only of the individual participating experts, but also of the NBs represented in the WG. This will enhance the likelihood of achieving successful CD, DIS and FDIS ballots.

**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.

In JTC 1, texts are only required to be prepared in English.

**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.

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

In the preparation of a WD, every effort shall be made to ensure that it will not require substantial redrafting in JTC 1 or the SC, in particular by ensuring that from the very

beginning the draft is in conformity with the rules for the presentation of ISs (see ISO/IEC Directives, Part 2 - Rules for the structure and drafting of International Standards).

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

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

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

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

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

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

## 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.

**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 3 months shall be available for national bodies to comment.

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 chairman 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).

In JTC 1, In the case of b), a period of three months shall be available to national bodies to comment on the draft.

If, within 2 months 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 3 months for consideration. A period of 3 months 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 chairman 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 2:1996.

**"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."

Within ISO, 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.

In JTC 1, 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.

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 4 months.

**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

In JTC 1, the SC Secretariat forwards a copy of the WD in question to the ITTF which registers it as a CD. The ITTF shall confirm the registration to the JTC 1 Secretariat. Successive CDs on the same subject shall be marked "second committee draft," "third committee draft," etc., and the original CD number shall be supplemented by .2, .3, etc. (e.g. CD 1234.2).

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

#### Distribution of CDs

The SC Secretariat distributes the CD. The introductory note should indicate, as appropriate, the sources used as a basis for the proposal and the background and aim of the proposal. The note should include among other things:

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

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

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

#### Finalisation of CDs

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

If the consideration of a CD is dealt with by correspondence, P members and TCs and organisations in liaison are asked to submit their comments (and P members their votes, see 9.1.5) by a specified date. This date should be no less than three months from the date of notification of issue. The SC may extend the ballot period in instances when the complexity of the text requires additional time for review or to allow additional time for enquiry, as long as the total ballot period does not exceed six months. Comments and votes shall be sent to the Secretariat of the SC within the period specified, and shall be summarised by the Secretariat and distributed in accordance with 8.3. The Secretariat shall also distribute a report clearly indicating the action taken as a result of the comments received and shall distribute, if necessary, a further CD. Abstention by an NB on a CD ballot does not bar the NB from voting on subsequent versions of the document (see 3.1.1).

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

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

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

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

So that comments accompanying votes on a CD may be properly considered, the relevant Secretariat is instructed to refer all such comments to the SC. The SC shall review the comments and make a recommendation to the relevant Secretariat before further processing. Within an SC, responsibility for the preparation of a revised CD text, disposition of comments report, and a recommendation on further processing may be delegated to a WG, ad hoc group (see 2.6.2), or Project Editor who reports back to the SC.

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

Whenever appropriate, SCs entrusting tasks to WGs or ad hoc groups should empower them to produce on behalf of the SCs the CD, DIS or FDIS text for direct submission to ITTF via the SC Secretariat.

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

## 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 within 4 weeks to all national bodies for a 5 months vote.

In JTC 1, the enquiry draft is a DIS.

For policy on the use of languages, see Annex E.

In JTC 1, texts are required only to be prepared in English.

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 chairman 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 chairman 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.

**2.6.3** An enquiry draft is approved if

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

In JTC 1, approval requires

- a) a two-thirds majority of the votes cast by the P-members of JTC 1 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 chairman 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, to register the enquiry draft, as modified, as a final draft International Standard, or
- b) in the case of an enquiry draft where no negative votes have been received, to proceed directly to publication, or
- 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 2 months, which may be extended up to 5 months 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 3 months 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 chairman 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 2 months from the date of dispatch, two or more P-members disagree with decision 2.6.4 c.1) or c.2) of the chairman, the draft shall be discussed at a meeting (see 4.2.1.3).

**2.6.6** When the chairman 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 4 months 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 machine-readable form 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.

**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 *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 3 months to all national bodies for a 2 month 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.

**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.

In JTC 1, approval requires

- c) a two-thirds majority of the votes cast by the P-members of JTC 1 are in favour, and
- d) 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, 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 2.7, 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, final draft International Standard;
- publish a Technical Specification (see 3.1);
- 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 2 months in ISO and 1.5 months in IEC, 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 standards**

The procedures for the maintenance of standards are given in the [IEC Supplement to the ISO/IEC Directives, 2004, Clause 4 and Annex B](#), and [ISO Supplement to the ISO/IEC Directives, 2001, 2.9](#).

In JTC 1, the SC responsible for the development of a document shall also be responsible for its maintenance after publication so that it is kept up-to-date. In some cases, the standard may be designated "stabilised" and will no longer be subject to periodic maintenance; the procedures for "stabilised" standards are described in 15.6. To safeguard the media used for publication, the Secretariat of the responsible SC shall ensure that masters are maintained in the country of the Secretariat and also transmitted to ITTF for storage.

### **2.9.1 Revision**

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

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

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

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

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

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

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

### 2.9.2 Withdrawal

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

### 2.9.3 Periodic Review

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

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

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

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

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

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

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

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

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

#### 2.9.4 Stabilised Standards

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

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

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

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

Where a Sub Committee, National Body or other standards owning body within JTC 1 becomes aware that a stabilised standard is no longer in use or its use has been superseded or it now unsafe to continue to use the standard, the Sub Committee, National Body or other standards owning body within JTC 1 may request JTC 1 to issue an immediate 60 day letter ballot to reclassify the standard as withdrawn.

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

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

#### 2.10 Technical corrigenda and amendments

##### 2.10.1 General

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

- a technical corrigendum (or a corrected reprint of the current edition);
- an amendment.

Technical corrigenda and amendments are published as separate documents, the edition of the International Standard affected remaining in print.

##### 2.10.2 Technical corrigenda

A technical corrigendum is issued to correct either

- e) a technical error or ambiguity in an International Standard, a Technical Specification, a Publicly Available Specification or a Technical Report, inadvertently introduced either in drafting or in printing and which could lead to incorrect or unsafe application of the publication, or

- f) information that has become outdated since publication, provided that the modification has no effect on the technical normative elements (see ISO/IEC Directives, Part 2, 2004, 6.3) of the standard.

**NOTE** Technical corrigenda are not issued to correct errors that can be assumed to have no consequences in the application of the publication, for example minor printing errors.

Suspected technical errors or outdated information shall be brought to the attention of the secretariat of the technical committee or subcommittee concerned. After confirmation by the secretariat and chairman, 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 or a corrected or updated reprint of the existing edition of the publication (see also 2.10.4).

### 2.10.3 Amendments

An amendment alters and/or adds to previously agreed technical provisions in an existing International Standard.

The procedure for developing and publishing an amendment shall be as described in 2.3 (ISO), or the maintenance procedures (see IEC Supplement) and 2.4 to 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 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.

## 2.10.5 Correction of Defects

### 2.10.5.1 Definitions

#### **defect**

An editorial defect or a technical defect.

#### **editorial defect**

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

#### **technical defect**

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

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

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



### **2.10.5.2 General**

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

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

Suspected technical defects shall be brought to the attention of the Secretariat of JTC 1 or SC concerned. In the case of standards for which proper implementation is dependent on the careful but rapid promulgation of corrections to defects, the procedures in 15.4.3 through 15.4.100 shall apply. When these procedures are not required, 0 15.4.11 shall apply.

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

### **2.10.5.3 Defect Correction Procedure**

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

### **2.10.5.4 Editing Group**

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

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

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

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

### **2.10.5.5 Defect Reports - Submission**

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

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

### **2.10.5.6 Defect Reports - Distribution**

Upon receipt of a defect report, the WG Convener or Secretariat shall complete part 1 of the form. The defect report number contained in part 1 consists of the IS or DIS number followed by a solidus and a sequentially assigned number (e.g. 8326/006). The WG Convener or

Secretariat shall attach a WG document cover sheet which carries an assigned WG document number and indicates the status of the report (e.g. "This defect report is forwarded to the 8326 editor's group for review and response; it is sent to WG 6 for information").

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

#### **2.10.5.7 Preparation of Response by the Editor's Group**

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

#### **2.10.5.8 Preparation of Response by the Project Editor**

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

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

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

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

#### **2.10.5.9 Processing of Response - WG and SC levels**

##### **2.10.5.9.1 No Change Required**

If the response to a defect report has not resulted in material for publication (e.g. the 'defect' was the result of misinterpretation or misunderstanding on the part of the originator of the defect report), the WG Convener or Secretariat shall distribute the defect report and the response to the WG for information attaching a new WG cover sheet with a new document number, and shall advise the WG that no further action is required.

##### **2.10.5.9.2 Further Consideration Required**

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

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

##### **2.10.5.9.3 Editorial Defect**

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

##### **2.10.5.9.4 Technical Defect**

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

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

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

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

If the general results of the SC ballot were positive, but some comments were received, the SC Secretariat shall also forward the comments to the Project Editor for review when the voting results are distributed to the SC in accordance with 0 15.4.9.4.3 above. The Project Editor shall prepare responses to the comments and return them to the SC Secretariat together with a revised text of the draft technical corrigendum if any modification has resulted from the editor's review. The SC Secretariat shall distribute the revised text and disposition of comments report to the SC for information, and shall proceed with the submittal to ITTF in accordance with 0 15.4.9.4.4 above. Each technical corrigendum shall list the status of all amendments and technical corrigenda to the current edition of the standard.

If the results of the SC ballot are not positive, in forwarding the voting results to the WG Convener or Secretariat in accordance with 0 15.4.9.4.3 above, the SC Secretariat shall instruct the WG Convener or Secretariat to distribute the results to the appropriate editor's group for consideration and the preparation of a recommendation on further action to be taken.

#### **2.10.5.10 Maintenance of Defect Report Index**

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

- Full identification of document numbers (including ITU T references in joint projects);
- Status of the defect report;
- Date when submittal occurred;
- Date when response is required;
- Date when ballot terminates (if appropriate);
- Date of publication of solution to the defect.

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

#### **2.10.5.11 Special Correction Procedure**

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

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

#### **2.10.6 Amendment**

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

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

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

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

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

## 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 or IEC (whichever is concerned), as represented by the office of the CEO.

In JTC 1, the copyright for DIS/FDISs, ISs, DAM/FDAMs, Amendments, DISP/FDISPs, ISPs, Technical Corrigenda and TRs belongs to ISO and IEC.

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

## 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 and in the ISO/IEC Directives, Part 2, 2004, Annex F 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:

- g) The originator of a proposal for a document shall draw the attention of the committee to any patent rights of which the originator 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.
- h) If the proposal is accepted on technical grounds, the originator 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 [see [ISO/IEC Directives, Part 2, 2004, F.3](#)]. 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.

- i) 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. The reasons for publishing the Technical Specification, and an explanation of its relationship to the expected future International Standard, shall be given in the foreword.

When a Technical Specification is used for “pre-standardization purposes”, the following text, completed as appropriate, shall be included in the Foreword:

“This document is being issued in the Technical Specification series of publications (according to the ISO/IEC Directives, Part 1, 3.1.1.1) as a “prospective standard for provisional application” in the field of ... because there is an urgent need for guidance on how standards in this field should be used to meet an identified need.

This document is not to be regarded as an “International Standard”. It is proposed for provisional application so that information and experience of its use in practice may be gathered. Comments on the content of this document should be sent to the ...[ISO Central Secretariat or IEC Central Office]...

A review of this Technical Specification will be carried out not later than 3 years after its publication with the options of: extension for another 3 years; conversion into an International Standard; or withdrawal.”

In IEC, Technical Specifications are subject to the same maintenance procedure as IEC Standards. The final paragraph of the above text will therefore need to be replaced by the relevant information on maintenance review dates (see also [IEC Supplement to the ISO/IEC Directives, 2004, Clause 4 and Annex B](#)).

**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. The reasons why the required support could not be obtained shall be given in the foreword to the 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 in machine-readable form by the secretariat of the technical committee or subcommittee to the office of the Chief Executive Officer within 4 months for publication.

**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 shall be agreed in advance of the publication of the Technical Specification (maintenance review date).

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

In JTC 1, Publicly Available Specification process is a process that leads to an International Standard. The Process is described in Annex ?

**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.

**3.2.2** A proposal for submission of a PAS may be made by an A-liaison or D-liaison (see 1.17.2 and 1.17.3) 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.

**3.2.4** A PAS shall remain valid for an initial maximum period of 3 years. The validity may be extended for a single 3-year period, following which it shall be revised to become 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 in machine-readable form by the secretariat of the technical committee or subcommittee to the Chief Executive Officer within 4 months for publication.

In JTC 1, the procedures for development of Technical Reports are similar to the procedures for development of International Standards and shall be followed unless otherwise noted.

All stages may exist for Technical Reports. At the Committee stage, the procedures for PDTRs are similar to those in 2.5 for CDs. At the conclusion of the Committee stage, the SC Secretariat shall submit the revised PDTR to the JTC 1 Secretariat for further processing as a DTR.

The DTR text should also be distributed to the ITTF for editorial review. Any comments received from ISO editors shall be considered together with National Body comments received on the DTR ballot.

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

When publication of a TR has been agreed by a 2/3 majority of those P-members voting, the text shall be submitted by the JTC 1 Secretariat to the ITTF, normally within two months.

**Editors' note:** should add here comparison table

**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.

IN JTC 1, TRs shall be subject to review every five years in the same manner as ISs (see 15.3).

#### **3.3.3.1 Revision**

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

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

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

#### **3.3.3.2 Amendment**

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

The procedure for developing and publishing an amendment shall be as described in 3.3.2. Processing is the same as for a technical report except for the terminology. At the Committee stage, the document is called a proposed draft amendment (PDAM). At the Enquiry stage, the document is called a draft amendment (DAM).

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

#### **3.3.3.3 Stabilized Technical Reports**

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

#### **3.3.3.4 Withdrawal**

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

## 4 Meetings

### 4.1 General

**4.1.1** Technical committees and subcommittees shall use modern 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.

Meetings of JTC 1 shall be convened by the JTC 1 Secretariat at nominal twelve-month intervals and shall be of adequate duration to resolve all agenda items.

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

**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

#### 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 chairman 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 JTC 1, the host NB is responsible for providing secretarial support and services for meetings unless alternative arrangements have been agreed with the responsible committee Secretariat.

**4.2.1.3** The secretariat shall ensure that arrangements are made for the agenda 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 4 months before the date of the meeting. All other basic documents, for example new work item proposals, shall be distributed by the same deadline.



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.

#### **4.2.2 Working group meetings**

**4.2.2.1** Working groups shall use modern 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.

In JTC 1, for WG meetings, the meeting date and venue shall be subject to an understanding with the Secretariat of the parent body and with the NB of the country in which the meeting is held.

**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.

#### **4.3 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 chairman 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.

In JTC 1, the following provisions also apply:

##### **Calling and Cancelling Meetings**

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

WG Convenor shall convene meetings of the WG if questions cannot be solved by correspondence and decisions reached shall be incorporated in resolutions (see 7.10.3).

Either the WG Convener or the Secretariat shall issue the calling notice. The period of notification of a meeting should normally not be less than four months (however, see 7.6.1).

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

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

## Meeting Agenda

For JTC 1 and SCs, the committee Secretariat prepares the draft agenda and distributes it to the members of the committee, whenever possible in both English and French, four months in advance of the meeting. WG agendas shall be distributed by the Convener or Secretariat preferably four months, but no less than three months in advance. WG agendas shall be distributed to the members of the WG and to the parent body. OWG meeting notices and first agendas shall be sent to SC National Bodies no less than 60 days before the first OWG meeting. The 60 day notification for meeting notices and first agendas applies to OWGs that would hold electronic meetings to take place between meetings of the parent body to:

- (a) address issues related to one specific project or topic required to progress work or
- (b) develop and provide input in relation to a request from an existing liaison that is required before the following meeting of the parent body.

JTC 1 notes that OWGs may have a combination of separate physical and electronic meetings. The calling notice and first agenda must be sent to all National Bodies no later than 15 days after the meeting of the parent body that established the OWG.

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

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

## Guidelines for Agenda Preparation:

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

- Review of Project Editor and liaison assignments
- Review of recent JTC 1 decisions affecting the group
- Approval of resolutions
- Subsequent meeting requirements
- Any other business

#### Participation at Meetings

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

Chairmen of SCs and Conveners of SWGs and WGs reporting directly to JTC 1 shall attend meetings of JTC 1 and may participate in the discussion, but do not have the right to vote. In exceptional circumstances, if a Chairman or Convener is prevented from attending, he shall delegate the Secretary to represent the Chairman or Convener.

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

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

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

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

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

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

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

#### Meeting Documents

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

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

### Contributions

- Contributions may be submitted to JTC 1 or its subsidiary bodies by any member, or by any directly reporting subsidiary body;
- Documents for any JTC 1 or SC meeting, particularly those raising new issues or those for which a final agreement at the meeting is desired, shall be delivered to the Secretariat in time for them to be posted to the JTC 1 or SC Web server (as appropriate) four weeks prior to the meeting. The following exceptions are permitted:
  - Comments on posted documents provided they are received by the Secretariat in a form suitable for immediate posting, not later than one week prior to the meeting.
  - Reports from SCs to JTC 1 where the meeting is held inside the four-week deadline. Reports should in these cases be posted not more than two days after the end of the SC meeting and only reports will be received. Substantive matters arising from such meetings shall not be considered at the JTC 1 meeting, unless agreed by JTC 1. This should be borne in mind when setting dates for SC meetings.
  - A proposed document revision from a project editor, which incorporates comments received prior to the meeting and which is intended to be developed further at the meeting, may be posted up to one week prior to the meeting.
- CDs for discussion at a meeting shall be distributed not less than three months in advance of the meeting for which they are intended;
- Rules for the referencing and numbering of working documents and correspondence relating to the technical work are given in 8.2.
- Where new issues arise which are not able to be posted to the Web server at least four weeks prior to the meeting, any decision made at the meeting may need to be confirmed by a NB ballot after the meeting. Such items must be posted to the Web as soon as possible and prior to the meeting so that they are available to NBs as well as delegates. Although paper copies may be distributed at the meeting, arrangements must be made to allow delegates to the meeting to obtain electronic copies in accordance with the JTC 1 policies on electronic document distribution.

Deleted:

### Urgent Business.

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

### Languages

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

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

### Meeting Resolutions and Reports

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

- The language of the original resolution shall be identified;

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

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

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

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

After the meeting, the committee Secretariat or Convener shall prepare a report of the meeting comprising

- a) the list of delegates to the meeting
- b) a reference to the sessions held (including JTC 1 Special Working Groups, Rapporteur Groups and Workshops, SC Advisory Groups, Working Groups and Other Working Groups)
- c) the disposition of each agenda item, including rationale if appropriate and,
- d) as a discrete and important document, the complete text of the resolution adopted during the meeting.

At the discretion of the meeting, a summary of the discussions can be included.

The documents listed above shall be sent within two months to the members and other bodies represented at the meeting.

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

## Electronic Meetings

### Use of Voice Teleconferencing

JTC 1 permits the use of voice teleconferencing as a means of conducting work by any subgroup of JTC 1 and its SCs. Agreement on the use of teleconferencing shall be made by consensus of the group. The meeting organizer and host, in conjunction with the Chairman/Convener, are permitted to decide (with the consent condition described above) if a teleconference is appropriate for a meeting.

- All meeting materials must be available to all participants two weeks prior to the meeting
- All meeting resolutions must be electronically distributed (via email or on a common website) before the meeting concludes.
- When considering the use of teleconferencing to support a meeting, meeting organisers should consider in advance the potential advantage to all participants. Additional consideration should be given to the impact of the timing of teleconference sessions for participants in different time zones, to those National Bodies which would not otherwise be able to attend the meeting and to the flow of the agenda in order to bring together local attendees and remote participants.

JTC 1 recognises that certain special considerations are required to make the use of voice teleconferencing successful.

Proper consideration shall be given to:

- a) time zone differences for meeting participants;
- b) the diversity of the participants' meeting language skills and the possible importance of visual contact;
- c) difficulty in managing a teleconference meeting of more than a small number of participants; and

d) possible requirement for alternative meeting arrangements (e.g. see below).

- Participants should have some recourse, e.g. postponement of the meeting, if access to teleconference facilities is unexpectedly unavailable at the scheduled time or if the quality of the communication link is objectionable.
- Participants should have some recourse, e.g. postponement of agenda items, if posted documents are not available to them on the same basis as all other participants.
- The use of teleconferencing shall not lessen document distribution and meeting reporting requirements.

#### Use of Electronic Messaging

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

#### Electronic Document Distribution

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

## 5 Appeals

### 5.1 General

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

- j) to the parent technical committee on a decision of a subcommittee;
- k) to the technical management board on a decision of a technical committee;
- l) to the council board on a decision of the technical management board,

within 3 months in ISO and 2 months 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

- m) not in accordance with
  - the Statutes and Rules of Procedure;
  - the ISO/IEC Directives; or
- n) 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.

In JTC 1 all appeals shall be fully documented to support the NB's concern. The appeal shall state the nature of the objection(s) including any direct and material adverse effects, the

section(s) of these procedures or the standard that are at issue, actions or inactions that are at issue, and the specific remedial action(s) that would satisfy the appellant's concerns. Previous efforts to resolve the objection(s) and the outcome of each shall be noted.

## **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 chairman and secretariat of the technical committee.

**5.3.3** The Chief Executive Officer shall, following whatever consultations he deems appropriate, refer the appeal together with his comments to the technical management board within one month 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 Chairman of the technical management board shall form a conciliation panel.

The conciliation panel shall hear the appeal within 3 months and attempt to resolve the difference of opinion as soon as practicable. The conciliation panel shall give a final report within 3 months. 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 one month after receipt of the appeal.

The council board shall make its decision within 3 months.

### **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).



## **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, an ISO Technical Advisory Group, or a Joint ISO/IEC 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 procedure for proposing a new work item, and the criteria for its acceptance, shall be decided by the body to which the Committee or Group responsible for the project reports.

Once a project is accepted, 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 arrange for it to be circulated for comments to the members of the Committee or Group.

The time limit for replies shall normally be 3 months.

The Committee or Group responsible for the project shall examine the comments received and prepare a revised draft Guide.

### **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 4-month 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 chairman of the Committee or Group responsible for the project may decide to submit an amended draft for a 2-month 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.

## **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.

- o) **Formal liaisons** between ISO and IEC committees for normal inter-committee cooperation.
- p) **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.
- q) 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:

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

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

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

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:

- t) full or selective exchange of committee documents;
- u) regular or selective attendance of liaison representatives at meetings;
- v) participation in a standing coordination (or steering) committee for selected ISO and IEC technical committees;
- w) 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 1.11.5.

**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 TMBs.

**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. 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. 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 80000-2).

**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 TMBs for information.

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

The secretariats of the TC/SCs 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. 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 intended primarily for use in the field of international standardization, but may be used in other fields.

**C.1.6** 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 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) 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 article 2.1 of its Constitution and of IEC in article 2 of its Statutes.

**C.3.2** Any proposal for new work shall include (at least) the following elements, in order to assess and justify the need for such work:

- title;
- scope;
- purpose and justification;
- programme of work;
- the resources to be provided;
- relevant documents;
- cooperation and liaison.

**C.3.3** The elements listed in C.3.2 may have slightly different interpretation for a new field of technical activity (proposal for a new committee) and for a new work item (proposal for a new standard in an existing committee). Their content is specified in more detail in C.4 and C.5. Examples of such proposals are offered in C.7 and C.8. (These examples are in considerable detail to illustrate the principles).

## **C.4 Elements to be clarified when proposing a new field of technical activity (new committee)**

### **C.4.1 Title**

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

*Example:* "Machine tools"

### **C.4.2 Scope**

**C.4.2.1** 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.4.2.2** 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.4.2.3** 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.4.3 Purpose and justification**

Details based on a critical study of the following elements shall be given wherever practicable:

- x) The specific aims and reason for the standardization activity, with particular emphasis on the aspects of standardization to be covered, the problems it is expected to solve or the difficulties it is intended to overcome;
- y) The main interests that might benefit from or be affected by the activity, such as industry, consumers, trade, governments, distributors;
- z) Feasibility of the activity: Are there factors that could hinder the successful establishment or general application of the standard(s)?



*Example:* Does it appear feasible to standardize a single practice for general use, or will it be more practical to standardize more than one practice or level?

- aa) Timeliness of the standards to be produced: Is the technology reasonably stabilized? If not, how much time is likely to be available before advances in technology may render the proposed standards outdated? Are the proposed standards required as a basis for the future development of the technology in question?
- bb) Urgency of the activity, considering the needs of other fields or organizations;
- cc) The benefits to be gained by the implementation of the proposed standard(s); alternatively, the loss or disadvantage(s) if no standard is established within a reasonable time. Data such as product volume or value of trade shall be included and quantified.
- dd) If the standardization activity is or is likely to be the subject of regulations or to require the harmonization of existing regulations, this should be indicated.

#### **C.4.4 Programme of work**

**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.

#### **C.4.5 Relevant documents**

**C.4.5.1** Any known relevant documents (such as standards and regulations) shall be listed, regardless of their source.

**C.4.5.2** It would generally be helpful if the list of documents could be accompanied by an indication of their significance.

**C.4.5.3** 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.4.6 Cooperation and liaison**

**C.4.6.1** Relevant organizations or bodies with which cooperation and liaison should exist, shall be listed.

**C.4.6.2** 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.4.6.3** The result of any communication with other interested bodies shall also be included.

#### **C.4.7 Secretariat duties**

The proposer shall indicate whether his organization is prepared to undertake the secretariat work required for the new field of activity proposed.

## **C.5 Elements to be clarified when proposing a new work item (new standard)**

### **C.5.1 Title**

The title shall indicate the subject matter of the proposed new standard.

*Example:* "Electrotechnical products – Basic environmental testing procedures"

### **C.5.2 Scope (and field of application)**

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:*

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.

### **C.5.3 Purpose and justification**

**C.5.3.1** 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, as is required in C.4.3. The proposer shall include a statement to the effect that according to his knowledge there is no other work dealing with the subject proposed.

**C.5.3.2** 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.5.4 Programme of work**

Target date(s) shall be indicated and, when a series of standards is proposed, priorities shall be suggested.

### **C.5.5 Relevant documents**

See C.4.5.

### **C.5.6 Cooperation and liaison**

See C.4.6.

### **C.5.7 Preparatory work**

The proposer shall indicate whether he or his organization is prepared to undertake the preparatory work required for the new work item. The proposer shall make every effort to submit a complete working draft with the proposal, or at least submit an outline. The proposer shall also nominate a project leader.

## **C.6 Matrix**

**C.6.1** To assist the proposer in ordering his thoughts in easily understandable terms, the matrix shown in C.9 may be helpful in establishing the purpose of the proposal and accordingly the aspects to be covered.

The proposer should identify on the vertical axis the main purpose(s) of the proposed new work. The aspects most relevant should then be identified opposite the appropriate purpose(s).

**C.6.2** It is recommended that a copy of any completed matrix be attached to the proposal.

The matrix in C.9 should be considered only as a model, because each characteristic and each test method may require its own column. It may be useful in the assessment of the proposal for the new work.

**C.6.3** For some subjects, the matrix may be used at a very early stage; for others, in parallel with the establishment of a committee programme of work and in any case, it may be modified as necessary. In other cases (especially for complex products), it may not be possible to answer the questions contained in the matrix until the work has reached some advanced stage. Even in these cases, it may be useful to construct an appropriate matrix as early as possible because it may reveal some gap or inconsistency which might otherwise remain unnoticed.

**C.6.4** Examples for the use of the matrix are given in C.10 and C.11.

## **C.7 Example of a proposal for a new field of technical activity**

**Proposer:** Slobovian National Standards Institution (SNSI), member body of ISO for Slobovia <sup>3)</sup>

**Title:** "Machine tools"

**Scope:**

"Standardization of all machine tools for the working of metal, wood and plastics, operating by removal of material or by pressure. Excluded: standardization of electrical equipments used in machine tools (dealt with by IEC/TC 44)."

**Purpose and justification:**

The purpose of the proposed standardization is to promote the harmonization of national specifications and requirements concerning the main characteristics, interface, interchangeability, operating elements, operating symbols, safety devices, accuracy, testing, etc., relating both to the machine tools themselves and to related tools and fixtures.

Problems arise in international trade, not only in the machine tools themselves but in semi-finished parts, due to differences in the technical requirements that are valid in different countries, especially for safety requirements, methods of testing accuracy as well as compatibility of accessories.

The main interests expected to benefit from the proposed standardization are machine tool makers, machine tool users, toolmakers and specialized producers of machine tool parts and accessories. Also workers operating the machine tools will benefit from uniform operating elements and symbols.

International trade in machine tools is increasing rapidly, and industrialized countries export more and more machines <sup>4)</sup>. However, some industries face barriers to trade from time to time caused by differing requirements in regulations.

Recessions of the export volumes of some countries are partly caused by these barriers, to be removed or reduced by international standardization.

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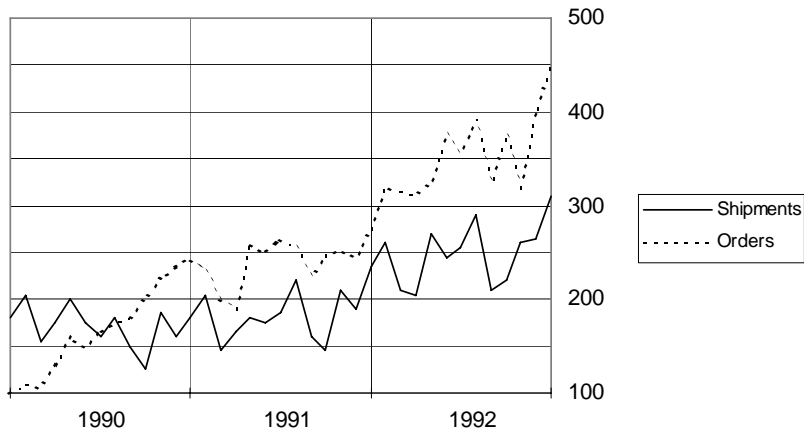
<sup>3)</sup> Taking the example of an imaginary country.

<sup>4)</sup> To illustrate this point, the proposer should attach tables, graphs, statistics or other supporting material.

Feasibility of the activity is apparent from the above facts. However the later international standardization is made, the more difficult the harmonization of national specifications will be. No other international organization is dealing with this standardization, hence the work is urgent.

The proposed standardization is timely since design and technology of machine tools are stabilized; nevertheless, further development is rapid, producing new types, new control systems, etc. World-wide need of these products is greater than the present world capacity, as shown in the figure.

Machine tool orders and shipments (\$million)



(Millions of dollars)	Nov prelim	Oct final	Nov year ago
Not new orders, total	448,80	414,00	286,10
cutting	347,85	334,05	222,65
forming	100,95	79,95	63,45
Shipments, total	312,35	266,80	221,95
cutting	207,90	195,05	163,05
forming	104,45	71,75	58,90
Export orders	37,40	27,45	21,10
shipments	38,95	28,25	32,30
Backlogs, cutting	2873,8	2733,8	1747,4
forming	522,8	526,3	361,7
Cancellations, cutting	16,95	15,10	8,70
forming	4,60	4,1	2,05
Domestic orders, 3-month moving average			
cutting	287,9	267,2	177,0
forming	81,4	81,3	61,6

Source: National Machine Tool Builders' Association

**Figure C.1 — Orders and shipments of machine tools**

The benefits to be gained: specialized production and economical trade of standardized parts and units, international cooperation and trade, meeting safety requirements of importing parties, easy and safe handling and operation. <sup>5)</sup>

### Proposed work programme:

List of standards required	Suggested time to completion of task years
1 Machine tools – Speeds and feeds	3
2 Machine tool test codes	3
3 Symbols for indication appearing on machine tools	4
4 Machine tools – Direction of operation of controls	5
5 Machine tools – Spindle noses and face plates – Sizes for interchangeability – Part 1: Type A	5
6 Machine tools – Spindle noses and face plates – Sizes for interchangeability – Part 2: Camlock type	5
7 Machine tools – Spindle noses and face plates – Sizes for interchangeability – Part 3: Bayonet type	5
8 Test conditions for surface grinding machines with vertical grinding wheel spindle and reciprocating table – Testing of accuracy	6
9 Test conditions for surface grinding machines with horizontal grinding wheel spindle and reciprocating table – Testing of accuracy	6
NOTE It is proposed that this list should be reviewed and supplemented as needed in due course.	

### Relevant documents:

#### Available national documents

- France NF E60-101, -102, -105, -111, -112, -115, -116, -117, -121, -122, -123, -124, -131, -132.
- Japan JIS B 6330-74, 6331-74, 6332-77, 6333-77, 6334-77.
- Czech Republic CSN 20 0301, 20 0312, 20 0315, 20 0316, 20 0318.
- Poland PN-M-55330, 55331, 55332, 55340, 55350, 55351, 55356.
- USA NAS 913, 938, 953, 972, 979, 983, 985.

We consider that NAS 979, *Uniform cutting test. Metal cutting equipments specification* can be adopted as an ISO standard.

### Cooperation and liaison:

Liaison should be established with IEC/TC 44 dealing with electrical equipments used in machine tools.

### Secretariat duties:

The Slovenian National Standards Institution (SNSI) is prepared to undertake the secretariat duties of the proposed committee.

1996-11-05

D. Prath

<sup>5)</sup> Supporting data on world machine tool production and trade should be presented.

Director

Slobovian National Standards Institution

## C.8 Example of a proposal for a new work item

**Proposer:** Slobovian National Standards Institution (SNSI), member body of ISO for Slobovia <sup>6)</sup>

**Title:** "Machine tools – Spindle noses and face plates – Sizes for interchangeability"

**Scope:**

The standard specifies the sizes for interchangeability of spindle noses and corresponding face plates of machine tools, including size and form tolerances, as well as position tolerances of the connecting surfaces.

**Purpose and justification:**

The purpose of the proposed standard is to specify a standardized choice of spindle noses and face plates as connecting parts of machine tools for tools and toolholders.

Slobovian importers and exporters of semi-finished castings and forgings have experienced considerable difficulties because of differing dimensions of spindle noses in different countries. It is expected that the proposed work will reduce these problems.

The main interests that might benefit from the proposed standard are: machine tool makers, machine tool users, tool makers, specialized producers of machine tooling and accessories.

International trade of machine tools and tooling increases rapidly. Standardized spindle noses and face plates will promote the utilization of standard tooling on various machines. Machining operations will be made more flexible.

The preparation of the proposed standard is feasible and timely, since based on experience of many years of practice, the use of 3 designs became generally accepted: the so-called "A-type", the "Camlock-type" and the "Bayonet-type". These 3 designs are stabilized and offer excellent performance. In order to establish a controlled variety of spindle noses, the standardization of these types is proposed. If necessary, the standard can be issued in 3 parts.

Suggested time to completion of task: 3 years.

The benefits to be gained: uniformity of spindle noses of machine tools delivered by various industries, enabling machine tool users to use the same standardized tool sets on several machine tools.

Possibility of producing standardized tooling by specialized tool making firms. International trade of machine tools and that of tooling. Interchangeability of tooling.

### Relevant documents:

Available national documents:

- |                   |            |
|-------------------|------------|
| - United Kingdom: | BS 4442    |
| - USA:            | ANSI B 5.9 |
| - Germany:        | DIN 55021  |

### Cooperation and liaison:

Liaisons should be established with ISO/TC 29, dealing with standardization of tooling.

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<sup>6)</sup> Taking the example of an imaginary country.

**Preparatory work:**

The SNSI is willing to undertake the preparatory work.

1996-11-20

D. Prath

Director

Slovakian National Standards Institution



## C.9 Matrix for establishing the purpose of a proposal

Title:

Purpose of the proposed new work	Aspects to be covered in the standard(s)								
	Terminology, symbols, signs, designation	Characteristics	Sampling	Testing and inspection	Complementary requirements (labelling, packaging, storage, etc.)	Documentation, e.g. to accompany the product	Other aspects and requirements		
Mutual understanding and communication									
Safety, EMC, health, protection of the environment									
Achievement of interchangeability or interface or compatibility provisions									
Performance, function, quality									
Economy of energy and raw material									
Variety control (rationalization)									
Consumer protection									
Other purposes									

### C.10 Example of a matrix for establishing the purpose of a proposal for a new field of technical activity

**Title:** Machine tools

Purpose of the proposed new work	Aspects to be covered in the standard(s)								
	Terminology	Characteristics (see below)			Accuracy tests	Symbols appearing on machine tools	Modular units	Lubricants	
		a)	b)	c)					
Mutual understanding and communication									
Safety, EMC, health, protection of environment	X			X		X			
Achievement of interchangeability or interface or compatibility provisions				X		X			
Performance, function, quality			X				X		
Economy of energy and raw material		X			X		X	X	
Variety control (rationalization)									
Consumer protection			X						
Other purposes									

#### Characteristics:

- a) overall internal height;
- b) speeds and feeds;
  - sizes of shanks;
  - sizes of T-slots and corresponding bolts;
  - sizes of grinding wheels;
  - sizes of spindle noses;
  - sizes of lathe centres;
- c) mounting of grinding wheels;
  - direction of operation of controls.

# **C.11 Example of a matrix for establishing the purpose of a proposal for a new work item**

**Title: Machine tools: spindle noses and face plates – sizes for interchangeability**

Purpose of the proposed new work	Aspects to be covered in the standard(s)							
	Terminology, symbols, signs, designation	Sizes and tolerances for interchangeability	Sampling	Testing and inspection	Complementary requirements (labelling, packaging, storage, etc.)	Documentation, e.g. to accompany the product	Other Aspects and requirements	
Mutual understanding and communication								
Safety, EMC, health, protection of environment								
Achievement of interchangeability or interface or compatibility provisions		X		X				
Performance, function, quality								
Economy of energy and raw material								
Variety control (rationalization)		X						
Consumer protection								
Other purposes								

## Annex D (normative)

### Resources of secretariats and qualifications of secretaries

#### D.1 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:

- ee) facilities for word-processing in English and/or French, for providing texts in machine-readable form, and for any necessary reproduction of documents;
- ff) preparation of adequate technical illustrations;
- gg) identification and use, with translation where necessary, of documents received in the official languages;
- hh) updating and continuous supervision of the structure of the committee and its subsidiary bodies, if any;
- ii) reception and prompt dispatch of correspondence and documents;
- jj) adequate communication facilities by telephone, telefax and electronic mail;
- kk) access to the Internet;
- ll) arrangements and facilities for translation, interpretation and services during meetings, in collaboration with the host national body, as required;
- mm) 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 chairman when necessary;
- nn) access by the secretary to basic International Standards (see the [ISO/IEC Directives, Part 2, 2004, Annex B](#)) and to International Standards, national standards and/or related documents in the field under consideration;
- oo) 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

- pp) have sufficient knowledge of English and/or French;
- qq) be familiar with the *Statutes and rules of procedure*, as appropriate, and with the ISO/IEC Directives (see [IEC Supplement to the ISO/IEC Directives](#) and [ISO Supplement to the ISO/IEC Directives](#));
- rr) 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;
- ss) 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 he is responsible in particular;
- tt) 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;
- uu) be familiar with the documentation supplied by the offices of CEO, in particular the [ISO e-Services Guide](#) and the [IEC Guide to the use of information technology in the IEC](#).

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, 2004, 4.5.](#))

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 Documents prepared and circulated prior to the meeting**

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

###### **vv) Draft agendas**

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

###### **ww) 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.

###### **xx) 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.

###### **yy) 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 member 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:

- zz) 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;
- aaa) 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:

- bbb) the decision taken on one subject should be announced in both languages before passing to the next subject;
- ccc) 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;



ddd) 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 chairman 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>1)</sup>	Technical Specification <sup>2)</sup>	Technical Report <sup>3)</sup>	Publicly Available Specification <sup>4)</sup>
Proposal stage (see 2.3)	<div>Acceptance of proposal</div>	<div>Acceptance of proposal</div>	<div>Acceptance of proposal</div>	<div>Acceptance of proposal</div>		<div>Acceptance of proposal</div>
Preparatory stage (see 2.4)	<div>Preparation of working draft</div>	<div>Study by working group<sup>5)</sup></div>		<div>Preparation of draft</div>		<div>Approval of draft PAS</div>
Committee stage (see 2.5)	<div>Development and acceptance of committee draft</div>	<div>Development and acceptance of committee draft<sup>5)</sup></div>		<div>Acceptance of draft</div>	<div>Acceptance of draft</div>	
Enquiry stage (see 2.6)	<div>Development and acceptance of enquiry draft</div>	<div>Development and acceptance of enquiry draft</div>		<div>Acceptance of enquiry draft</div>		
Approval stage (see 2.7)	<div>Approval of FDIS<sup>6)</sup></div>	<div>Approval of FDIS<sup>6)</sup></div>	<div>Approval of FDIS<sup>6)</sup></div>			
Publication stage (see 2.8)	<div>Publication of International Standard</div>	<div>Publication of International Standard</div>	<div>Publication of International Standard</div>	<div>Publication of Technical Specification</div>	<div>Publication of Technical Report</div>	<div>Publication of PAS</div>

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

1) See **Error! Reference source not found..**

2) See 3.1.

3) See 3.3.

4) See 3.2.

5) According to the result of the vote on the new work item proposal, both the preparatory stage and the committee stage may be omitted.

6) May be omitted if the enquiry draft was approved without negative votes

## 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 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.

For JTC 1, the proposer of a fast-track document is encouraged to make a recommendation concerning the assignment of the document to a given SC. The proposer of a fast-track document shall submit the name of an individual who has agreed to serve as project editor for the fast-track document. The proposer shall also submit an explanatory report similar to the PAS explanatory report.

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. In JTC 1, the SC assignment recommendation and proposed project editor will also be distributed.

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 JTC 1, separately from its vote on the technical content of standard, NBs shall be given the opportunity to comment on the specific Subcommittee assignment of the project. However, comments on Subcommittee assignments shall not influence the vote on technical content. In cases where SC assignment is in question or where the fast-track document does not appear appropriate for any existing SC, the JTC 1 Secretariat may perform the duties normally assigned to the SC Secretariat until the final SC assignment is determined.

The proposer of the fast-track document has the right to withdraw the fast-track document from the fast-track process at any point prior to the initiation of the five month ballot.

**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).

In JTC 1, the Secretariat of the SC for which the project is assigned is responsible for scheduling a ballot resolution meeting. The purpose of the BRM is to review and address the comments received on the enquiry draft and achieve the widest possible consensus. The BRM must have a separate agenda and be convened as a separate meeting, even if it is held in conjunction with/co-located with an SC/WG meeting. All comments must be discussed at one meeting, not spread over a series of meetings. The SC Secretariat shall:

- Schedule a ballot resolution group meeting to consider any comments on the DIS;
- Appoint a convener for the ballot resolution group;
- Appoint a Project Editor for the DIS
- Notify the SC NBs of the ballot resolution group meeting date(s), location, Convener and Project Editor.

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

The ballot resolution meeting is composed, as necessary, of representatives of the SC management (i.e., Secretariat, Chair), the document editor or editors, representatives from all National Bodies (regardless of whether or not they have voted on the ballot), and the Fast Track Submitter. National Body representatives are responsible for presenting their National Body positions, and all National Bodies have an equal say in any decisions made during the meeting.

In advance of the meeting, the Project Editor is required to prepare a Project Editor's proposed disposition of ballot comments in sufficient prior to the BRM to allow consideration by National Bodies. This editor's proposed disposition of comments document will be reviewed during the ballot resolution meeting. National Bodies are required to review this document and prepare a National Body position for each proposed comment resolution and communicate these positions to the National Body representatives who will attend the BRM. Each comment and suggested resolution shall be addressed, and a final decision on each comment documented.

When all comments have been addressed and a disposition of comments have been approved by the meeting, the BRM criteria have been met.

At the conclusion of the meeting, but no longer than one month after the close of the meeting, the SC Secretariat shall distribute:

- A new version of the balloted document that includes all changes agreed to at the BRM; and
- The disposition of comments report approved at the BRM

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.

### **Appointment and Operation of Registration Authorities in JTC 1**

#### **Overview**

There is a need in the field of information technology for the unambiguous identification of objects to provide interoperability between information systems. Individual standards committees have defined, as part of their development of technical standards, classes of objects (e.g. fonts, coded character sets, protocols, etc.). Specific objects are the individual members of the class of objects (e.g. for the class of objects "fonts", the objects might be "Times", "Gothic", etc.), Registration is the process whereby unambiguous names are formally associated with objects. This may be done by an organisation, a standard or an automated facility.

#### **Types of Structures for Registration**

There are two types of structures for registration:

- A single international level registration, e.g. the JTC 1 Registration Authority used in conjunction with ISO 2375 for coded character sets
- A hierarchy of registration, e.g. as for International Code Designators (ICD) in ISO 6523, Data Interchange - Structures for the Identification of Organisations

In the case of registration through a single international level registration, all names for a given object class are chosen from a single, flat, naming domain. In the case of registration through a hierarchy, the highest level of registration partitions the naming domain and assigns the registration responsibility for each partition to a subordinate level. This process can be iterative, with the subordinate level partitioning its assigned naming domain further and assigning those partitions.

In both cases above, the highest level of registration can be an IS or a JTC 1 Registration Authority.

In the case of a hierarchy of registration,

- A subordinate level of registration can be performed by an organisation, standard or automated facility;
- There can be a requirement for a JTC 1 Registration Authority within the hierarchy to provide for the registration of objects at the international level.

#### Need for Registration and Registration Authorities

Technical groups developing technical standards shall make every attempt to avoid the necessity for registration and JTC 1 Registration Authorities in particular. Where this is not possible, technical groups shall attempt to satisfy their requirements through the use of existing registration processes (e.g. use of ISO 3166 by ISO/IEC 10021 and ISO/IEC 8348 Add Amd 2).

All requirements for registration must be reviewed and concurred by JTC 1 (see 18.4.2). Procedure standards for JTC 1 Registration Authorities must also be reviewed and concurred by JTC 1 (see 18.4.2). Where registration is performed by a means other than a JTC 1 Registration Authority, JTC 1 must still assure the international integrity of the registration. This involves a review by JTC 1 of the documentation of the process by which other organisations, standards or automated facilities provide the registration and action by JTC 1 on an exception basis as required. This documentation may take the form of procedures to be included in the technical standard, reference to existing standards, or the creation of separate procedure standards.

#### Standards and Publications

For every type of registration involving a JTC 1 Registration Authority, two different standards are required. The first is the technical standard in which the objects to be registered are defined. The second shall define the procedure according to which the JTC 1 Registration Authority shall work and specify its duties and obligations. The procedure standard shall also specify an appeals procedure which shall be written by JTC 1 in consultation with the proposed JTC 1 Registration Authority and the ITTF.

Where a new JTC 1 Registration Authority is required, the technical group responsible for the technical standard defining the objects to be registered shall develop the companion procedure standard. The group shall consult with JTC 1 at the beginning of the development of the procedure standard to discuss how the requirements in Annex E (see also 18.3) pertain to the class of objects to be registered. A draft of the procedure standard shall be registered for CD ballot at the time of DIS ballot of the technical standard.

#### JTC 1 Registration Authorities

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

#### Appointment

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

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



- A representative of the proposed JTC 1 Registration Authority organisation
- Upon favourable vote, JTC 1 shall submit the nomination to the ITTF for appointment by the ISO and IEC Councils.

#### Qualifications

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

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

#### Contract

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

#### Duties

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

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

**Annex I**  
(normative)  
**Guidelines for Implementation of the Common Patent Policy**  
**for ITU-T/ITU-R/ISO/IEC**

(1 March 2007)

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## Part I – Common guidelines

### 6 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 Appendix I 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.

### 7 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 essential 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 above document sign a license agreement that contains other reasonable terms and conditions such as those relating to governing law, field of use, reciprocity, warranties, etc.

**Organizations:** ITU, ISO and IEC.

**Patents:** Patents refer to essential patents or similar rights, utility models and other statutory rights based on inventions, including any applications for any of the foregoing.

**Patent Holder:** Person or entity that owns, controls and/or has the ability to license Patents.

**Reciprocity:** As used herein, 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 essential patent(s) or essential patent claim(s) for implementation of the same above document 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 Appendix II.

**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.

## 8 Patent disclosure

As mandated by the Patent Policy in its paragraph 1, any party participating 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 their own or 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 relevant Organization(s) to submit a Declaration Form.

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.

## 9 Patent Statement and Licensing Declaration Form

### 9.1 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 Appendix II 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/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 and, most importantly, to require in the case of ITU, and to strongly desire in the case of ISO and IEC, supporting information and an explanation if a Patent Holder declares his/her unwillingness to license under option 1 or 2 of the Declaration Form (i.e., declares option 3 of the Declaration Form).

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/unwillingness to license, 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.

The statement contained in the Declaration Form remains in force as long as it has not been replaced, e.g., in case of obvious errors.

Multiple Declaration Forms are appropriate if the Patent Holder has identified several Patents and classifies them in different options of the Declaration Form and/or if the Patent Holder classifies different claims of a complex patent in different options of the Declaration Form.

## 9.2 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.

## 10 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.

## 11 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.

## Part II – Organization-specific provisions

### 12 Specific provisions for ITU

#### 12.1 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 Appendix III 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 submitting party declares its willingness to license all 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 that have been patented or for which patent applications 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.

The General Patent Statement and Licensing Declaration remains in force as long as it has not been replaced. It can be overruled by the “individual” (per Recommendation) Declaration Form from the same Patent Holder for any particular Recommendation (expectation is that this will rarely occur).

The ITU Patent Information database also contains a record of General Patent Statement and Licensing Declarations.

#### 12.2 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.”

### 13 Specific provisions for ISO and IEC

#### 13.1 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.”

### 13.2 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 ([www.iso.org/patents](http://www.iso.org/patents)) and IEC ([http://www.iec.ch/tctools/patent\\_decl.htm](http://www.iec.ch/tctools/patent_decl.htm)) maintain on-line data bases of patents relevant to their standards. Users are encouraged to consult the data bases for the most up to date information concerning patents.

## APPENDIX I

### 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 Radiocommunication 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.



## APPENDIX II

### PATENT STATEMENT AND LICENSING DECLARATION FORM FOR ITU-T/ITU-R RECOMMENDATION | ISO/IEC DELIVERABLE



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#### Patent Statement and Licensing Declaration for ITU-T/ITU-R Recommendation | ISO/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  
1 chemin de la Voie-Creuse  
CH-1211 Geneva 20  
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)

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#### 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 claims, 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 patent claims 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 essential 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 above document sign a license agreement that contains other reasonable terms and conditions such as those relating to governing law, field of use, reciprocity, warranties, etc.

**Reciprocity:** As used herein, 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 essential patent(s) or essential patent claim(s) for implementation of the same above document free of charge or under reasonable terms and conditions.

**Signature:**

Patent Holder

Name of authorized person

Title of authorized person

Signature

Place, Date

FORM: 1 March 2007

<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				

*NOTE: For option 3, the additional minimum information that shall also be provided is listed in the option 3 box above.*

### APPENDIX III

## GENERAL PATENT STATEMENT AND LICENSING DECLARATION FORM FOR ITU-T/ITU-R RECOMMENDATION

ITU

International Telecommunication Union



### **General Patent Statement and Licensing Declaration** **for ITU-T/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 that have been patented or for which patent applications 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.

Negotiations are left to the parties concerned and are performed outside the ITU-T/ITU-R.

*Also mark here \_\_\_ if the Patent Holder's willingness to license is conditioned on reciprocity for the above ITU-T/ITU-R Recommendation.*

*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 claims, whose use would be required to implement the above ITU-T/ITU-R Recommendation, 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 relevant ITU-T/ITU-R Recommendation.

Negotiations are left to the parties concerned and are performed outside the ITU-T/ITU-R.

*Also mark here \_\_\_ if the Patent Holder's willingness to license is conditioned on reciprocity for the above ITU-T/ITU-R Recommendation.*

**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 essential 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 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.

**Reciprocity:** As used herein, 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 essential patent(s) or essential patent claim(s) for implementation of the same ITU-T/ITU-R Recommendation free of charge or under reasonable terms and conditions.

**Signature:**

Patent Holder

Name of authorized person

Title of authorized person

Signature

Place, Date

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FORM: 1 March 2007

## Annex AA

(normative)

### Meeting Funding

#### General

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

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

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

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

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

#### Guidelines

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

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

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

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

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

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

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

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

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

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

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

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

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

The accounting report should include:

- Size, duration and average attendance at the meeting;
- Details of fee structure (i.e. fixed or proportional components);
- Fees collected (total amount and percentage of delegates paying);
- Expenses detailed in accordance with the terminology defined in clause 7.4.1;

- Explanation of what was done with surplus funds should fees collected exceed expenses;
- Hosting organisation's general evaluation of this funding mechanism. One purpose of this accounting report is to serve as input for a JTC 1 review.



## **Annex AB**

(normative)

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

#### **Document Types**

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

#### **International Standards**

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

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

#### **Technical Reports**

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

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

#### **International Standardised Profiles**

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

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

## Amendments

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

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

## Corrigenda

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

- Defect Report (DR), see 15.4.5.
- Draft Technical Corrigendum (DCOR), see 015.4.9.4.
- Technical Corrigendum (COR), see 15.4.2.

## International Workshop Agreements

There shall be no precursors to an IWA.

## Rules for Numbering of JTC 1 Working Documents

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

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

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

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

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

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

ISO/IEC JTC 1 N n  
Date

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

ISO/IEC JTC 1/SC a N n

Date

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

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

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

Date

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

[Note on originator: Reference within the number itself to the party originating the document (Secretariat, NB, etc.) is not required; it is however recommended that the originator of the document be indicated underneath the title of the document where this is not otherwise apparent.]

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

EXAMPLES:

ISO/IEC JTC 1 N 14

ISO/IEC JTC 1/SC 3 N 25

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

EXAMPLES:

documents 1 N 17, 18, 21

documents 1/13 N 51, 60

#### Document Distribution

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

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

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

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

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

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

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

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

- Category A liaisons;
- JTC 1 Secretariat;
- ITTF.

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

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

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

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

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

## Annex AC

(normative)

### Voting

#### General

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

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

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

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

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

JTC 1 and its SCs shall pay special attention to negative votes by P members and shall attempt as far as possible to resolve the underlying differences and achieve the maximum level of approval. In certain cases, consensus may be confirmed for questions which are expected to contain no controversial issues and for which agreement of the committee is foreseen in advance. Such questions will be distributed for a period of 60 days. If no objection is received during this period, the question is considered to be approved. If any P-member objects to the question during this period, the question will be decided by a vote, either at a meeting or by letter ballot. Questions for which this may be used are:

- Appointment/change of a Registration Authority
- Establishment or cancellation of a Liaison
- Proposal for stabilization/withdrawal of a standard
- PAS Submitter reaffirmation
- Request for free availability of a standard
- Modification of a SC's Program of Work
- Others as approved by JTC 1

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

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

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

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

#### Conciliation Panels

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

#### Votes on NPs

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

#### Votes on NPs at the SC Level

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

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

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

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

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

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

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

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

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

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

Each NP shall be voted on by JTC 1 letter ballot (see Form G4), even if it has appeared on the agenda of a meeting. The normal ballot period for an NP shall be three months from the date of notification of issue (see 6.2.1.3). JTC 1 should consider a NP only in exceptional circumstances, such as the NP is not within the scope of an existing SC. In all other cases, the appropriate SC should ballot the NP.

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

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

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

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

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

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

#### Combined Voting Procedure

The voting procedure which uses simultaneous voting (one vote per country) by the P-members to JTC 1 and by all ISO member bodies and IEC national committees on a letter ballot is called the combined voting procedure. This procedure shall be used on FDISs, DISs, FDAMs, DAMs and FDISPs.e

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

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

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

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

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

Abstentions are excluded from the count.

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

#### Votes on FDISs/FDAMs/FDISPs

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

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

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

#### Votes on Fast-track DISs

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

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

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

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

#### Discussion during ballot period

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

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

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

#### Votes on DTRs

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

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

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

#### Votes on DCORs

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



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

## Annex AA

(normative)

### Meeting Funding

#### General

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

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

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

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

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

#### Guidelines

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

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

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

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

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

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

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

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

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

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

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

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

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

The accounting report should include:

- Size, duration and average attendance at the meeting;
- Details of fee structure (i.e. fixed or proportional components);
- Fees collected (total amount and percentage of delegates paying);
- Expenses detailed in accordance with the terminology defined in clause 7.4.1;

- Explanation of what was done with surplus funds should fees collected exceed expenses;
- Hosting organisation's general evaluation of this funding mechanism. One purpose of this accounting report is to serve as input for a JTC 1 review.

## Annex AA

(normative)

### Meeting Funding

#### General

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

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

- Lodging cost: covers the delegate's personal room.
- Meal cost: covers normal meals, exclusive of banquets, receptions, and entertainment.
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- Events fee: covers expenses associated with social events such as banquets, receptions, and entertainment that are held during the period of the meeting.

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

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## Annex AA

(normative)

### Meeting Funding

#### General

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