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Rules for ISO/IEC JTC 1 Workshop Mode of Operation

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Further to document SC 22 N3380 (Approval of JTC 1 Workshop Mode of Operation Implementation), please find attached the rules for the workshop mode of operation. SC 22 members are requested to review this document and provide contributions on how SC 22 could potentially use this new process. This document as well as member contributions will be reviewed at the next SC 22 Plenary in Finland. Please submit any contributions or comments by the due date indicated so that there will be sufficient review time prior to the plenary. This document is located at:

<http://www.dkuug.dk/jtc1/sc22/open/n3386.pdf>

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Information Technology

ISO/IEC JTC 1 N6530

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Document Status: Having reviewed the ballot comments received on JTC 1 N 6446, the JTC 1 Ballot Resolution Meeting approves JTC 1 N 6530 as the revised JTC 1 Workshop Mode of Operation. It is forwarded to JTC 1 for information and to ISO and IEC for approval.

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Based on the results of JTC 1 Letter Ballot N 6446, JTC 1 has approved the *Rules for ISO/IEC JTC 1 Workshop Mode of Operation*. The JTC 1 Special Group on Strategic Planning considered National Body comments accompanying the votes on JTC 1 N 6446 and has produced this document as a result of its deliberations.

This document is an adaptation of the ISO *Rules for Industrial Technical Agreement (ITA) workshops*, made available to JTC 1 SGSP at its meeting in May 2001. Based on ISO and IEC staff guidance at the May 2001 meeting, JTC 1 has made minor changes to the ISO rules to make them consistent with JTC 1's procedures and practices. Noting the decision by the ISO/TMB in June 2001, the JTC 1 SGSP agreed to rename the deliverable product "International Workshop Agreement (IWA)" to ensure continuing close alignment with the ISO procedures.

JTC 1 requests the ISO/TMB and the IEC/CA endorse JTC 1's implementation of the IWA process.

The JTC 1 Special Group on Strategic Planning notes the recent distribution of the *Reflections and Recommendations on the future of ISO/IEC JTC 1 prepared by the ISO and IEC CEOs*. While the JTC 1 SGSP does not want to presume to speak for all of JTC 1, the JTC 1 SGSP believes JTC 1 would be interested in taking part in the proposed dialogue between ICT industry leaders and ISO and IEC management.

Rules for ISO/IEC JTC 1 Workshop Mode of Operation

1. Proposals to hold JTC 1 Workshops

A proposal to hold a JTC 1 Workshop for the purpose of developing one or more IWAs on a particular subject may come from any source, including JTC 1 National Bodies, liaison organizations, corporate bodies etc. An organization that is not a JTC 1 National Body or liaison organization, or is not international in scope, shall inform the JTC 1 National Body in its country of its intent to submit such a proposal.

Whenever practicable, Proposers shall provide details concerning:

- Purpose and justification of the proposal;
- Relevant documents; and
- Cooperation and liaison,

in accordance with Annex C of the fourth edition (2001) of Part 1 of the ISO/IEC Directives.

Additionally, wherever possible, proposals shall include indication of a JTC 1 National Body willing to provide Secretariat, administrative and logistic support, and a candidate Workshop Chairman. If it is considered likely that participation in the Workshop will need to be limited (see 5.2), this shall also be indicated. The proposal should indicate the predicted further route of any deliverables.

In some circumstances, it may be considered that several meetings may be needed in order to reach a consensus. In such cases, the Proposer is encouraged, or may be required by JTC 1, to develop a business plan which would give details concerning meeting schedules, expected dates of availability of draft documents, the possibility that a Workshop may establish project teams to progress work between meetings of the Workshop, the expected date of availability of any IWA, etc.

Note: Guidance to workshop proposers is provided in Annex B

2. Review of proposals

Proposals will be submitted to the JTC 1 Secretariat for approval by JTC 1. If the proposal is accepted, JTC 1 will initiate, if necessary consultations with JTC 1 National Bodies to identify a candidate willing to act as the organizer and to provide administrative and logistics support to the Proposer. Preference will normally be given to:

- The National Body from the country of the Proposer, if the Proposer is not a JTC 1 National Body; or

- National Bodies holding Secretariats in fields related to that covered by the proposal.

If there is more than one offer, JTC 1 will formally designate the National Body assigned to act as the Workshop Secretariat. The assigned JTC 1 National Body may establish financial arrangements with the Proposer to cover administrative and logistics support costs for the Workshop. If a National Body is not willing to act as Workshop Secretariat, JTC 1 may authorize its Secretariat to fulfill this role, provided all associated costs are recovered by Workshop registration fees.

Note: An informative checklist for estimating workshop costs is provided in Annex A.

The Workshop Secretariat and the Proposer shall designate the Chairman of the Workshop.

3. Announcement

Once the Workshop Secretariat and the Proposer have agreed on a date and venue for the first meeting of the Workshop, these shall be communicated to the JTC 1 National Bodies. These details shall be further announced by the Workshop Secretariat, the JTC 1 Secretariat and by any other interested National Bodies in the most appropriate way(s) to achieve the widest possible circulation (e.g. a publicly accessible website). This may include a number of different announcement options and media, but the intent is to ensure that the broadest range of relevant interested parties worldwide are informed of the Workshop and have the opportunity to attend.

The Proposer and Workshop Secretariat will ensure that any JTC 1 Subcommittees with projects relevant to the subject will be invited to be represented at the Workshop.

A registration fee may be applied to help support preparation and hosting of the Workshop. Any registration fees shall be stated in the Workshop announcement.

Note: When the subject matter of a Workshop is likely to be of interest to developing countries, it is recommended either that a funding mechanism other than a registration fee be applied to facilitate participation from such countries, or that a number of "free" registrations be permitted.

The announcement shall be made at least 90 days in advance of the first meeting to allow potential attendees adequate time to plan on attending the Workshop. The announcement shall be accompanied by a registration form to allow potential participants to register for the Workshop.

Registration forms shall be returned to the Workshop Secretariat.

4. Workshop information

A Workshop programme detailing Workshop objectives, deliverables, agenda, draft documents and any other relevant details for the Workshop shall be available, and circulated to registered participants, no later than six weeks prior to the Workshop date. Registered

participants may submit their own contributions to the Workshop Secretariat for further distribution to other participants.

5. Participation

5.1 Workshop chairmen

The Workshop Chairman shall act in a purely international and neutral capacity and in particular shall

- § ensure that all points of view expressed during a Workshop are adequately summed up so that they are understood by all present,
- § conduct the Workshop with a view to reaching consensus,
- § ensure that all decisions are clearly formulated and, if needed, made available to the participants before closure of the meeting of the Workshop.

5.2 Registered participants

Any organization or individual may register as a participant in a Workshop and participation will be open to the registered participants only. Registration of participants may take place at any time during the existence of the Workshop. Participants are not required to be appointed by the JTC 1 National Body in their country.

The Workshop Secretariat, Chairman and Proposer shall endeavour to ensure that the broadest range of interests is represented in any Workshop and that there is an appropriate balance of representation. If needed, this may require that some limitation be placed on participation (for example no more than two registered participants from the same corporate body or organization). If the need to limit participation is expected at the outset, this shall be indicated in the proposal submitted to JTC 1. If a need for limitation becomes apparent after announcement of the Workshop, this shall be authorized by the JTC 1 Secretariat following consultation with the JTC 1 Chairman and, if needed, JTC 1 National Bodies.

5.3 Project teams

In cases in which more than one meeting will be required to reach consensus, a Workshop may establish one or more project teams to progress work between meetings of the Workshop. The Workshop shall designate the membership of such project teams, ensuring that their working methods will allow all registered participants to participate fully.

6. Workshop procedures and management oversight

Workshops will be permitted to work in a practically autonomous manner using very flexible procedures. However, there are a number of general ISO and IEC policies which need to be respected, in particular those concerning intellectual property rights and the use of SI units. It shall be the responsibility of the Workshop Secretariat to ensure that the appropriate policies

are known to registered participants and are respected.

Management oversight will be kept to the minimum required to ensure coordination with existing standardization activities if relevant and to ensure that appropriate resource is provided by the ISO and IEC systems. It will be the responsibility of the Workshop Chairman to determine when consensus of the Workshop participants has been reached on a particular item or deliverable. For the purposes of determining consensus, the Workshop Chairman shall apply the following definition contained in ISO/IEC Guide 2:1996:

“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. Consensus need not imply unanimity.”

It should be noted that a JTC 1 Workshop may arrive at the consensus that an IWA deliverable is not necessary.

The Workshop deliverables shall contain a description of the Workshop consensus achieved including any recommendations for possible future actions or revisions to the Workshop deliverables. The deliverable resulting from the Workshop will proceed to publication based on the consensus of the Workshop without additional reviews or approvals by any other body, except in the case of an appeal on such a deliverable (see immediately below).

Appeals: Any parties affected by the deliverable resulting from the Workshop shall have the right of appeal for the following reasons:

1. The Workshop and the process to arrive at its deliverable have not complied with these procedures;
2. The deliverable resulting from the Workshop is not in the best interests of international trade and commerce, or such public factors as safety, health or the environment; or
3. The contents of the deliverable resulting from the Workshop conflict with existing or draft ISO/IEC standard(s) or may be detrimental to the reputation of ISO or IEC.

Such appeals shall be submitted to the JTC 1 Secretariat within two months of the date of submission of the Workshop deliverables and shall be considered by JTC 1, which in such circumstances will take the final decision concerning publication of an IWA.

7. Workshop deliverables and publication

Workshops will decide on the content of their own deliverables, but it is strongly recommended that the drafting rules in Part 2 of the ISO/IEC Directives be followed. The Workshop Secretariat and Proposer shall be responsible for preparation of the text in compliance with Part 2 of the ISO/IEC Directives. Deliverables shall be sent to the ITTF for publication as International Workshop Agreements. They will be numbered in a special ISO/IEC IWA series. The workshop should make a recommendation to JTC 1 as to its intention for future processing of its deliverables (i.e. if they are to be submitted for

processing as an International Standard).

IWAs may be published in one of the official ISO languages only and competing IWAs on the same subject are permitted. The technical content of an IWA may compete with the technical content of an existing ISO or IEC standard, or the proposed content of an ISO or IEC standard under development, but conflict is not normally permitted unless expressly authorized by JTC 1.

8. Review of IWAs

No later than three years after publication, the National Body which provided the Workshop Secretariat will be requested to organize the review of an IWA, consulting interested market players as well as, if needed, the relevant JTC 1 Subcommittee(s). The result of the review may be to confirm the IWA for a further three-year period, to withdraw the IWA or to submit it for further processing as another ISO/IEC deliverable in accordance with Part 1 of the ISO/IEC Directives.

An IWA may be further processed to become a Technical Report or an International Standard, either through the normal five-stage process or, in case of an International Standard, also through the JTC 1 PAS transposition process as in JTC 1 N 5746 and the JTC 1 Directives. In the latter case, the need to be recognized as a PAS Submitter is waived if the intention of the Workshop Proposer to later submit the IWA into the PAS transposition process is indicated at the time of the Workshop proposal. This will allow JTC 1 National Bodies to take this intention into account when deciding about the Workshop approval.

An IWA may exist for a maximum of six years following which it shall either be withdrawn or be converted into another ISO/IEC deliverable.

Annex A

Checklist to estimate costs associated with hosting an ISO IWA Workshop (WS)

Completion of this checklist is NOT mandatory for the proposed hosting of an IWA. It is intended simply as a tool to assist proposers and assigned ISO member bodies in determining major costs associated with hosting a JTC 1 International Workshop. Some of the sample costs provided may not be applicable to particular IWA Workshops, or may be covered in a different manner than is described below.

Overall measures to consider

Expected number of deliverables: of Project Groups:	Expected number
Expected number of of participants:	Expected number
?? WS plenary meetings:	
?? Project Group meetings:	

Planned Resources Breakdown

Human Resource Costs (Function)	Who	Estimated Cost	Covered by (Whom)
WS Secretariat <ul style="list-style-type: none"> - organizing WS plenary meetings - producing WS and project meeting reports and action lists - administrative contact point for WS's projects - managing WS (and project group) membership lists - managing WS (and project group) document registers - follow-up of action lists - if the Workshop works mainly by electronic means, assist Chairperson in monitoring and follow-up of electronic discussion 			
WS Chairperson <ul style="list-style-type: none"> - chairing WS plenary meetings - responsible for overall WS/ project management - producing project management progress reports - acting as formal liaison with related WS/ projects and liaison body - if the Workshop works mainly by electronic means, follow and steer electronic discussions that take place between meetings, take necessary decisions 			
NB: If your WS will have 'Vice Chairperson(s) ', you should list them here, along with their particular functions and fill in the right side of this table.			

Where applicable:			
Project Leader(s) <ul style="list-style-type: none"> - chairing project group meetings - producing project group meeting reports and action lists - preparing project group progress reports - if the Workshop works mainly by electronic means, follow and steer electronic discussions that take place regarding his/ her particular project 			
IWA Editor <ul style="list-style-type: none"> - editing of the IWA texts - attend meetings - follow discussions relating to the -IWA (s) that he/ she is editing 			
Material Resource Costs	Number	Estimated Cost per Meeting	Covered by (Whom)
WS Meetings <ul style="list-style-type: none"> - meeting rooms - logistics (IT support, photocopies, etc.) - food and beverage - interpretation during meetings 			

Annex B to N 6530

Guidance to Workshop Proposers

This is a guidance document for a workshop proposal. Workshop proposers should consider the items listed below when generating the proposal. The list, however, is not mandatory unless the component is called out in N 6530 as mandatory:

- * Workshop title and scope;
- * Purpose and justification of the proposal;
- * Relevant documents;
- * Cooperation and liaison;
- * Workshop programme of work, including identification of deliverables;
- * Workshop business plan;
- * Dates and place of proposed initial meeting;
- * Indication of a JTC 1 National Body willing to provide Secretariat, administrative and logistic support;
- * A candidate Workshop Chairman and, if necessary, one or more candidate Vice-Chairmen;
- * Indication of the preferred further route of any deliverables, such as transposition of the IWA into an International Standard using the JTC 1 PAS process, or submission to the normal JTC 1 five-stage process;
- * Membership rules and instructions for registration, including any intentions to limit workshop participation (see clause 5.2);
- * Voting procedures;
- * Any additional relevant workshop working procedure, such as intended public availability of working documents.

For further guidance, contact the JTC 1 Secretariat.