

**ISO/IEC JTC 1
Information Technology**

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Annex F

F.3 Preparation and Adoption of International Standards - The PAS Transposition Process

F.3.1 Concepts

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

Publicly Available Specification (PAS)

A technical specification is called a Publicly Available Specification (PAS) if it meets certain criteria, making it suitable for possible processing as an international standard. These criteria (see clause F.3.3) have been established in order to ensure a high level of quality, consensus and proper treatment of Intellectual Property Rights (IPR) related matters.

PAS Originator

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

Recognised PAS Submitter

A PAS originator may apply to JTC 1 for recognition as a Submitter of PASs for transposition. Once approved, the status of a recognised PAS Submitter will remain valid for an initial period of two years, with the possibility of further extension (see clause F.3.4.1).

Explanatory Report

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

PAS Transposition ballot

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

F.3.2 Applicability

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

F.3.3 PAS Criteria

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

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

- Document related criteria:

- Quality;
- Consensus;
- Alignment.

Details can be found in the [Management-JTC 1 Standing Document “Guide for the Transposition of Publicly Available Specifications”](#), which is included as Annex M

F.3.4 Procedures

Based on the concepts provided in F.3.1, the PAS transposition process can be described as below. It is JTC 1's firm intention to provide full process transparency and the current status of any proposal from its web site (<http://www.jtc1.org>). Open dialogue (via the web site or any other available means) between the PAS Submitter and JTC 1 and its National Bodies is strongly encouraged.

F.3.4.1 Recognition of a PAS Submitter

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

- If a National Body request for re-qualification is sustained by JTC 1;
- If the PAS originator failed to submit a specification to JTC 1 for transposition within the expected period (see clause F.3.4.2).

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

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

- Define the overall scope of the application;
- Identify the initial PASs which are planned to be submitted, together with their scope;
- Address all mandatory elements of the organisation acceptance criteria contained in [M7.3 the JTC 1 Standing Document “Guide for the Transposition of Publicly Available Specifications”](#).

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

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

If the PAS submitter chooses to revise, it must submit a document to the JTC 1 Secretariat stating the changes to the answers to the questions in [the JTC 1 Standing Document “Guide for the Transposition of Publicly Available Specifications” M7.3](#) from its previous application. If the PAS submitter chooses to reaffirm, it should identify subsequent PAS(s) intended for submission. In order to allow JTC 1 a timely reaction to the revision or affirmation, the necessary documentation should be submitted not later than three months prior to the expiration of its status as a PAS submitter. The JTC 1 Secretariat shall issue a three month letter ballot on the request for either a revision or reaffirmation. Failure to respond to the

Secretariat's invitation for review of PAS submitter status will automatically result in lapse of a PAS submitter's status at the conclusion of its term.

F.3.4.2 PAS Submission

Once a PAS originator has been recognised, a PAS submission to the JTC 1 Secretariat may occur within the scope as identified on the application (see clause F.3.3). When submitting a PAS to the JTC 1 Secretariat, a Recognised PAS Submitter shall include an Explanatory Report and a statement that the conditions for recognition have not changed or an indication of the nature of changes that have occurred. The Explanatory Report particularly shall contain statements regarding the document related criteria (see clause F.3.4). It should also explicitly mention how the JTC 1 Common Strategic Characteristics - Interoperability, Cultural, Linguistic Adaptability and User Interface are addressed.

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

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

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

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

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

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

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

F.3.4.3 Transposition into an IS or ISP

F.3.4.3.1 The JTC 1 Secretariat forwards the PAS, together with the Explanatory Report and related documentation to the ISO/IEC Information Technology Task Force (ITTF).

F.3.4.3.2 The ITTF shall take the following actions:

- Settle the copyright or trademark situation, or both, with the Recognized PAS Submitter, so that the proposed text can be copied and distributed within ISO/IEC without restriction;

138 • Assess in consultation with the JTC 1 Secretariat that JTC 1 is the competent committee for the
139 subject covered in the proposed standard and ascertain that there is no evident contradiction with
140 other ISO/IEC standards;

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

144 F.3.4.3.3 The period for combined DIS voting shall be six months. In order to be accepted the DIS
145 must meet the following voting criteria:

146 • At least two-thirds of the P-members voting shall have approved, with or without comments;

147 • Not more than one-quarter of the total number of votes cast are negative.

148 F.3.4.3.4 Upon receipt of notification from the ITTF that a DIS has been registered, the JTC 1
149 Secretariat shall inform the Secretariat of the SC recommended for assignment of the project of the DIS
150 number, title, and ballot period dates, and shall send the SC Secretariat a copy of the DIS and its
151 attached Explanatory Report. The JTC 1 Secretariat shall also inform the ITTF of the SC that will deal
152 with the DIS ballot results, in order that the table of replies and any comments accompanying the votes
153 may be sent by ITTF directly to the SC Secretariat as well as to the JTC 1 Secretariat.

154 F.3.4.3.5 Reflecting the importance of the PAS process, the JTC 1 Secretariat shall also inform JTC 1
155 National Bodies and Liaison Organisations, and those organisations authorised to be PAS submitters, of
156 the initiation of any PAS ballot, the results of the ballot, and the identity of the JTC 1 committee which will
157 be responsible for any future work.

158 F.3.4.3.6 The PAS Submitter shall receive a copy of the ballot document.

159 F.3.4.3.7 Upon receipt of the notification from the JTC 1 Secretariat that its SC has been assigned the
160 responsibility for dealing with the DIS, the SC Secretariat shall so inform the SC National Bodies, and
161 shall make plans for the handling of ballot results through the formation of a ballot resolution group, as
162 follows. The SC Secretariat shall:

163 • Schedule a ballot resolution group meeting to consider any comments on the DIS;

164 • Appoint a Convener for the ballot resolution group;

165 • Appoint a Project Editor for the DIS. The Project Editor shall be a representative of the
166 Recognised PAS Submitter, and shall be responsible for producing the final DIS text in case of
167 acceptance;

168 • Notify the SC National Bodies of the ballot resolution group meeting date(s), location, Convener,
169 and Project Editor.

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

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

174 F.3.4.3.8 Upon receipt of the DIS ballot results, and any comments, the SC Secretariat shall distribute
175 this material to the SC National Bodies and the Recognised PAS Submitter. The SC Secretariat shall
176 also send notification of the ballot resolution group meeting to any National Bodies having voted to
177 disapprove the DIS that are not National Bodies of the SC. The National Bodies shall be requested to
178 consider the comments and to form opinions on their acceptability.

179 National Bodies of the relevant SC shall appoint to the ballot resolution group one or more
180 representatives who are well aware of the National Body position. National Bodies having voted
181 negatively, regardless of whether or not they are National Body of the relevant SC, have a duty to
182 delegate a representative to the ballot resolution group meeting. In circumstances where physical

representation is not possible, participation via e-mail correspondence should be explored as an alternative method of representation.

F.3.4.3.9 At the ballot resolution group meeting, decisions should be reached preferably by consensus. If a vote is unavoidable, the approval criteria in the ~~subclause 9.1.4~~[JTC 1 Directives](#) is applied. If the decisions reached are not acceptable to the Recognised PAS Submitter, the Submitter may withdraw the document to terminate the procedure.

F.3.4.3.10 If, after the deliberations of this ballot resolution group, the requirements of F.3.4.3.3 are met, the Project Editor shall prepare the amended DIS and send it to the SC Secretariat who shall forward it to the ITTF for publication as an IS. For its initial publication, the document is not required to be in ISO/IEC format, but can be published in its original format. The form of publication (e.g. reprint of original document or distribution of ISO/IEC cover page with reference) is to be determined by ITTF and the Recognised PAS Submitter as part of any publication agreements. However, subsequent revisions shall be in the format prescribed by the ISO/IEC Directives - Part 2.

F.3.4.3.11 If it is impossible to agree to a text meeting the above requirements, the proposal has failed. In this case, JTC 1 shall make known to the Submitter the reasons which have led to the negative result. Based on this information, the Submitter may choose to re-submit the specification after modification.

F.3.4.3.12 In either case the Convener, in coordination with the Project Editor, shall prepare a full report which shall be distributed by the SC Secretariat to the SC and to the ITTF.

F.3.4.3.13 The time period for post ballot activities by the respective responsible parties shall be as follows:

- Immediately after the vote, ITTF shall send the results of the vote to the JTC 1 Secretariat and to the SC Secretariat, and for the latter to distribute the results without delay to its NBs, to any NBs having voted that are not members of the SC and to the proposer;
- As soon as possible after the distribution of the results of the vote to its NBs but in not less than two and one-half months the SC Secretariat shall convene a ballot resolution group meeting, if required.
- In not more than one month after the ballot resolution group meeting the SC Secretariat shall distribute the final report of the meeting and final DIS text in case of acceptance.

F.3.4.3.14 If the proposed standard is accepted, it will be published following ISO and IEC standing copyright and other IPR policy. Its maintenance will be handled either by JTC 1 or by JTC 1 designated maintenance group of the PAS Submitter in accordance with JTC 1 rules.

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