



ISO/IEC Directives Part 1

Procedures for the technical work



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ISO/IEC Directives Part 1

Procedures for the technical work

INTERNATIONAL
ELECTROTECHNICAL
COMMISSION

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ISO/IEC DIRECTIVES –

Part 1: Procedures for the technical work

FOREWORD

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

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

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

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

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

This eighteenth edition incorporates changes agreed by the respective technical management boards since publication of the seventeenth edition in 2021. Procedures which are not common to all the ISO/IEC Directives are published separately in the ISO Supplement (also referred to as the Consolidated ISO Supplement), the IEC Supplement or the ISO/IEC JTC 1 Supplement, respectively. The Supplements are to be used in conjunction with this document.

The following clauses have been modified with respect to the previous edition: Foreword, 1.7.3, 1.7.4, 1.8.2, 1.11, 1.12.6, 1.13, 1.14, 1.16.2, 2.3.1, 2.3.4, 2.4.5, 2.4.8, 2.5.3, 2.5.4, 2.5.6, 2.5.10, 2.6.4, 2.10.3, 3.1, 3.2, 3.3, 4.1.2, 4.2.2, B.4.2.2, B.4.2.9, E.5.2, E.7.2, Annex F (F1), Annex G (G1), and Annex H (4.5). The track changes version of this eighteenth edition should be consulted for the details of the changes made.

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

a) **Current technology and project management**

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

b) **Consensus**

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

For further details on the principle of "consensus", see 2.5.6.

c) **Discipline**

National Bodies need to ensure discipline with respect to deadlines and timetables in order to avoid long and uncertain periods of "dead time". Similarly, to avoid re-discussion, National Bodies have the responsibility of ensuring that their technical standpoint is established

taking account of all interests concerned at national level, and that this standpoint is made clear at an early stage of the work rather than, for example, at the final (approval) stage. Moreover, National Bodies need to recognize that substantial comments tabled at meetings are counter-productive, since no opportunity is available for other delegations to carry out the necessary consultations at home, without which rapid achievement of consensus will be difficult. National Bodies are encouraged to abstain if there is a lack of national consensus or Expert input on a specific ballot.

d) Cost-effectiveness

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

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

e) Terminology used in this document

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

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

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

JTAB	Joint Technical Advisory Board
JPC	Joint Project Committee
JTC	Joint Technical Committee
JWG	joint working group
TC	technical committee
SyC	Systems committee (IEC)
SC	Subcommittee
PC	project committee
WG	working group
PWI	preliminary work item
NP	new work item proposal
WD	working draft
CD	committee draft
DIS	draft International Standard (ISO)
CDV	committee draft for vote (IEC)
FDIS	final draft International Standard

PAS	Publicly Available Specification
TS	Technical Specification
TR	Technical Report

1 Organizational structure and responsibilities for the technical work

1.1 Role of the technical management board

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

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

NOTE 1 Explanations of the terms "new work item proposal", "committee draft", "enquiry draft" and "final draft International Standard" are given in Clause 2.

NOTE 2 For detailed information about the role and responsibilities of the ISO technical management board, see the Terms of reference of the TMB – <https://www.iso.org/committee/4882545.html> and for the IEC see http://www.iec.ch/dyn/www/f?p=103:47:0:::FSP_ORG_ID,FSP_LANG_ID:3228,25.

1.2 Advisory groups to the technical management board

1.2.1 A group having advisory functions in the sense of 1.1 g) may be established

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

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

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

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

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

1.2.4 Any document being prepared with a view to publication shall be developed in accordance with the procedural principles given in Annex A.

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

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

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

1.3 Joint technical work

1.3.1 Joint Technical Advisory Board (JTAB)

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

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

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

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

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

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

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

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

1.4 Role of the Chief Executive Officer

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

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

1.5 Establishment of technical committees

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

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

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

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

1.5.4 The proposal shall be made using the appropriate form (see Annex SJ in the Consolidated ISO Supplement to the ISO/IEC Directives and https://www.iec.ch/standardsdev/resources/forms_templates/ which covers

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

For additional informational details to be included in the proposals for new work, see Annex C. The form shall be submitted to the Office of the CEO.

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

Following its review, the Office of the CEO may decide to return the proposal to the proposer for further development before circulation for voting. In this case, the proposer shall make the changes suggested or provide justification for not making the changes. If the proposer does not make the changes and requests that its proposal be circulated for voting as originally presented, the technical management board will decide on appropriate action. This could include blocking the proposal until the changes are made or accepting that it be balloted as received.

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

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

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

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

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

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

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

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; abstentions are excluded when the votes are counted; and
 - 2) at least 5 National Bodies who voted in favour expressed their intention to participate actively,

and allocates the secretariat (see 1.9.1), or

- assigns the work to an existing technical committee, subject to the same criteria of acceptance.

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

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

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

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

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

For recommendations on scopes, see Annex J.

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

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

1.5.12 "Stand-by" – a committee is said to be in a "stand-by" status when it has no tasks on its work programme but retains its title, scope and secretariat so that it can be reactivated should a new task be assigned to it.

The decision to put a committee on stand-by or to reactivate it is taken by the technical management board on a proposal from the committee in question.

1.6 Establishment of subcommittees

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

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

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

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

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

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

1.7 Participation in the work of technical committees and subcommittees

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

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

- to participate actively in the work, with an obligation to vote on all questions formally submitted for voting within the committee, 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 committee have the right to vote on enquiry drafts (see 2.6) and on final draft International Standards (see 2.7).

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

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

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

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

1.7.3 A National Body may, at any time, begin or end membership or change its membership status in any committee in IEC by informing the Office of the CEO and the secretariat of the committee concerned, and in ISO by direct input via the Global Directory, subject to the requirements of 1.7.4 and 1.7.5.

Furthermore, a P-member may voluntarily downgrade to O-member if it consistently lacks expertise for votes at the committee level or to participate in working groups.

1.7.4 A committee secretariat shall notify the Office of the CEO if a P-member of that committee:

- 1) has been persistently inactive by failing to attend two successive committee meetings (in person, virtually or by correspondence) and failing to have any Expert(s) appointed to the technical work, or

2a) In IEC:

Has failed to vote on questions formally submitted for voting within the committee (see 1.7.1).

Note: abstentions are taken into account when evaluating P-Member participation

2b) In ISO:

has failed to vote on over 20 % (and at least 2) of the questions formally submitted for voting on the committee internal balloting (CIB) within the committee over one calendar year (see 1.7.1).

Upon receipt of such a notification, the Chief Executive Officer shall remind the National Body of its obligation to take an active part in the work of the committee. In the absence of a satisfactory response to this reminder within 4 weeks, the National Body shall without exception automatically have its status changed to that of O-member.

Even with the existence of a response within 4-weeks, should the member in question continue to be persistently inactive (see condition 1 above) up to and including the next plenary (or a minimum 6 months), the National Body shall without exception automatically have its status changed to that of O-member.

A National Body having its status so changed may, after a period of 12 months, indicate to the Office of the CEO that it wishes to regain P-membership of the committee, in which case this shall be granted.

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

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

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

1.8 Chairs of technical committees and subcommittees

1.8.1 Appointment

Chairs of technical committees shall be nominated by the secretariat of the technical committee and approved by the technical management board, for a maximum period of 6 years, or for such

shorter period as may be appropriate. Extensions are allowed, up to a cumulative maximum of 9 years.

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

For the nomination of a Chair, the secretariat may inform the P members of their candidate.

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

1.8.2 Responsibilities

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

The Chair of a committee shall

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

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

SC Chairs shall attend meetings of the parent committee as required and may participate in the discussion, but do not have the right to vote. In exceptional circumstances, if a Chair is prevented from attending, she/he shall delegate the Secretary/Committee Manager (or in ISO and IEC, another representative) to represent the subcommittee. In the case where no representative from the SC can attend, a written report shall be provided.

1.9 Secretariats of technical committees and subcommittees

1.9.1 Allocation

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

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

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

- a) has indicated its intention to participate actively in the work of that committee, 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 committee has been allocated to a National Body, the latter shall appoint a qualified individual as Secretary/Committee Manager (see D.1 and D.3).

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 committee.

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

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

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

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

- a) Working documents:
 - 1) Preparation of committee drafts, arranging for their distribution and the treatment of the comments received;
 - 2) Preparation of enquiry drafts and text for the circulation of the final draft International Standards or publication of International Standards;
 - 3) Ensuring the equivalence of the English and French texts, if necessary with the assistance of other National Bodies that are able and willing to take responsibility for the language versions concerned. (See also 1.11 and the respective Supplements to the ISO/IEC Directives);
- b) Project management
 - 1) Assisting in the establishment of priorities and target dates for each project;
 - 2) Notifying the names, etc. of all working group and maintenance team Convenors and Project Leaders to the Office of the CEO;
 - 3) Proposing proactively the publication of alternative documents or cancellation of projects that are running significantly overtime, and/or which appear to lack sufficient support;
- c) Meetings (see also Clause 4), including:
 - 1) Establishment of the agenda and arranging for its distribution;

- 2) Arranging for the distribution of all documents on the agenda, including reports of working groups, and indicating all other documents which are necessary for discussion during the meeting (see E.5);
- 3) Regarding the decisions (also referred to as resolutions) taken in a meeting:
 - ensuring that the decisions endorsing working groups recommendations contain the specific elements being endorsed;
 - making the decisions available in writing for confirmation during the meeting (see E.5); and
 - posting the decisions within 48 hours after the meeting in the committee's electronic folder.
- 4) Preparation of the minutes of meetings to be circulated within 4 weeks after the meeting;
- 5) Preparation of reports to the technical management board (TC secretariat), in the IEC within 4 weeks after the meeting, or to the parent committee (SC secretariat);
- 6) In case of unforeseen unavailability of the Secretary/Committee Manager at a meeting (if the Secretariat is unable to provide a replacement), an acting Secretary/Committee Manager may be appointed by the committee for the meeting.

d) Decisions

The committee secretariat shall ensure that:

- all resolutions are clearly drafted, reviewed, and presented;
- all decisions taken by the committee, whether at a plenary meeting or by correspondence, are documented and traceable through committee resolutions or numbered documents reporting the results of a committee decision;

e) Advising

Providing advice to the Chair, Project Leaders, and Convenors on procedures associated with the progression of projects.

In all circumstances, each secretariat shall work in close liaison with the Chair of its committee. The secretariat and the Chair are jointly responsible for the effective management of the committee.

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 committee shall update in conjunction with the Office of the CEO the record of the status of the membership of the committee.

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.

1.10 Project committees

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

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

Procedures for project committees are given in Annex K.

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

1.11 Editing committees

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

Such committees should comprise at least

- one technical Expert fluent in English and having an adequate knowledge of French;
- one technical Expert fluent in French and having an adequate knowledge of English;
- the Project Leader (see 2.1.8).

The Project Leader and/or Secretary/Committee Manager may take direct responsibility for one of the language versions concerned.

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

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

1.12 Working groups

1.12.1 Committees may establish, by decision of the committee, working groups for specific tasks (see 2.2, 2.4, 2.5 and 2.6). A working group operates by consensus, reports and gives

recommendations, if any, to its parent committee through a Convenor appointed by the parent committee.

Working group Convenors shall be appointed by the committee for up to three-year terms. Such appointments shall be confirmed by the National Body (or liaison organization). The Convenor may be reappointed for additional terms of up to three-years. There is no limit to the number of terms.

Responsibility for any changes of Convenors rests with the committee and not with the National Body (or liaison organization). In a case a WG Convenor resigns, the Secretary/Committee Manager shall launch a call to identify new candidates.

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

A working group comprises a restricted number of Experts individually appointed by the P-members, A-liaisons of the parent committee and C-liaison organizations, brought together to deal with the specific task allocated to the working group. The Experts act in a personal capacity and not as the official representative of the P-member or A-liaison organization (see 1.17) by which they have been appointed with the exception of those appointed by C-liaison organizations (see 1.17). However, it is recommended that they keep close contact with that P-member or organization in order to inform them about the progress of the work and of the various opinions in the working group at the earliest possible stage. A working group may also include representatives appointed by liaison committees (see 1.15.4).

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

Once the decision to set up a working group has been taken, P-members and A- and C-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, it shall ensure that a Convenor or an acting Convenor is appointed at the same time the WG is set up. The Convenor shall arrange for the first meeting of the working group to be held within 12 weeks. This information shall be communicated immediately after the committee's decision to the P-members of the committee and A- and C-liaison organizations, with an invitation to appoint Experts within 6 weeks. Additional projects may be assigned, where appropriate, to existing working groups.

1.12.2 The composition of the working group is defined in the ISO Global Directory (GD) or in the IEC Expert Management System (EMS) as appropriate. Experts not registered to a working group in the ISO GD or the IEC EMS respectively, shall not participate in its work. Convenors may invite a specific guest to participate in a single meeting and shall notify the guest's National Body of the invitation ahead of the meeting via the Office of the CEO (copying the Secretary/Committee Manager of the committee).

1.12.3 Persistently inactive Experts, meaning absence of contributions through attendance to working group meetings or by correspondence shall be removed, by the Office of the CEO at the request of the technical committee or subcommittee Secretary/Committee Manager, from working groups after consultation with the P-member.

1.12.4 On completion of its task(s) – normally at the end of the enquiry stage (see 2.6) of its last project – the working group shall be disbanded by decision of the committee, the Project Leader remaining with consultant status until completion of the publication stage (see 2.8).

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

1.12.6 Working groups should use current electronic means to carry out their work wherever possible. For transparency and traceability, the electronic platform provided by the Office of the CEO shall be used for circulation of WG documents and communication with members.

1.12.7 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 committee is interested. The task can include the development of any document. Committees who receive requests to establish JWG shall reply to such requests in a timely manner.

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

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

- the committee/organization having the administrative responsibility for the JWG or for project(s) assigned to the JWG;
- each committee participating in the JWG may appoint an individual to serve as a co-Convenor or the involved committees may decide to have one Convenor. The appointed (co-)Convenor(s) shall seek consensus from all Experts involved to organize the work and schedule meetings;
- the membership of the joint working group (membership is open to P-members, representatives appointed by liaison committees as per 1.15.4, category A liaisons of the respective committees, and C liaisons that wish to participate. The number of representatives may be limited to an equal number from each committee, if agreed by concerned committees).

The committee with the administrative responsibility for the project shall:

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

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

Subsequent major changes to a jointly developed project such as the change of scope, document, etc. shall be decided by all committees involved in the JWG.

For proposal stage (NP)

- For JWGs where all involved committees are administered by the same organization there shall be only one NP ballot. If a NP has already been launched or approved in one committee, it cannot be balloted again in another committee.
- For JWGs where the involved committees are administered by different organizations, there shall be an NP ballot in each organization.
- It is possible to establish a JWG at a later stage, in which case its administrative responsibility will be confirmed by the committees concerned. In the case of an ISO/IEC JWG, the committee that is yet to join the work will still need to launch an NP ballot.
- Once the joint work is agreed, the committee with the administrative responsibility informs ISO/CS or IEC/CO respectively, of its administrative responsibility and of the committees participating in the work.

- The other committees launch a call for Experts for participation in the JWG.

For preparatory stage (WD)

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

For committee stage (CD)

- The CD is circulated for review and comment by each committee.
- After the CD consultation, the (co-)Convenor(s) and the JWG shall address all the input received.
- The final CD requires consensus by all committees, as defined in the ISO/IEC Directives, Part 1.

For enquiry and approval ballots

- National Bodies are requested to consult all national mirror committees involved to define one position. A statement is included on the cover page to draw attention of National Bodies.
- For an ISO/IEC JWG, two enquiry/approval ballots are launched, i.e. one in each organization.
- After the enquiry ballot, the (co-)Convenor(s) and the JWG shall address all the input received

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

For JWGs administered separately by ISO and IEC, two DTS/DPAS/DTR ballots are launched, i.e.: one in each organization.

1.13 Groups having advisory functions within a committee

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

1.13.2 A proposal to establish such a group shall include recommendations regarding its constitution and terms of reference, including criteria for membership, 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 may include committee officers, individuals nominated by National Bodies (either individuals representing their own Expert opinion or individuals representing the interests of their National Body and representatives of liaison organizations. The committee shall approve the appointment of the Convenor, type of membership and the terms of reference prior to the establishment of the advisory group and nominations to it.

For Chair's advisory groups, consideration shall be given to the provision of equitable participation.

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

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

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

1.13.6 Such a group shall be disbanded once its specified tasks have been completed and agreed by the parent committee.

1.14 Ad hoc groups

Committees 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.

Members of ad hoc groups may include committee officers, individuals nominated by National Bodies (as appropriate, either individuals representing their own Expert opinion or individuals representing the interests of their National Body) and representatives of liaison organizations. The committee shall approve the appointment of the Convenor, type of membership, terms of reference and target date for completion of the work prior to the establishment of the ad hoc group and nominations to it.

The committee shall disband the ad hoc group when it has completed its work.

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.

Committees shall take an official decision on the establishment or removal of an internal liaison. Committees receiving requests for internal liaisons shall automatically accept such requests. A notification of this acceptance shall be forwarded to the Office of the CEO and the requesting committee.

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 committee may designate a Liaison Representative or Liaison Representatives, 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 Liaison Representatives shall be notified to the secretariat of the committee concerned, which shall communicate all relevant documents to the Liaison Representative(s) and to the secretariat of that committee. The appointed Liaison Representative shall make progress reports to the secretariat by which she/he has been appointed.

1.15.4 Such Liaison Representatives shall have the right to participate in the meetings of the committee whose work they have been appointed to follow but shall not have the right to vote. They may contribute to the discussion in meetings, including the submission of written comments, on matters within the competence of their own technical committee and based on feedback that they have collected from their own committee. They may also attend meetings of working groups of the committee, but their involvement is limited to contributing the viewpoint of their own technical committee on matters within its competence.

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 office of the CEO. As far as the study of new subjects by either organization is concerned, the office of CEO 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 Liaison Representatives designated by ISO or IEC shall have the right to participate in the discussions of the other organization's committee whose work they have been designated to follow and may submit written comments; they shall not have the right to vote.

They may also attend meetings of working groups of the technical committee or subcommittee, but only to contribute the viewpoint of their own technical committee on matters within its competence.

1.17 Liaison with other organizations

1.17.1 General requirements applicable to all categories of liaisons

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

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

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

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

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

Liaison organizations shall accept the requirements of 2.14 on patent rights.

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

1.17.2 Different categories of liaisons (Category A, B and C)

The categories of liaisons are:

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

NOTE 1 Category B is reserved for inter-governmental organizations.

- **Category C:** Organizations that make a technical contribution to and participate actively only in a specific working group.

The procedure for the establishment of liaisons is:

- The organization wishing to create a liaison shall send an application liaison form to the office of the CEO with copies to the committee officers and IEC CO Technical Officer or ISO CS Technical Programme Manager.
 - ISO application liaison form is available here:
<http://isotc.iso.org/livelink/livelink/Open/19409988>
 - IEC application liaison form is available here:
https://www.iec.ch/standardsdev/resources/forms_templates/

NOTE 2 Invariably the organization will have been in contact with the committee officers prior to submitting its application and in these cases the committee officers should ensure that the organization is aware of their obligations as given in 1.17.1 i.e. copyright, agreeing to ISO/IEC procedures including IPR, and patent rights.

- The Office of the CEO will confirm that the eligibility criteria have been fulfilled and then consult with the National Body where the organization making the application has its headquarters;
- In case of objection from the National Body where the organization making the application has its headquarters, the matter will be referred to the technical management board for decision;
- If there is no objection from the National Body where the organization making the application has its headquarters, the application will be sent to the committee Secretary/Committee Manager with a request to circulate it for vote.

1.17.3 Acceptance (Category A, B and C liaisons)

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

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

1.17.4 Eligibility

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

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

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

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

1.17.4.2 At the working group level (Category C liaisons)

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

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

This can include for example manufacturer associations, commercial associations, industrial consortia, user groups and professional and scientific societies. Liaison organizations shall be multinational (in their objectives and standards development activities) with individual, company or country membership and may be permanent or transient in nature.

1.17.5 Rights and obligations

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

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

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

1.17.5.2 At the working group level (Category C liaisons)

Category C liaison organizations have the right to participate as full members in a working group, maintenance team or project team (see 1.12.1) but not as Project Leaders or Convenors.

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

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

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

Table 1 – Liaison categories

Category	A	B	C
Purpose	To make an effective contribution to the work of the committee.	To be kept informed of the work of the committee.	To make a technical contribution to drafting standards in a Working Group.
Eligibility	– Not for profit – Legal entity – Membership based (worldwide or over a broad region) – Relevant competence and expertise – Process for stakeholder engagement and consensus decision-making (See clause 1.17.4.1 for full details)	<u>Intergovernmental Organizations only</u> – Not for profit – Legal entity – Membership based (worldwide or over a broad region) – Relevant competence and expertise – Process for stakeholder engagement and consensus decision-making (See clause 1.17.4.1 for full details)	– Not for profit – Relevant competence and expertise – Process for stakeholder engagement and consensus decision-making – (See clause 1.17.4.2 for full details)
Level	Committee	Committee	Working Group
Participation	Participate in committee meetings, access to documents, may appoint Experts to WGs and these Experts may serve as Convenors or Project Leaders.	To be kept informed of the work only (access to documents).	Full participation as a member of the WG (but cannot be Convenor or Project Leader).
Rights and obligations	No voting rights, but can comment (comments are given the same treatment as comments from member bodies). Can propose new work items (see clause 2.3.2).	No voting rights, but can comment (comments are given the same treatment as comments from member bodies). Cannot propose new work items.	Experts can attend committee meetings if expressly invited by the committee, but only as observers. Cannot propose new work items.

2 Development of International Standards

2.1 The project approach

2.1.1 General

The primary duty of a committee is the development and maintenance of International Standards. However, committees are also strongly encouraged to consider publication of intermediate documents as described in Clause 3.

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

2.1.2 Strategic business plan

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

a) taking into account the business environment in which it is developing its work programme;

- b) indicating those areas of the work programme which are expanding, those which have been completed, and those nearing completion or in steady progress, and those which have not progressed and should be cancelled (see also 2.1.9);
- c) evaluating revision work needed (see also the respective Supplements to the ISO/IEC Directives);
- d) giving a prospective view on emerging needs.

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

2.1.3 Project stages

2.1.3.1 Table 2 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 2 – Project stages and associated documents

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

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

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

2.1.4 Project description and acceptance

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

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

2.1.5 Programme of work

2.1.5.1 The programme of work of a committee comprises all projects allocated to that committee, including maintenance of published documents.

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

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

2.1.5.4 Each project in the programme of work shall be given a number (see IEC Supplements to the ISO/IEC Directives for document numbering at the IEC) and shall be retained in the programme of work under that number until the work on that project is completed or its cancellation has been agreed upon. During the development of the project, the committee may decide to subdivide its 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. The original project shall be cancelled after subdivision.

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

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

2.1.6 Target dates

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

- circulation of the first working draft (in the event that only an outline of a working document has been provided by the proposer of the new work item proposal – see 2.3);
- circulation of the committee draft ballot (if any);
- submission of the enquiry draft;
- submission of the final draft International Standard;
- publication (in agreement with the Office of the CEO).

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

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

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

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

2.1.7 Project management

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

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

2.1.8 Project Leader

For the development of each project, a Project Leader (the WG Convenor, a designated Expert or, if appropriate, the Secretary/Committee Manager) shall be appointed by the committee, taking into account the Project Leader nomination made by the proposer of the new work item proposal (see 2.3.4). A change of Project Leader for an active project shall be approved by the committee. It shall be ascertained that the Project Leader will have access to appropriate resources for carrying out the development work. The Project Leader shall act in a purely international capacity, divesting him- or herself of a national point of view. The Project Leader should be prepared to act as consultant, when required, regarding technical matters arising at the proposal stage through to the publication stage (see 2.5 to 2.8).

The secretariat shall communicate the name and address of the Project Leader, with identification of the project concerned, to the Office of the CEO.

2.1.9 Progress control

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

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

2.2 Preliminary stage

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

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

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

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

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

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

2.2.5 Before progressing to the preparatory stage, all such items shall be subject to approval in accordance with the procedures described in 2.3.

2.3 Proposal stage

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

- a new standard;
- a new part of an existing standard;
- a Technical Specification (see 3.1).

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

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

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

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

The proposers of the new work item proposal shall

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

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

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

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

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

See Annex K for new work item proposals for project committees.

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

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

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

Votes shall be returned within 12 weeks.

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

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

2.3.5 Acceptance requires

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

Individual committees may increase this minimum requirement of nominated Experts.

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

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

The voting results will be reported to the ISO Central Secretariat (using Form 6) or the IEC Secretariat (using Form RVN) within 4 weeks after the close of the ballot.

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

2.4 Preparatory stage

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

2.4.2 When a new project is accepted the Project Leader shall work with the Experts nominated by the P-members during the approval [see 2.3.5 a)].

2.4.3 The secretariat may propose to the committee, either at a meeting or by correspondence, to create a working group the Convenor of which will normally be the Project Leader.

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

If there is consensus that a scope requires expansion or significant technical changes this shall be confirmed by committee decision with a 2/3rd majority.

2.4.4 In responding to the proposal to set up a working group those P-members having agreed to participate actively [see 2.3.5 a)] shall each confirm their technical Expert(s). Other P-members or A- or C- 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 related to the project. For projects registered directly under the committee, the Project Leader reports to the committee officers. For projects registered under a WG, the Project Leader reports to the Convenor of the WG. Work continues until consensus is reached on the proposed text. The Project Leader may invite a member of the working group to act as its Secretary.

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

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

2.4.7 For time limits relating to this stage, see 2.1.6.

2.4.8 The preparatory stage ends when a working draft is available for circulation to the members of the committee 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 TS (see 3.1) or as a PAS (see 3.2) to respond particular market needs.

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 committee for consideration, with a clear indication of the latest date for submission of replies.

A period of 8, 12 or 16 weeks as agreed by the committee 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.

2.5.3 No more than 4 weeks after the closing date for submission of replies, for each committee draft the secretariat shall prepare the compilation of comments and arrange for its circulation to all P-members and O-members of the committee. When preparing this compilation, the secretariat shall indicate its proposal, made in consultation with the Chair of the committee and the Project Leader, for proceeding with the project, either

- a) to discuss the committee draft and comments at the next meeting of the appropriate group, which would typically be the working group to which the project is assigned, as determined by the committee for this purpose, or
- b) to circulate a revised committee draft for consideration, or
- c) to register the committee draft or revised committee draft for the enquiry stage (see 2.6). In the case of Technical Specification, Publicly Available Specification or Technical Report there is no enquiry stage (See 3.1.1, 3.2.1 and 3.3.1 for the approval and publication).

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 (either the committee draft or revised committee draft prepared by the secretariat) to the Office of the CEO for registration for the enquiry stage (case c).

Committees are required to respond to all comments received.

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

2.5.4 If a committee draft is considered at a meeting either

- as per case a) in clause 2.5.3 or,
- in case of disagreement with the secretariat's proposal as per case b) or c) in clause 2.5.3 by at least two P-members,

but agreement on it is not reached on that occasion, then a further committee draft incorporating decisions taken at the meeting shall be distributed within 12 weeks for consideration. A period of 8, 12 or 16 weeks as agreed by the committee 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 committee as judged by the Chair has been obtained or a decision to abandon or defer the project has been made.

Consideration of successive committee drafts should be focused on resolving the comments raised by National Bodies and liaison organizations for the purpose of achieving consensus of the P-members of the committee (see 2.5.2).

2.5.6 The decision to circulate an enquiry draft (see 2.6.1) shall be taken by the Chair of the committee on the basis of the consensus among the P-members.

It is the responsibility of the Chair of the committee, in consultation with the Secretary/Committee Manager of the committee and, if necessary, the Project Leader, to judge whether there is consensus bearing in mind the definition of consensus given in ISO/IEC Guide 2:2004.

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

NOTE Consensus need not imply unanimity."

The following applies to the definition of consensus:

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

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

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

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

Those parties with sustained oppositions may avail themselves of appeals mechanisms as detailed in Clause 5.

In case of doubt concerning consensus on a revised committee draft, approval by a two-thirds majority of the P-members of the committee voting may be deemed to be sufficient for the revised committee draft to be accepted for registration as an enquiry draft; however, every attempt shall be made to resolve negative votes. In the case of Technical Specification, Publicly Available Specification or Technical Report there is no enquiry stage (See 3.1.1, 3.2.1 and 3.3.1 for the approval and publication).

The secretariat of the committee 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, the committee 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 parent committee secretariat in the case of a subcommittee) within a maximum of 16 weeks.

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 with an international standard project cannot all be resolved within the appropriate time limits, committees may consider publishing an intermediate document in the form of a Technical Specification (see 3.1) pending agreement on an International Standard.

2.6 Enquiry stage

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

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

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

At the end of the voting period, the Chair and secretariat of the committee will have access to 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/Committee Manager, in consultation with the Chair of the committee 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

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

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

Comments received after the normal voting period are submitted to the committee 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, an appropriate group of the committee, which would typically be the working group to which the project is assigned, will at a meeting address any comments received and prepare as needed a revised version. The group will advise the Chair on the possible courses of action. The Chair of the committee, in cooperation with its secretariat and the Project Leader or working group Convenor, and in consultation with the Office of the CEO, shall take one of the following courses of action:

- a) when the approval criteria of 2.6.3 are met and no technical changes are to be included, to proceed directly to publication (see 2.8);
- b) when the approval criteria of 2.6.3 are met, but technical changes are to be included:
 - 1) to register the revised enquiry draft, as modified, as a final draft international standard, or
 - 2) to circulate the revised enquiry draft for voting (see 2.6.1). The revised enquiry draft will be circulated for a voting period of 8 weeks. Committees are limited to only one revised enquiry draft where the approval criteria are met in this case.
- c) when the approval criteria of 2.6.3 are not met:
 - 1) to circulate the revised enquiry draft for 8 weeks voting (see 2.6.1), or
 - 2) to circulate the revised committee draft for comments, or
 - 3) to circulate a revised draft as a DTS or DPAS, or
 - 4) to cancel the project, subject to decision by the committee.

NOTE In case 3), the project shall start at the approval stage (i.e.: DTS or DPAS).

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

- a) show the result of the voting;
- b) state the decision of the Chair of the committee;

- c) reproduce the text of the comments received; and
- d) include the observations of the secretariat of the committee on each of the comments submitted.

Every attempt shall be made to resolve negative votes.

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

Committees are required to respond to all comments received.

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

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

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

2.6.7 For time limits relating to this stage, see 2.1.6.

2.6.8 The enquiry stage ends with the registration, by the Office of the CEO, of the text for circulation as a final draft International Standard or publication as an International Standard, in the case of 2.6.4 a) and b).

2.7 Approval stage

2.7.1 At the approval stage, the final draft International Standard (FDIS) shall be distributed by the Office of the CEO within 12 weeks to all National Bodies for a 8-week vote (6 weeks in IEC).

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.

A National Body may submit comments on any FDIS vote.

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.

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

2.7.4 The secretariat of the committee 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 All comments received will be retained for the next review and will be recorded on the voting form as "noted for future consideration". However, the Secretary/Committee Manager along with the Office of the CEO may seek to resolve obvious editorial errors. Technical changes to an approved FDIS are not allowed.

At the end of the voting period, the result of voting, indicating either the formal approval by National Bodies to issue the International Standard or formal rejection of the final draft International Standard, are available to all National Bodies.

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

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

The committee shall decide to:

- resubmit a modified draft as a committee draft, enquiry draft or, in ISO and JTC 1, final draft International Standard; or
- publish a Technical Specification or a Publicly Available Specification (see 3.1 and 3.2); or
- 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), or with the document being referred back to the committee.

2.8 Publication stage

2.8.1 Within 6 weeks, the Office of the CEO shall correct any errors indicated and validated by the secretariat of the committee, and publish and distribute the International Standard.

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

2.9 Maintenance of documents

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

2.10 Corrections and amendments

2.10.1 General

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

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

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

2.10.2 Corrections

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

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

Suspected errors shall be brought to the attention of the secretariat of the committee concerned. After confirmation by the secretariat and Chair, if necessary, in consultation with the Project Leader and P-members of the committee, 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 committee, and bearing in mind both the financial consequences to the organization and the interests of users of the publication, whether to publish a technical corrigendum (in IEC only) and/or a corrected version of the existing edition of the publication (see also 2.10.4). The secretariat of the committee will then inform the members of the committee of the outcome.

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

2.10.3 Amendments

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

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

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

Before the approval stage (2.7), the committee may decide, in consultation with the Chief Executive Officer, bearing in mind both the financial consequences and the interests of users of the International Standard, to ballot (2.7) and publish 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).

No more than 2 separate amendments shall be published modifying a current International Standard. The development of a third such document shall result in publication of a new edition of the International Standard.

2.11 Maintenance agencies

When a committee has developed a document 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 committee has developed a document that includes registration provisions, a registration authority is required. Rules concerning the designation of registration authorities are given in Annex H.

2.13 Copyright

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

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

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

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

2.14 Reference to patented items (see also Annex I)

2.14.1 If, in exceptional situations, technical reasons justify such a step, there is no objection in principle to preparing a document 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 document are such that there are no alternative means of compliance. The rules given below shall be applied.

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

- a) The proposer of a proposal for a document shall draw the attention of the committee to any patent rights of which the proposer is aware and considers to cover any item of the proposal. Any party involved in the preparation of a document shall draw the attention of the committee to any patent rights of which it becomes aware during any stage in the development of the document.
- b) If the proposal is accepted on technical grounds, the proposer shall ask any holder of such identified patent rights for a statement that the holder would be willing to negotiate worldwide licences under his/her 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 Secretariat as appropriate. 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 council board as appropriate.
- c) A document shall not be published until the statements of the holders of all identified patent rights have been received, unless the council board concerned gives authorization.

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

3 Development of other documents

3.1 Technical Specifications

3.1.1 A committee may decide to prepare and publish a Technical Specification when:

- the subject in question is still under development, or
- the committee has developed a document it wishes to publish as per 2.6.4 and 2.7.7.

A Technical Specification may contain normative provisions.

3.1.2 The committee may decide for new projects to follow the procedure set out in 2.3 to initiate the development of a Technical Specification. The required stages for the preparation of a Technical Specification shall be the preparatory stage as set out in 2.4 and the approval stage for publication (8 weeks DTS ballot). Committees may also choose to use an optional committee stage as set out in 2.5. The decision to publish the resulting document as a Technical Specification shall require a two-thirds majority vote of the committee P members voting. If technical changes are required following the ballot, a subsequent ballot shall be required to approve the revised draft.

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

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

3.2 Publicly Available Specifications (PAS)

3.2.1 A committee may decide to prepare and publish a Publicly Available Specification when there is an urgent market need and:

- there is a need for a preliminary document prior to the development of a full International Standard, or
- the committee wishes to adopt a published document from an external organization, which in the IEC may result in a dual logo publication with the external organization, or
- the committee has developed a document it wishes to publish as per 2.6.4 and 2.7.7.

A Publicly Available Specification may contain normative provisions. A Publicly Available Specification is not allowed to conflict with an existing International Standard. Competing Publicly Available Specifications on the same subject are permitted.

3.2.2 When a Publicly Available Specification is proposed, the Chair may recommend that an optional committee decision by simple majority vote of the committee P members voting is necessary to initiate the process. While a formal NP ballot is not required, the NP form may provide useful information for the committee P-members to consider when deciding to initiate a Publicly Available Specification. In the case of a Publicly Available Specification resulting from 2.6.4 or 2.7.7, the original NP form for the International Standard should provide such information.

In ISO, a committee decision to initiate the development of a Publicly Available Specification requires a simple majority decision of the P-members voting. The committee manager shall

ensure that the working group that will develop the project shall comply with the requirement for at minimum 4 or 5 P-members actively participating.

The mandatory stage for a Publicly Available Specification is the approval stage for publication (8 weeks DPAS ballot). Committees may also choose to use an optional preparatory stage as set out in 2.4 or an optional committee stage as set out in 2.5. The decision to publish the document as a Publicly Available Specification shall require a simple majority vote of the committee P members voting. If changes other than editorial changes are required following the ballot, a subsequent ballot shall be required to approve the revised draft.

3.2.3 A PAS shall remain valid for an initial maximum period of 3 years in ISO and 2 years in IEC. The validity may be extended for a single period up to a maximum of 3 years in ISO and 2 years in IEC. During the validity period, withdrawal of a PAS is decided by the committee. At the end of the validity period, the PAS shall be transformed with or without change into another type of normative document or shall be automatically withdrawn.

3.3 Technical Reports

3.3.1 A committee may decide to publish a Technical Report when it wishes:

- to publish information that is not normally published as an International Standard (this may include, for example, information obtained from a survey carried out among the National Bodies, information on work in other international organizations or information on the "state of the art" in relation to standards of National Bodies on a particular subject).
- to provide a rationale for specific requirements in a related International Standards.

The document shall be entirely informative in nature containing no requirements, recommendations or permissions 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.

3.3.2 The committee may decide to initiate the development of a Technical Report by simple majority decision of the P-members. The required stages for the preparation of a Technical Report shall be the preparatory stage as set out in 2.4 and the approval stage for publication (8 weeks DTR ballot). Committees may also choose to use an optional committee stage as set out in 2.5. The decision to publish the resulting document as a Technical Report shall require a simple majority vote of the P members voting of the committee. If changes other than editorial changes are required following the ballot, a subsequent ballot shall be required to approve the revised draft. When the P members of a committee have agreed upon the publication of a Technical Report, the draft report shall be submitted electronically by the secretariat of the committee to the Office of the CEO within 16 weeks for publication.

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

In ISO, Technical Reports are not subject to a review process.

4 Meetings

4.1 General

4.1.1 National Bodies are reminded that they are not permitted to charge delegates/Experts any sort of participation fee, nor require accommodations at specific hotels or hotel rates for any meetings of technical committees, subcommittees, working groups, maintenance and project teams. The basic meeting facilities shall be funded entirely by resources from a National Body and/or voluntary sponsors. For more information in IEC, see Meeting Guide

(http://www.iec.ch/members_experts/refdocs/iec/IEC_Meeting_Guide_2012.pdf) and for ISO, see Annex SF for further details.

4.1.2 Technical committees and subcommittees shall use current electronic means to carry out their work (for example, e-mail, groupware and teleconferencing) wherever possible. A meeting of a committee 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.

4.1.3 The technical committee secretariat should look ahead with a view to drawing up, in consultation with the Office of the CEO, a 2-year programme of meetings of the technical committee and its subcommittees taking account of the programme of work.

4.1.4 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.

4.1.5 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 committee 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 Chair and the secretariat of the committee 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 committee 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 committee for the purpose of attending the meeting.

The hosting organizations are advised to verify and provide information on access means to meeting facilities. As per 4.2.1.3, a document describing logistics for the meeting shall be circulated. As well as location and transport information, it should provide details of the accessibility of meeting facilities.

During the planning process, there should be a request for notification of specific accessibility requirements. The hosting body should make its best efforts to satisfy these requirements.

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

NOTE All new work item proposals must be approved by correspondence (in ISO: committee internal ballot – CIB) see 2.3.4.

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

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

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

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

4.2.2 Working group meetings

4.2.2.1 A working group may meet in either virtual, hybrid or face-to-face mode. For a virtual meeting, the advance notice shall be made available a minimum of 4 weeks in advance of the meeting.

When a face-to-face or hybrid 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.

The Working Group leadership should ensure that everything reasonable is done to enable Experts to actively participate.

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

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

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

4.3 Languages at meetings

While the official languages are English, French and Russian, meetings are conducted in English by default.

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

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

4.4 Cancellation of meetings

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

5 Appeals

5.1 General

5.1.1 National Bodies have the right of appeal

- a) to the parent technical committee on a decision of a subcommittee;
- b) to the technical management board on a decision of a technical committee;
- c) to the council board on a decision of the technical management board,

within 12 weeks in ISO and 8 weeks in IEC of the decision in question.

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

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

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

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

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

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

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

5.2 Appeal against a subcommittee decision

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

5.2.2 Upon receipt, the secretariat of the parent technical committee shall advise all its P-members of the appeal and take immediate action, by correspondence or at a meeting, to consider and decide on the appeal, consulting the Chief Executive Officer in the process.

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

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

5.3 Appeal against a technical committee decision

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

- an appeal arising out of 5.2.3 above, or
- an appeal against an original decision of a technical committee.

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

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

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

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

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

5.4 Appeal against a technical management board decision

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

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

The council board shall make its decision within 12 weeks.

5.5 Progress of work during an appeal process

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

ISO/IEC ANNEXES

Annex A (normative)

Guides

A.1 Introduction

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

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

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

A.2 Proposal stage

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

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

A.3 Preparatory stage

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

A.4 Committee stage

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

A.5 Enquiry stage

A.5.1 The Office of the CEO shall circulate the English text of the revised draft Guide to all National Bodies for an 8-week period for translation in French and other languages and for preparation prior to 12-week vote.

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

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

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

A.5.3 If a draft Guide is not approved, or if it is approved with comments the acceptance of which would improve consensus, the Chair of the committee or group responsible for the project may decide to submit an amended draft for a 8-week vote. The conditions for acceptance of the amended draft are the same as in A.5.2.

A.6 Publication stage

The publication stage shall be the responsibility of the Office of the CEO of the organization to which the committee or group responsible for the project belongs.

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

A.7 Withdrawal of a Guide

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

Annex B (normative)

ISO/IEC procedures for liaison and work allocation

B.1 Introduction

By the ISO/IEC Agreement of 1976 ¹, ISO and IEC together form a system for international standardization as a whole. For this system to operate efficiently, the following procedures are agreed for coordination and allocation of work between the technical committees and subcommittees of both organizations.

B.2 General considerations

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

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

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

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

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

B.3 Establishing new technical committees

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

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

¹ 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 committee 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 office of the CEO. The requesting organization shall specify the Mode of cooperation (see B.4.2.2).

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. 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 liaison representatives from the other. Such liaison representatives should have the right to intervene in the debate but have no right to vote. The full flow of information is oriented through this liaison.

Mode 5 – Integrated liaison

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

Joint Working Groups between technical committees of the two organizations shall operate in accordance with 1.12.6.

For all the modes listed above, any change to the mode of cooperation shall be by mutual agreement.

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

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

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

B.4.2.6 For standards developed under the Mode 5 – Integrated liaison, the committee, enquiry and approval stages shall be carried out in parallel in both ISO and IEC in accordance with the rules of the organization with the administrative responsibility. 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 document 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 with 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 document may be published as a single logo document 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 document and owns the copyright of the document. The document carries the logo of both organizations and may be sold by both organizations. The foreword of the International Standard will identify all the committees responsible for the development. For those standards where the committee with the administrative responsibility is in the IEC, then the foreword will also give the ISO voting

results. ISO-lead documents are assigned numbers from 1 to 59999. IEC-lead documents are assigned numbers from 60000 to 79999. In the case of multi-part standards, some parts being under ISO responsibility and some being under IEC responsibility, a number in the 80000 series is assigned (e.g. ISO 80000-1, IEC 80000-6).

Table B.1 – Summary table

	IEC lead	ISO lead
Publisher	IEC	ISO
Numbering range	60000 to 79999	1 to 59999
Numbering range series standards with either IEC or ISO lead	80000	80000
Copyright	IEC	ISO
Logo(s)	IEC and ISO	ISO and IEC
Sold by	IEC and ISO	ISO and IEC
Foreword	Includes ISO voting results	N/A

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

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

B.4.3 Cooperation of secretariats

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

Annex C

(normative)

Justification of proposals for the establishment of standards

C.1 General

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

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

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

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

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

C.2 Terms and definitions

C.2.1

proposal for new work

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

C.2.2

proposal for a new field of technical activity

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

C.2.3

proposal for a new work item

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

C.3 General principles

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

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

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

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

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

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

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

C.4.2 Title

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

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

EXAMPLE 2 (proposal for a new work item) "Electrotechnical products – Basic environmental testing procedures".

C.4.3 Scope

C.4.3.1 For new fields of technical activity

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

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

C.4.3.2 For new work items

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

EXAMPLE 1

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

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

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

EXAMPLE 2

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

Excluded:

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

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

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

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

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

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

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

In the case of proposals for new fields of technical activity, this may be provided under C.4.4.

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

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

C.4.7 Relation to and impact on existing work

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

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

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

C.4.8 Relevant country participation

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

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

C.4.9 Cooperation and liaison

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

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

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

C.4.10 Affected stakeholders

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

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

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

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

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

C.4.12 Leadership commitment

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

C.4.12.2 In the case of a proposal for new work item, the proposer shall also nominate a Project Leader.

C.4.13 Purpose and justification

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

C.4.13.2 If a series of new work items is proposed the purpose and the justification of which is common, a common proposal may be drafted including all elements to be clarified and enumerating the titles and scopes of each individual item.

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

- A simple and concise statement describing the business, technological, societal or environmental issue that the proposal seeks to address, preferably linked to the Strategic Business Plan of the concerned ISO or IEC committee.
- Documentation on relevant global metrics that demonstrate the extent or magnitude of the economic, technological, societal or environmental issue, or the new market. This may include an estimate of the potential sales of the resulting standard(s) as an indicator of potential usage and global relevance.

- Technological benefit – a simple and concise statement describing the technological impact of the proposal to support coherence in systems and emerging technologies, convergence of merging technologies, interoperability, resolution of competing technologies, future innovation, etc.
- Economic benefit – a simple and concise statement describing the potential of the proposal to remove barriers to trade, improve international market access, support public procurement, improve business efficiency for a broad range of enterprises including small and medium sized ones, and/or result in a flexible, cost-effective means of complying with international and regional rules/conventions, etc. A simple cost/benefit analysis relating the cost of producing the document(s) to the expected economic benefit to businesses worldwide may also be helpful.
- Societal benefit(s) – a simple and concise statement describing any societal benefits expected from the proposed document(s).
- Environmental benefit(s) – a simple and concise statement describing any environmental or wider sustainability benefits expected from the proposed document(s).
- A simple and concise statement clearly describing the intended use(s) of the proposed document(s), for example, whether the document is intended as requirements to support conformity assessment or only as guidance or recommended best practices; whether the document is a management system standard; whether the document is intended for use or reference in technical regulation; whether the document is intended to be used to support legal cases in relation to international treaties and agreements.
- A simple and concise statement of metrics for the committee to track in order to assess the impact of the published document over time to achieve the benefits to stakeholders documented under C.4.10 above.
- A statement assessing the prospect of the resulting document(s) being compliant with, for the IEC, the IEC Global Relevance Policy: http://www.iec.ch/members_experts/refdocs/ac_cl/AC_200817e_AC.pdf and for ISO, with ISO's Global Relevance Policy http://www.iso.org/iso/home/standards_development/governance_of_technical_work.htm and the ISO/TMB recommendations (see NOTE below) regarding sustainable development and sustainability, where relevant.

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

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

Annex D (normative)

Resources of secretariats and qualifications of Secretaries/Committee Managers

D.1 Terms and definitions

D.1.1

secretariat

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

D.1.2

Secretary/Committee Manager

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

D.1.3

assistant Secretary/Committee Manager

individual appointed by the secretariat to assist the Secretary/Committee Manager for the management of the technical and administrative services provided

Note 1 to entry: One or more assistant Secretaries/Committee Managers may be appointed by the secretariat to have specific secretariat roles.

D.2 Resources of a secretariat

A National Body to which a secretariat has been assigned shall recognize that, no matter what arrangements it makes in its country to provide the required services, it is the National Body itself that is ultimately responsible for the proper functioning of the secretariat. National Bodies undertaking secretariat functions shall become party to the ISO Service Agreement or IEC Basic Agreement, as appropriate.

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

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

International Standards, national standards and/or related documents in the field under consideration;

- k) access by the Secretary/Committee Manager, 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/her representative to the first meeting of a technical committee, to meetings of technical committees with new secretariats, and to any committee 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/Committee Manager

The individual appointed as Secretary/Committee Manager shall

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

It is recommended that newly appointed Secretaries/Committee Managers 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.

D.4 Requirements of an assistant Secretary/Committee Manager

The individual(s) appointed as assistant Secretary/Committee Manager shall

- a) have a defined role in supporting the Secretary/Committee Manager and this role shall be defined by the secretariat;
- b) possess the knowledge and skills necessary for this defined role, ideally equal to those identified in D.3, but may be a subset of these requirements depending upon the role assigned;
- c) have the equivalent authority as the Secretary/Committee Manager in the performance of the duties associated with the defined role;
- d) be appointed taking into consideration increasing the gender and geographic diversity of the management team.

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 publish documents in 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 are in English by default.

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

In IEC, a definitive language of development for each document shall be designated in the Foreword. Specific exceptions apply to the IEV and/or database standards.

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 document 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, clause on "Language versions").

This may be done

- by the secretariat or, under the latter's responsibility, with outside assistance, or

- by the editing committee of the responsible committee, or
- by National Bodies whose national language is English or French and under an agreement concluded between those National Bodies and the secretariat concerned.

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

E.4 Other publications developed by technical committees

Other publications may be issued in one official language only.

E.5 Documents for technical committee and subcommittee meetings

E.5.1 Drafts and documents referred to the agenda

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

a) Draft agendas

Draft agendas are prepared and distributed in the language(s) of the meeting (English by default) by the responsible secretariats.

b) Committee drafts referred to in the agenda

It is desirable that versions of the committee drafts referred to in the agenda will be available for the meeting in the language(s) of the meeting (English by default).

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

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

E.5.2 Documents prepared and circulated during a meeting

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

a) Resolutions adopted during the meeting

An ad hoc drafting committee may be formed at the beginning of each meeting to support the Secretary/Committee Manager in the drafting and/or reviewing of resolutions and, whenever possible, should include one or more delegates fluent in English and/or French.

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

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

E.5.3 Documents prepared and circulated after a meeting

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

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

National Bodies whose national language is neither English nor French may translate any documents circulated by secretariats into their own national language in order to facilitate the

study of those documents by the Experts of their country or to assist the delegates they have appointed to attend the meetings of the technical committees and subcommittees.

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

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

E.7 Technical meetings

E.7.1 Purpose

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

E.7.2 Interpretation of debates into English and French

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

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

Care should also be taken that delegates who are not fluent in English or French can follow the meeting to a sufficient extent.

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

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

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

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

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

- a) the decision taken on one subject should be announced in both languages before passing to the next subject;
- b) whenever a change to an existing text is approved in one language, time should be allowed for delegates to consider the effect of this change on the other language version;

- c) a summary of what has been said should be provided in the other language if a delegate so requests.

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

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

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

Annex F (normative)

Options for development of a project

F.1 Simplified diagram of options

Project stage	Normal procedure	Draft submitted with proposal	"Fast-track procedure" ^a	Technical Specification ^b	Technical Report ^c	Publicly Available Specification ^d
Proposal stage (see 2.3 for IS and 3. for TR, TS, PAS)	Acceptance of proposal	Acceptance of proposal	Acceptance of proposal ^a	Acceptance of proposal	Acceptance of proposal	Acceptance of Proposal ^g
Preparatory stage (see 2.4)	Preparation of working draft	<i>Study by working group^e</i>		Preparation of draft	Preparation of draft	Preparation of draft
Committee stage (see 2.5)	Development and acceptance of committee draft	<i>Development and acceptance of committee draft^e</i>		<i>Development and acceptance of committee draft</i>	<i>Development and acceptance of committee draft</i>	<i>Development and acceptance of committee draft</i>
Enquiry stage (see 2.6 and in IEC, IEC Supplement E.3.1)	Development and acceptance of enquiry draft	Development and acceptance of enquiry draft	Acceptance of enquiry draft	Approval of DTS	Approval of DTR	Approval of DPAS
Approval stage (see 2.7 for IS and 3. for TS, TR and PAS)	<i>Approval of FDIS^f</i>	<i>Approval of FDIS^f</i>	<i>Approval of FDIS^f</i>			
Publication stage (see 2.8 for IS and 3. for TS, TR and PAS)	Publication of International Standard	Publication of International Standard	Publication of International Standard	Publication of Technical Specification	Publication of Technical Report	Publication of PAS

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

^a See F.2.

^b See 3.1.

^c See 3.3.

^d See 3.2.

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

^f May be omitted if approval criteria of 2.6.3 are met and no technical changes are to be included.

^g See ISO and IEC Supplements for details on proposals for PAS.

F.2 "Fast-track procedure"

F.2.1 Proposals to apply the fast-track procedure may be made as follows.

F.2.1.1 The Committee Secretariat, any P-member or category A liaison organization of a concerned committee may propose that an **existing document 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 document for the fast-track procedure are a matter for each proposer to decide.

F.2.1.2 An international standardizing body recognized by the council board may propose that a **document 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 committee, that a **draft document developed by that organization** be submitted for vote as an enquiry draft within that committee.

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, and advise the organization that the ISO/IEC intellectual property policies shall apply to the proposed document, see in particular 2.13 and 2.14;
- 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. In cases where a relevant committee is identified, the proposal, with rationale for using the Fast Track route, shall be circulated for awareness to the committee prior to the enquiry vote. Where no technical committee exists competent to deal with the subject of the document in question, the Chief Executive Officer shall refer the proposal to the technical management board, which may request the Chief Executive Officer to submit the document to the enquiry stage and to establish an ad hoc group to deal with matters subsequently arising;
- c) ascertain that there is no evident contradiction with other International Standards;
- d) distribute the proposed document as an enquiry draft (F.2.1.1 and F.2.1.3) in accordance with 2.6.1, or as a final draft International Standard (case F.2.1.2) in accordance with 2.7.1, indicating (in cases F.2.1.1 and F.2.1.3) the technical committee/subcommittee to the domain of which the proposed document belongs.

F.2.3 The period for voting and the conditions for approval shall be as specified in 2.6 for an enquiry draft and 2.7 for a final draft International Standard. In the case where no technical committee is involved, the condition for approval of a final draft International Standard is that not more than one-quarter of the total number of votes cast are negative.

F.2.4 If, for an enquiry draft, the conditions of approval are met, the draft document shall progress in accordance with 2.6.4. 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).

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 document 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 document are required.

Annex G (normative)

Maintenance agencies

G.1 A committee 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/SMB decision may be taken in advance of the publication of the International Standard.

G.2 The ISO/TMB or IEC 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 committee 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 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 Board.

G.6 Any charges for services provided by a maintenance agency shall be authorized by the council board.

Annex H (normative)

Registration Authority ("RA") Policy

H.1 Scope

H.1.1 A number of International Standards developed by ISO and IEC technical committees require the assignment of unique Registration Elements and describe the methodology for the assignment of these Elements. The Registration Elements themselves are not part of the document but are assigned by an appointed RA, who also maintains an accurate register of the Registration Elements that have been assigned. The RA is a competent body with the requisite infrastructure that ensures the effective allocation of these Registration Elements and any other RA responsibilities that are described in the RA Standard. These bodies are designated by ISO or IEC to serve as the sole RA for particular standards, which creates a de facto monopoly situation.

H.1.2 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.1.3 The technical management board designates registration authorities in connection with International Standards on the proposal of the technical committee concerned.

H.1.4 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.1.5 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.1.6 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.

H.2 Compliance

Where the Office of the CEO becomes aware of an RA Standard under development or under revision that has not followed this Policy, it shall stop the publication process to allow time to implement this Policy before the RA Standard is published. For this reason, committees are encouraged to make the ISO Technical Program Manager (TPM) or the IEC Technical Officer aware of a project requiring an RA as early in the development process as possible to avoid delays in publication.

H.3 Definitions

H.3.1 RA Standard: A standard for which an RA is providing the Registration Services.

H.3.2 Registration Services or RA Services: Services provided by the RA in the implementation of the RA Standard and which shall be described in the RA Standard.

H.3.3 Registration Authority ("RA"): Entity appointed by ISO or IEC to fulfil the Registration Services in an RA Standard.

H.3.4 Registration Agencies: Third parties (e.g. national or regional sub-entities) to which the RA may delegate some aspects of the Registration Services. Even when delegated to Registration Agencies, the Registration Services remain under the overall responsibility of the RA.

H.3.5 Registration Authority Agreement ("RAA"): Agreement based on the RAA template signed by the RA and the ISO Secretary-General on behalf of ISO or the IEC Secretary-General on behalf of IEC, which details the functions, roles and legal obligations of the parties involved.

H.3.6 Registration Elements: Unique identifiers or identifier code components, the methodology for which is described in the RA Standard but which themselves are not part of the RA Standard.

H.3.7 Technical Programme Managers (TPM): Individual within ISO/CS assigned to work with a given committee.

H.3.8 Technical Officer (TO): Individual within IEC/CO assigned to work with a given committee.

H.4 Procedure

H.4.1 Chronology

This Policy addresses the various aspects of an RA in the order of the life cycle of a typical RA noting that some stages may be done in parallel. Each stage is addressed as follows:

- Declaring the need for an RA (H.4.2)
- Drafting an RA Standard (H.4.3)
- Selecting an RA (H.4.4)
- Appointing an RA (H.4.5)
- Signing an RAA (H.4.6)
- Implementing an RA Standard (H.4.7)
 - Role of the RA (H.4.7.1)
 - Role of the Committee (H.4.7.2)
 - Role of the Office of the CEO (H.4.7.3)
- Terminating an RA (H.4.8)

H.4.2 Declaring the need for an RA

A committee shall determine that an RA is required for a document as soon as the draft is sufficiently mature to make this decision, whether this is during the creation of a new document or the revision of an existing document involving material changes to its implementation. The committee confirms its decision that a document needs an RA for its implementation by way of a resolution.

The committee secretariat completes the RA Confirmation ("RAC") Form (See Annex SJ of ISO Supplement) and submits it to the TPM or TO as soon as the resolution is approved.

H.4.3 Drafting an RA Standard

The following shall be included in all RA Standards:

- A description of the identification scheme or the mechanism for generating unique Registration Elements.
- A description of the Registration Services, and the responsibilities of the RA.
- The link to the page on iso.org or iec.ch where ISO and IEC publish the name and contact information of the RA for a given RA Standard. The page on iso.org or iec.ch shall provide a link to the RA's website which will contain more information on the Registration Services available.

The following **shall not be** included in RA Standards:

- In accordance with clause 4 of the ISO/IEC Directives, Part 2, contractual or other legal aspects.
- Procedures concerning the provision of the Registration Services (e.g. a Handbook made available by the RA).
- The name of the RA. Instead, a link to the ISO or IEC website shall be provided (see above).
- References to the selection or reappointment process for the RA.
- Details about any Registration Agencies. In case of delegation of Registration Services by the RA to third parties (e.g. Registration Agencies) as agreed under the RAA, the RA Standard may mention the fact that some aspects of the Registration Services have been delegated.

The TPM or TO is responsible for coordinating with the committee to ensure that the appropriate text is included in the RA Standard. Any questions about what should be included in the RA Standard are to be addressed to the TPM or TO.

H.4.4 Selecting an RA

The selection process of the RA applies to new RA Standards and existing RA Standards.

In the case of revisions, the committee shall review and decide whether the existing RA should continue or if a selection process should be launched to select additional RA candidates. In their review, the committee shall consider the changes being made to the RA Standard, particularly with regard to the responsibilities of the RA, and the goal of optimizing the implementation of the RA Standards. The decision to launch a selection process should be supported by a rationale. The committee shall confirm its decision by resolution.

The committee shall establish a process so that an RA can be appointed or re-appointed before publication of the RA Standard. It is important that each draft of the RA Standard contains details about the nature of the Registration Services needed and that these are shared with any current or prospective RA candidates.

The committee establishes the criteria for the application process and selection of the RA and confirms these by resolution. The minimum criteria for the selection process shall be:

- **Selection criteria** – these must be clearly explained and with sufficient details for possible RA candidates to assess their ability to meet the criteria and apply on this basis. Included in the selection criteria shall be the requirement that the prospective RA candidates provide the following information in writing:
 - Proof (e.g. Statutes) that it is a legal entity which means that is an organization formed under the laws of a jurisdiction and that it is therefore subject to governance related rules.
 - Expression of willingness to take responsibility for the Registration Services.
 - Confirmation that the RA is technically and financially able to carry out the RA Services described in the RA Standard and the RAA on an international level, including for example, a financial plan for funding the expected volume of registrations, a list of employees or third parties and their applicable background and skills, and description of

the physical facilities available to the RA to accomplish the work, demonstrated financial capacity to meet liability exposure for performing the services.

- Documentation and examples, where relevant, of the candidate RA's experience in the respective community of practice.
 - Confirmation of whether it intends to delegate part of the Registration Services to Registration Agencies.
 - Confirmation of whether it will charge fees for the RA Services and, if it charges fees, confirmation that any such fees will be on a cost recovery basis.
 - Expression of willingness to sign and execute an RAA, the ISO-IEC RAA template for which shall be shared with RA candidates.
- **Public call for RA candidates** – committees shall take the appropriate steps needed to post the call for competent RA applicants to as broad a market as possible, also targeting possible organizations by inviting them to apply. The relative weighting of each evaluation criterion shall be published in the public call. Details of the Registration Services shall be made available to any current RA and any prospective RA candidates.
 - **Evaluation** – Prospective RA candidates shall provide their responses in writing. The committee (or a subset thereof) shall determine the relative weight to be given to each selection criterion and shall evaluate the prospective RA candidates accordingly.
 - **Record-keeping** – the committee secretariat shall keep records of all documents in the selection process, including the call for candidates, applications, evaluation, decision, etc.
 - **Professionalism** – the selection process should be conducted in a professional manner, adhering to the principle of discretion amongst those involved.

The committee shall then confirm to the TMB its recommendation for appointment of the organization selected to be the RA via a resolution.

H.4.5 Appointing an RA

The information that is provided by the committee in the RAC (see H.4.2 above) is needed to launch the TMB ballot appointing the RA, as well as the council board ballot if the RA intends to charge fees. RA may charge fees for the Registration Services if authorized by the council board, and as long as the basis of charging fees is strictly on a cost recovery basis. In the case of revisions, approval from the TMB or council board is not needed if the committee decides that the same RA should continue (see H.4.4) and the required authorization to charge fees has already been given.

In the case of JTC 1 RA Standards, a copy of the RAC Form shall also be provided to the IEC since RA appointments must all be confirmed by the IEC/SMB (and Council Board) where fees are charged.

H.4.6 Signing an RAA

A signed RAA must have been executed using the latest RAA template before an RA Standard is published (including revisions). In the case of revisions, the process to sign the RAA should begin at the time of the launch of the review process or the committee decision to launch a revision to ensure the timely signature of the RAA and to avoid delays in publication.

Only after the TMB (and Council if fees are charged) has appointed the RA (and in the case of JTC 1 RA Standards, involving the IEC) can the RAA be signed. Signing an RAA based on the ISO/IEC template is mandatory for all RAs. The RAA shall be signed before publication of a new or revised RA Standard. If an RAA is not signed, the new or revised RA Standard shall not be published.

In cases where there is a high market need, the TMB can exceptionally approve the publication of a revised ISO RA standard to be published while an RAA is being negotiated. The committee responsible for the RA standard needs to submit a formal request to the TMB with a market

need justification through the TPM or TO of the committee. The concurrence of the IEC will need to be sought in the case of JTC 1 standards. To ensure consistency and equality of treatment between the different RAs, any requested deviations from the RAA template which ISO/IEC considers to be significant in nature shall be submitted to the TMB for approval.

H.4.7 Implementing an RA Standard

H.4.7.1 Role of the RA

The RA provides the Registration Services by:

- providing the Registration Services described in the RA Standard, and
- respecting the provisions of the RAA.

H.4.7.2 Role of the committee

Although RAAs are signed by the RA and by the Office of the CEO, the signature of a RAA by the Office of the CEO binds all components in the ISO or IEC systems, including ISO or IEC members and ISO or IEC committees. The central role is played by committees. In addition to declaring the need for an RA Standard (4.2), drafting the RA Standard (4.3) and selecting an RA (4.4) for both new and revised RA Standards, the committee has the main responsibility for oversight of the RA as follows:

- **Answering questions:** The committee must be available to the RA to answer questions about the RA Standard and clarify any expectations regarding its role in implementing the RA Standard.
- **Assessing RA's annual reports:** The RAA requires the RA to provide the committee with annual reports by the date specified by the committee. The committee shall ensure that these annual reports are provided on time and read them.

The RA's annual report is to be divided in two parts:

The first part addresses the operational aspects of the RA as directly related to the RA Services. The committee, ISO or IEC may request information about the activities of the RA that are not related to the RA Services if there is reason to believe that these are interfering with the RA Services. At a minimum this first part of the RA report shall confirm:

- That the RA is fulfilling the RA Services described in the RA Standard.
- Compliance with the signed RAA by the Registration Agencies designated by the RA.
- That the RA is meeting user needs and providing users with guidance, as needed.

The second part of the RA report provides information about any complaints received from users of the RA Standard regarding, for example: fees, access to and use of data and/or information produced during the implementation of the RA Standard, as well as accuracy of the data and/or information. This part shall indicate whether of the complaints remain outstanding at the time of the RA report and the efforts underway to resolve them.

- **Monitoring:** In addition to the annual RA report, the committee shall also analyse any feedback it receives from industry and users of the RA Standard. Based on all of these elements (RA report and other feedback), the committee shall report to the Office of the CEO (see below).
- **Reporting to the Office of the CEO:** At least once per year and based on the information collected under **Monitoring** above, the committee shall provide a report to the responsible TPM or TO using the Annual Committee Report to TPM ("ACR") Form (See Annex SJ). The purpose of such reports is to confirm that the RA operates in accordance with the RAA or to raise any concerns (concerns can include: RA not meeting industry or user needs, complaints about the quality of the Registration Services, etc.). Such reports shall be provided at least annually to the responsible TPM or more frequently if the committee deems it necessary. The TPM may also ask for ad hoc reports. If the report identifies concerns, it shall include the planned **Corrective measures** (see below) needed to address these concerns.

- **Dispute resolution:** The obligations of RAs to address complaints are contained in the RAA template. The role of the committee (and the Office of the CEO) is limited to advising the RA of any complaints it receives about the RA Services and supporting the RA in its addressing of the dispute. The committee shall not assume responsibility for the dispute or become the appellate body for disputes between the RA and users of the RA Standard as this may inadvertently give the impression that ISO or IEC is responsible for the Registration Services.
- **Corrective measures:**
 - By the RA: the RA is responsible for implementing any corrective measure that are within its area of responsibility, which would include the Registration Services and the provisions described in the RAA.
 - By the committee: the committee is responsible for recommending possible corrective measures such as: revising the RA Standard, providing advice and guidance to the RA, carrying out audits or recommending the termination of the RAA to the Office of the CEO in severe cases.
 - By the Office of the CEO: the corrective measures that fall within the responsibility of the Office of the CEO (e.g. updating or overseeing the RAA) will be coordinated by the TPM or TO. The TPM or the TO may also recommend corrective measures.
- **Maintenance of records:** The committee shall maintain and archive all key communications and documentation (e.g. correspondence between the RA and the committee regarding complaints) until at least five years after either termination of the RAA or withdrawal of the RA Standard. The committee secretariat is responsible for ensuring that these are maintained in a separate folder on e-committees.

The committee may create an advisory subgroup, with the appropriate terms of reference, [often referred to as a Registration Management Group ("RMG")] in order to help them with the above. Committees (either directly or through the RMG) shall not participate or get involved in providing the Registration Services except in the supervisory roles specified in this subclause.

H.4.7.3 Role of the Office of the CEO

The committee's interface with the Office of the CEO is through the responsible TPM or TO. The role of the TPM or the TO includes:

- Identification of RA Standards during the development process if not done by the committee.
- Providing guidance and advice for the drafting of RA Standards.
- Training committees on this RA Policy.
- Coordination with committees to ensure compliance with the RA Policies, quality of RA Services, appropriate handling of complaints, addressing industry and users' needs, including addressing the concerns raised in the annual reports provided by committees (using the ACR Form) and recommending and assisting in the implementation of any corrective measures (see H.4.7.2).
- Maintenance of records in relation to his or her involvement.

H.4.8 Termination of an RA

Termination of RAs could occur when 1) an RAA has expired and the RA or ISO or IEC has given the required notice of its intent not to renew it, or 2) the RAA is terminated for cause, or 3) the RAA was terminated by mutual consent, or 4) the RA Standard is withdrawn, or 5) the RAA goes into bankruptcy, liquidation or dissolution.

When an RA has been given notice of non-renewal or termination, the committee should exercise particular oversight to ensure that RA Services are maintained during the notice period and change-over phase.

Unless the RA Standard is withdrawn, the process detailed in H.4.4 above should be followed in the selection of a replacement RA unless the committee has identified an alternative RA

candidate that meets the selection criteria in 4.4 and going through the selection process for additional RA candidates would cause unacceptable disruption in the RA Services.

Annex I
(normative)

**Guideline for Implementation of the Common Patent Policy for
ITU-T/ITU-R/ISO/IEC**

The latest edition of the Guidelines for Implementation of the Common Patent Policy for ITU-T/ITU-R/ISO/IEC are available on the ISO website through the following link (including the forms in Word or Excel formats):

http://www.iso.org/iso/home/standards_development/governance_of_technical_work/patents.htm

They are also available on the IEC website through the following link:

https://www.iec.ch/members_experts/tools/patents/patent_policy.htm

Annex J (normative)

Formulating scopes of committees

J.1 Introduction

The scope of a committee is a statement precisely defining the limits of the work of that committee. As such it has a number of functions:

- it assists those with queries and proposals relating to a field of work to locate the appropriate committee;
- it prevents overlapping the work programmes of two or more ISO and/or IEC committees;
- it can also help guard against moving outside the field of activities authorized by the parent committee.

J.2 Formulation of scopes

Basic rules for the formulation of scopes of technical committees and subcommittees are given in 1.5.10.

The order of the elements of a scope shall be:

- basic scope;
- in the ISO, horizontal functions, where applicable;
- in the IEC, horizontal and/or group safety functions where applicable;
- exclusions (if any);
- notes (if any).

J.3 Basic scope

Scopes of technical committees shall not refer to the general aims of international standardization or repeat the principles that govern the work of all technical committees.

In exceptional cases, explanatory material may be included if considered important to the understanding of the scope of the committee. Such material shall be in the form of "Notes".

J.4 Exclusions

Should it be necessary to specify that certain topics are outside the scope of the technical committee, these shall be listed and be introduced by the words "Excluded ..."

Exclusions shall be clearly specified.

Where the exclusions are within the scope of one or more other existing ISO or IEC technical committees, these committees shall also be identified.

EXAMPLE 1 "Excluded: Those ... covered by ISO/TC ...".

EXAMPLE 2 "Excluded: Standardization for specific items in the field of ... (ISO/TC ...), ... (IEC/TC ...), etc.".

It is *not* necessary to mention self-evident exclusions.

EXAMPLE 3 "Excluded: Products covered by other ISO or IEC technical committees".

EXAMPLE 4 "Excluded: ... Specifications for electrical equipment and apparatus, which fall within the scope of IEC committees".

J.5 Scopes of committees related to products

Scopes of committees related to products shall clearly *indicate the field, application area or market sector* which they intend to cover, in order to easily ascertain whether a particular product is, or is not, within that field, application area or market sector.

EXAMPLE 1 "Standardization of ... and ... used in ...".

EXAMPLE 2 "Standardization of materials, components and equipment for construction and operation of ... and ... as well as equipment used in the servicing and maintenance of ...".

The limits of the scope can be defined by *indicating the purpose* of the products, or by *characterizing* the products.

The scope *should not enumerate the types* of product covered by the committee since to do so might suggest that other types can be, or are, standardized by other committees. However, if this is the intention, then it is preferable to list those items which are excluded from the scope.

The *enumeration of aspects* such as terminology, technical requirements, methods of sampling, test methods, designation, marking, packaging, dimensions, etc. suggests a restriction in the scope to those particular aspects, and that other aspects may be standardized by other committees. The aspects of the products to be standardized should therefore not be included in the scope unless it is intended that the scope is limited to those particular aspects.

If the scope makes no mention of any aspect, this means that the subject *in its entirety* is covered by the committee.

NOTE The coverage does not necessarily mean the need for preparing a document. It only means that standards on any aspect, if needed, will be prepared by that committee and no other.

An example of unnecessary enumeration of aspects is as follows:

EXAMPLE 3 "Standardization of classification, terminology, sampling, physical, chemical or other test methods, specifications, etc.".

Mention of priorities, whether referring to type of product or aspect, shall not appear in the scope since these will be indicated in the programme of work.

J.6 Scopes of committees not related to products

If the scope of a committee is intended to be limited to *certain aspects* which are unrelated, or only indirectly related to products, the scope shall only indicate the aspect to be covered (e.g. safety colours and signs, non-destructive testing, water quality).

The term *terminology* as a possible aspect of standardization should not be mentioned unless this aspect is the only task to be dealt with by the committee. If this is not the case, the mention of terminology is superfluous since this aspect is a logical part of any standardization activity.

Annex K (normative)

Project committees

K.1 Proposal stage

A new work item proposal not falling within the scope of an existing technical committee shall be presented using the appropriate form and fully justified (see 2.3.4) by one of the bodies authorized to make new work item proposals (see 2.3.2).

The Office of the CEO may decide to return the proposal to the proposer for further development before circulation for voting. In this case, the proposer shall make the changes suggested or provide justification for not making the changes. If the proposer does not make the changes and requests that its proposal be circulated for voting as originally presented, the technical management board will decide on appropriate action. This could include blocking the proposal until the changes are made or accepting that it be balloted as received.

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

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

It shall be submitted to the secretariat of the technical management board which shall arrange for it to be submitted to all National Bodies for voting.

Proposers are also encouraged to indicate the date of the first meeting of the project committee (see K.3).

If the proposal was not submitted by a National Body, the submission to the National Bodies shall include a call for offers to assume the secretariat of a project committee.

Votes shall be returned within 12 weeks.

Acceptance requires:

- approval by a 2/3 majority of the National Bodies voting;
- a commitment to participate actively by at least five National Bodies that approved the new work item proposal and nominated technical Experts.

K.2 Establishment of a project committee

The technical management board shall review the results of voting on the new work item proposal and if the approval criteria are met, shall establish a project committee (the reference number shall be the next available number in the technical committee/project committee sequence).

The secretariat of the project committee shall be allocated to the National Body that submitted the proposal, or the technical management board shall decide on the allocation amongst the offers received if the proposal did not originate from a National Body.

National Bodies that approved the new work item proposal and nominated (a) technical Expert(s) shall be registered as P-members of the project committee. National Bodies that approved the new work item proposal but did not make a commitment to participate actively shall be registered as O-members. National Bodies that voted negatively, but nevertheless indicated that they would participate actively if the new work item was approved, shall be registered as

P-members. National Bodies voting negatively without indicating a wish to participate shall be registered as O-members.

The Office of the CEO shall announce to the National Bodies the establishment of the project committee and its membership.

National Bodies will be invited to confirm/change their membership status by informing the Office of the CEO.

The secretariat will contact any potential liaison organizations identified in the new work item proposal or in National Body comments thereon and will invite them to indicate whether they have an interest in the work and, if so, which category of liaison they would be interested in. Requests for liaison will be processed according to the existing procedures.

K.3 First meeting of a project committee

The procedure for calling a project committee meeting shall be carried out in accordance with Clause 4, with the exception that a six weeks' notice period may be used if the date of the first meeting was communicated at the time of submission of the proposal.

The Chair of the project committee shall be the Project Leader nominated in the new work item proposal or shall be nominated by the secretariat if no Project Leader was nominated in the new work item proposal.

The first meeting shall confirm the scope of the new work item. In case revision is necessary (for purposes of clarification but not extension of the scope), the revised scope shall be submitted to the technical management board for approval. It shall also confirm the project plan and in ISO the development track and decide on any substructures needed to carry out the work.

If it is determined that the project needs to be subdivided to produce two or more publications, this is possible provided that the subdivisions of the work lie fully within the scope of the original new work item proposal. If not, a new work item will need to be prepared for consideration by the technical management board.

NOTE Project committees are exempted from the requirement to establish a strategic business plan.

K.4 Preparatory stage

The preparatory stage shall be carried out in accordance with 2.4.

K.5 Committee, enquiry, approval and publication stages

The committee, enquiry, approval and publication stages shall be carried out in accordance with 2.5 to 2.8.

K.6 Disbanding of a project committee

Once the standard(s) is/are published, the project committee shall be disbanded.

K.7 Maintenance of standard(s) prepared by a project committee

The National Body which held the secretariat shall assume responsibility for the maintenance of the standard(s) according to the procedures given in 2.9 unless the project committee has

been transformed into a technical committee (see 1.10) in which case the technical committee shall be given the responsibility for the maintenance of the document.

Annex L

(normative)

Selection criteria for people leading the technical work

L.1 Obligations of member bodies

Member bodies are responsible for ensuring that candidates for leadership positions (i.e. Chairs, Convenors, and Secretaries/Committee Managers) meet the requirements contained in L.3. Member bodies are also responsible for ensuring that any gaps in skills or knowledge of the selected leaders, as well as Experts, are identified and filled through ongoing training.

L.2 Resources available to fill gaps in skills or knowledge

A number of resources are available to help member bodies fill any identified gaps in skills or knowledge:

- Training and other materials are available from the ISO Central Secretariat or IEC Secretariat to ensure the effectiveness of the various roles in conducting/attending meetings, including understanding key concepts.
- To help train Experts, it may be useful to schedule committee pre-sessions and information on existing resources before or in conjunction with committee plenaries.
- The support of the Technical Programme Manager or Technical Officer, particularly in the case of new committees, is available to train leaders and Experts. In the case of new committees, the Technical Programme Manager or Technical Officer should attend the first meeting to provide an overall introduction of ISO or IEC and its processes.
- In ISO Exchange programmes could also be organized between member bodies or with the ISO Central Secretariat. Member bodies may also wish to consider twinnings.
- The services of an external facilitator for coaching and training could be considered as one of the options to assist the committee leadership to develop specific skills, such as the skills needed to run effective meetings, general leadership skills, etc.

L.3 Selection Criteria for people leading the technical work

The success of any committee or working group is dependent on its leadership. This selection criteria applies to committee Chairs, working group Convenors and Secretaries/Committee Managers. Member bodies are therefore required to apply this criteria when nominating people to these roles in order to ensure that the new [ISO Code of Conduct for the technical work](#) or [IEC Code of Conduct](#) is upheld and that the ISO/IEC Directives are correctly applied.

L.3.1 Chairs and Convenors

L.3.1.1 Competencies and attributes of good Chairs and Convenors:

- existing role and good reputation in the sector,
- relevant professional experience with previous experience of chairmanship,
- lead and inspire delegates and Experts from the sector towards consensus,
- understand the international nature of standardization work and its resulting benefits,
- commit time and resources to their role,
- develop solutions through innovative and creative thinking in a consensus environment,
- act proactively and communicate diplomatically,
- foster and value cooperation with other ISO and IEC committees and partners including those from regulatory bodies,

- act in a purely international capacity.

L.3.1.2 Job specification for Chairs and Convenors:

- lead meetings effectively with a view to reaching agreement and to ensure that positions and decisions are clearly understood
- ensure that all positions and views (at meetings and by correspondence) are given equal treatment
- manage projects according to agreed target dates in accordance with the project plan from preparation to completion
- work to ensure that a full range of technical competence is available to the group
- be fully knowledgeable of the subject and market needs
- propose decisions to progress or to stop work on the basis of its market or global relevance
- have basic knowledge of ISO or IEC and its procedures

L.3.1.3 Additionally – Chairs of committees are required to:

- take responsibility for the overall management of the committee, including any subcommittees and working groups
- advise the Technical Management Board on important matters relating to the committee
- ensure that the policy and strategic decisions of the Technical Management Board are implemented by the committee
- think strategically to promote ISO's and IEC's work in the sector

L.3.1.4 Additionally – Convenors of working groups are required to:

- have appropriate knowledge and capabilities in using MS Word based drafting tools and the ISO or IEC web-based applications, including the required use of ISO or IEC applications for communications and document sharing, in order to support the working group's work

L.3.1.5 Supporting information

The following information should be considered by the member bodies in the nominations for Chairs and Convenors:

- current role in the sector
- education
- professional career
- leadership experience
- similar activities
- language skills

L.3.2 Secretaries/Committee Managers and secretariats

L.3.2.1 Selection of Secretaries/Committee Managers and secretariats

The success of an ISO committee or working group is dependent on its secretariat and Secretary/Committee Manager (or Convenor of a WG in case there is no Secretary/Committee Manager). The following list is based on the ISO/IEC Directives and shows the tasks expected to be performed in these roles. Member Bodies should use this list when appointing organizations and professionals as secretariats and Secretaries/Committee Managers.

L.3.2.2 Good documents

Preparing drafts for the committee or working group, arranging for their distribution and the treatment of the comments received. In the case of Secretaries/Committee Managers, preparing of drafts, text and figures for circulation by ISO Central Secretariat (ISO/CS) or IEC Secretariat

(IEC/S) for enquiry and final draft International Standards or for publication. Fulfilling the ISO/CS or IEC/CO submission requirements of such documents when sending them.

L.3.2.3 Excellent project management

Assisting in the establishment of priorities and target dates for each project. Notifying the names of all working group Convenors and Project Leaders to the ISO/CS or IEC/CO. Initiating ballots. Proposing proactive solutions for projects that are running significantly overtime, and/or which appear to lack sufficient support.

L.3.2.4 Well prepared meetings

Establishing the agenda and arranging for its distribution as well as the distribution of all documents on the agenda, including reports of working groups, and indicating all other documents which are necessary for discussion during the meeting. Recording the decisions taken in a meeting and making these decisions available in writing for confirmation in the meeting. Preparing the minutes of meetings to be circulated within 4 weeks after the meeting.

L.3.2.5 Good advice on ISO and IEC processes

Providing advice to the Chair, Project Leaders, and Convenors on the ISO/IEC Directives and in particular the procedures associated with the progression of projects. Contacting any subcommittees and working group regarding their activities.

L.3.2.6 Connecting and networking

Working in close liaison with the Chair of the committee or Convenor of the working group. Maintaining close contact with the ISO/CS or IEC/CO and with the members of the committee or working group regarding its activities. Maintaining close contact with the Secretary/Committee Manager of any parent committee.

L.3.2.7 Proactive follow up of actions

Ensuring that all actions agreed at meetings or by correspondence are completed on time and in a transparent manner.

L.3.2.8 Good with IT

Have appropriate knowledge and capabilities in using MS Word based drafting tools and the ISO or IEC web-based applications, including the required use of ISO or IEC applications for communications and document sharing, in order to support the committee's work.

L.3.2.9 Supporting Information

The following information should be considered by the member body when appointing Secretaries/Committee Managers:

- education,
 - professional career,
 - experience in standardization work,
 - participation in training programmes on standardization,
 - experience with ISO's or IEC's IT tools and IT infrastructure,
 - language skills.
-

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