

Topic: AIF Support Series #9:
2020 Directives Part 1 Updates Course
Date: May 29, 2020

Presenters: Steven Cornish, Sally Seitz

1. Opening of the meeting

- ANSI staff provided a presentation (see AIF N381-2020) on the 2020 updates to the ISO/IEC Directives, Part 1 and the ISO Supplement. We want to hear from you to learn how we can best support you throughout your U.S. TAG and ISO committee work. Submit any inquiries or comments to ANSI's ISO Team (isot@ansi.org).

Session Questions and Answers

1. **Regarding the item that a TR or TS cannot be updated – does this mean that if we want to revise a TR we need to create a new work item proposal?**

Answer: No, the update to clauses 2.3.1, 2.9.1, 2.9.3.2 and 2.9.3.3 clarifies the Directives to reflect that amendments and minor revisions can only be made to ISO Standards, not any other deliverables. TRs and TSs can still be updated via a committee resolution as long as the scope of the document is not changed.

2. **We are getting considerable pushback for our virtual plenary meeting of ISO TC 68 regarding Zoom. Is the committee able to use alternative web conferencing facilities, such as WebEx?**

Answer: Yes, committees are able to use any platform that they wish. While Zoom is the application provided to committees, ISO is aware that some committee members are not allowed to use Zoom.

3. **Does the Code of Conduct need to be referenced at WG, AG, and SG meetings as well?**

Answer: Yes, you should mention the ISO Code of Conduct at all meetings.

4. **Does the requirement for working group reports to be circulated within 4 weeks of the meeting impact resolutions that get balloted following a virtual plenary?**

Answer: No. Working groups do not take resolutions.

5. **Can a TS transition to a Standard without a New Work Item Proposal?**

Answer: Yes, a committee resolution will suffice as long as the scope of the document is not changed.

6. **Are interim Chair's allowed as well as interim Committee Managers?**

Answer: Yes, as long as the committee is informed ahead of time and approves the interim Chair.

7. **What action can US TAG members take when they join a virtual or in person WG meeting and all committed countries are not represented? For example, on 2 of 5 countries consistently participate.**

Answer: Clause 1.12.3 of the ISO Supplement states:

In case of lack of experts in the working group to meet the minimum number (as defined in [clause 2.3.5](#)), the Convenor shall inform the committee secretariat, who shall launch another call for experts.

If the subsequent call for experts fails to recruit the minimum number of experts, the Convenor shall consult with the committee secretariat to decide if the project can or should continue. If the decision is to continue with fewer than the minimum number of experts, the committee secretariat shall request permission from the ISO Technical Management Board to proceed.

8. Can DTR and DIS ballots be repeated more than once (provided that there were significant technical changes) even if the ballot met criteria for approval?

Answer: DTR ballots can be repeated more than once. We have heard that ISO Technical Program Managers have told committee managers that this is not allowed, but that is not stated in the Directives. Further, DTR ballots are committee internal ballots so committee managers can reissue the ballot if the committee deems it necessary. Second DIS ballots that have met the criteria for approval are generally not allowed but can be conducted with approval by ISO CS. Some committees work around this by conducting a committee internal ballot to approve changes to a revised DIS that has been updated.

9. Will ISO provide more guidance on how to conduct virtual SC and WG meetings, such as managing around time zones, policies on delegates responsibilities such as unidentified attendees and approved conferencing apps that can be used other than Zoom?

Answer: ISO issued such guidance in April of this year and this document is available at: https://isotc.iso.org/livelink/livelink/fetch/2000/2122/15507012/20090199/21136381/Participation_guidelines_for_virtual_meetings_April_2020.pdf?nodeid=21167716&vernum=-2

ISO has issued a participation guide for virtual meetings and a presentation on COVID 19 Support to committee. These documents are available on the ISO Connect page dedicated to Committee Support during the pandemic: <https://connect.iso.org/display/standards/COVID-19+-Temporary+measures+for+committee+work>

10. Is a CIB required for the establishment of internal liaisons?

Answer: Yes, a committee resolution or committee internal ballot is required for the establishment of an internal liaison.

AIF SUPPORT SERIES #9
2020 DIRECTIVES UPDATE COURSE

Welcome!

- We will mute all lines. Please stay muted so everyone can hear each other and the presentation.
- If your sound quality is low, try using the call back feature.
- Please disable video.
- To ask a question, please use the Q&A or Raise Your Hand features. We will closely monitor both.

2020 ISO DIRECTIVES PART 1 UPDATES COURSE

AIF Support Series #9

May 29, 2020



Housekeeping Items

- All participants will be muted until the end of the presentation
- Use the Q&A function to “All Panelists” / Raise Your Hand to ask questions
- If we don't get to your question today, reach out via email isot@ansi.org
- Follow-up/repeat sessions will be held if necessary
- Slides to be circulated after the call
- Keep us informed of your experiences!
- Please write your full name in the chat to “All Panelists” if you wish to be documented as having taking course

Session Overview

- Agenda
 - Review of the changes to the ISO/IEC Directives, Part 1
 - Review of the changes to the ISO Supplement
 - Q&A
- Speakers
 - Steven Cornish, Senior Director, International Policy
 - Sally Seitz, Senior Manager, International Secretariats

Foreword

e. General principles for voting and decisions

WHAT HAS CHANGED?

The following text has been added at the end of the second paragraph:

For strategic matters (e.g. changing the scope of a standard or the scope of a committee, change of allocation of a project), a discussion amongst committee members should first take place before a formal committee decision is taken.

And the following sentence has been added at the end of this clause:

A vote by correspondence should include the possibility to abstain.

WHAT DOES THIS MEAN FOR ISO CHAIRS, COMMITTEE MANAGERS AND CONVENORS?

1. Committee chairs and managers shall ensure that a committee discussion first occurs (either via a round of electronic commenting or at a meeting) before a formal decision is taken on an item considered of strategic importance.
2. Committee managers shall ensure any vote by correspondence allows P members to abstain if they wish.

WHAT DOES THIS MEAN FOR US/TAGS?

To actively engage in committee discussions on items of strategic importance before a vote, and to consider the option to abstain on a correspondence ballot if they wish.

Clause 1.7.4

Participation responsibility of P members

WHAT HAS CHANGED?

No change has been made to the text at this time, but appropriate revisions will be considered for the 2021 ISO Directives, Part 1. In the meantime, the ISO/TMB agreed that for the implementation of this clause, (1) committee managers shall inform their ISO TPMs of any perceived inactive P members in accordance with this clause, (2) ISO/CS will inform the P member that they are considered inactive, giving them an opportunity to drop to O membership or demonstrate active membership within an appropriate time period. If the P member does not show improved active participation in that time period, it will be dropped to O membership. A simple letter from the P member stating it will try to do better will not be sufficient to demonstrate improved active participation.

WHAT DOES THIS MEAN FOR ISO CHAIRS, COMMITTEE MANAGERS AND CONVENORS?

ISO committee managers shall regularly monitor active participation of their P members according to the criteria of this clause and inform ISO/CS of any perceived inactive P members.

WHAT DOES THIS MEAN FOR US/TAGS?

To ensure that ANSI/USA is not perceived as an inactive P member in accordance with this clause.

Clause 1.9.2

Responsibilities of secretariats

WHAT HAS CHANGED?

The following text has been added to this clause:

e) 6) In case of unforeseen unavailability of the secretary at a meeting (if the Secretariat is unable to provide a replacement), an acting secretary may be appointed by the committee for the meeting.

d) Decisions

The committee secretariat shall ensure that 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.

WHAT DOES THIS MEAN FOR ISO CHAIRS, COMMITTEE MANAGERS AND CONVENORS?

1. Committee chairs and managers shall ensure that a replacement is identified for a committee manager that cannot attend a meeting, subject to agreement of the committee P members of that replacement.
2. Committee managers shall ensure any committee decisions can be documented by either a numbered resolution or numbered document providing the results of a committee internal ballot.

WHAT DOES THIS MEAN FOR US/TAGS?

Not applicable as these are responsibilities of a committee manager in his or her role.

Clause 1.12.1

Working groups and their tasks

WHAT HAS CHANGED?

The text has been added to this clause that (1) working groups shall operate by consensus and provide recommendations to their parent committee, and (2) during the preliminary work item and enquiry (DIS) stage, the parent committee may assign specific tasks to working groups.

WHAT DOES THIS MEAN FOR ISO CHAIRS, COMMITTEE MANAGERS AND CONVENORS?

ISO committee chairs, managers and WG convenors shall ensure that they conduct the work groups in accordance with this clause.

WHAT DOES THIS MEAN FOR US/TAGS?

Not applicable as these are responsibilities of the ISO committee chairs, managers and WG convenors.

Clause 1.12.2

Guests at working group meetings

WHAT HAS CHANGED?

The following text has been added to this clause:

Convenors may invite a specific guest to participate in a single meeting and shall notify the guest's National Body of the invitation.

WHAT DOES THIS MEAN FOR ISO CHAIRS, COMMITTEE MANAGERS AND CONVENORS?

WG convenors may invite a guest to participate in a specific WG meeting and cannot issue a blanket invitation for a guest to participate in multiple WG meetings. Furthermore, the WG convenor shall inform the relevant National Standards Body of any invited guest.

WHAT DOES THIS MEAN FOR US/TAGS?

Not applicable as this is a responsibility of a WG convenor, but US/TAGs should be aware of any persons from the USA invited to a WG meeting as a guest who may not be a member of the US/TAG.

Clause 1.15.1

Liaisons between technical committees

WHAT HAS CHANGED?

Text has been revised to clarify that (1) an ISO committee must document a decision to establish a liaison with another ISO committee by a resolution or numbered document that captures results of a committee internal ballot, and (2) that an ISO committee receiving a request for liaison from another ISO committee cannot refuse that request.

WHAT DOES THIS MEAN FOR ISO CHAIRS, COMMITTEE MANAGERS AND CONVENORS?

Committee chairs and managers shall ensure that decisions regarding liaisons between ISO committees are implemented as described above.

WHAT DOES THIS MEAN FOR US/TAGS?

Not applicable as these are responsibilities for ISO committee chairs and managers.

Clause 2.1.6.1 Removal of the 48 month development track

WHAT HAS CHANGED?

Revisions have been made to this clause consistent with the ISO/TMB decision taken in June 2019 that projects can no longer be proposed or registered under the previous 48 month development track as of May 1, 2020.

WHAT DOES THIS MEAN FOR ISO CHAIRS, COMMITTEE MANAGERS AND CONVENORS?

Committee managers shall ensure that proposals for new work can no longer be circulated for voting that propose using the 48 month development track nor can such projects be registered after May 1, 2020.

WHAT DOES THIS MEAN FOR US/TAGS?

US/TAGs shall ensure they do not submit new work item proposals that suggest using the 48 month track.

Clause 2.3.1

Need for new work item proposal to start a revision

WHAT HAS CHANGED?

Text has been added to this clause to clarify that a new work item proposal is not needed for a committee to approve a revision or amendment of an existing ISO standard, or a TS or a PAS within its 6-year lifespan. A new work item proposal is still required if the scope of the document is expanded

WHAT DOES THIS MEAN FOR ISO CHAIRS, COMMITTEE MANAGERS AND CONVENORS?

For implementation by ISO committee managers.

WHAT DOES THIS MEAN FOR US/TAGS?

Not applicable as implementation is the responsibility of ISO committee managers.

Clauses 2.3.1, 2.9.1, 2.9.3.2 & 2.9.3.3 Amendments and minor revisions

WHAT HAS CHANGED?

Text was added to these clauses to clarify that amendments and minor revisions can only be made to ISO standards and not other forms of ISO deliverables.

WHAT DOES THIS MEAN FOR ISO CHAIRS, COMMITTEE MANAGERS AND CONVENORS?

For implementation by ISO committee managers.

WHAT DOES THIS MEAN FOR US/TAGS?

To ensure that US/TAGs only propose amendments and minor revisions for ISO standards.

Clause 2.8.1

Final review before publication

WHAT HAS CHANGED?

Text has been added that a copy of the proposed final text will be sent to the ISO committee manager and project leader for review before publication.

WHAT DOES THIS MEAN FOR ISO CHAIRS, COMMITTEE MANAGERS AND CONVENORS?

ISO committee managers and project leaders (also potentially convenors) will receive a final proof document and are expected to review it in a timely manner and inform ISO/CS of their acceptance of it and/or any concerns they may have.

WHAT DOES THIS MEAN FOR US/TAGS?

Not applicable as these are responsibilities of ISO committee managers, project leaders and potentially convenors.

Clause 4.2.2

Working group meetings

WHAT HAS CHANGED?

Text has been added to this clause that (1) advance notice of a completely virtual WG meeting shall be issued no later than four weeks before the meeting, and (2) convenors shall ensure that everything reasonable is done to facilitate the active participation of all experts.

WHAT DOES THIS MEAN FOR ISO CHAIRS, COMMITTEE MANAGERS AND CONVENORS?

WG convenors shall issue notices for virtual meetings no later than four weeks before the meeting and shall work with experts to facilitate their active participation, including through virtual means if feasible.

WHAT DOES THIS MEAN FOR US/TAGS?

Not applicable as these are responsibilities of WG convenors.

Annex SA

ISO Code of Conduct

WHAT HAS CHANGED?

Links have been added to this Annex for (1) the ISO Code of Conduct and (2) the ISO guidance and process for addressing misconduct and breaches of the ISO Code of Conduct.

WHAT DOES THIS MEAN FOR ISO CHAIRS, COMMITTEE MANAGERS AND CONVENORS?

ISO committee leaders shall ensure that they have a strong knowledge of and ensure that all committee leaders, delegates, experts and ISO staff conduct themselves in compliance with the ISO Code of Conduct in the development of ISO standards.

WHAT DOES THIS MEAN FOR US/TAGS?

US/TAGs shall ensure that ANSI delegates and experts have a strong knowledge of the ISO Code of Conduct and ensure that they, ISO committees leaders and ISO staff conduct themselves in compliance with this Code.

Annex SK.4

Minutes of WG meetings

WHAT HAS CHANGED?

Text has been added to this clause to require that minutes of WG meetings be circulated within 4 weeks after the WG meeting.

WHAT DOES THIS MEAN FOR ISO CHAIRS, COMMITTEE MANAGERS AND CONVENORS?

WG convenors shall ensure that minutes of their WG meetings are drafted and circulated within 4 weeks after the WG meetings.

WHAT DOES THIS MEAN FOR US/TAGS?

Not applicable as this is a responsibility of the WG convenor.

Annex SM & SL Management system standards

WHAT HAS CHANGED?

In 2018, the IEC/SMB agreed that Annex SM and Annex SL would apply to the IEC in addition to ISO, and these Annexes were revised to apply to IEC in the 2019 Directives, Part 1 and named Annex M and Annex L. Subsequently, the IEC/SMB reversed its decision, and now these Annexes have been revised to remove references to IEC and again become Annex SM and Annex SL.

WHAT DOES THIS MEAN FOR ISO CHAIRS, COMMITTEE MANAGERS AND CONVENORS?

There is no substantive change for ISO committee leaders in the revisions to this Annex, which shall be implemented for ISO management system standards projects.

WHAT DOES THIS MEAN FOR US/TAGS?

There is no substantive change for ISO committee leaders in the revisions to this Annex, which shall be implemented for ISO management system standards projects.

Annex SN Registration Authority Policy

WHAT HAS CHANGED?

In 2019, ISO conducted a comprehensive review and revision of Annex SN on the registration authorities policy, and many changes have been made to this Annex. ANSI and concerned US stakeholders were actively engaged in this effort and were pleased with the outcome. It would be difficult to summarize the many revisions here.

WHAT DOES THIS MEAN FOR ISO CHAIRS, COMMITTEE MANAGERS AND CONVENORS?

Leaders of ISO committees that have registration authorities for some of their standards shall ensure that they have strong knowledge of this Annex and ensure its proper implementation.

WHAT DOES THIS MEAN FOR US/TAGS?

Not applicable as this is the responsibility of ISO committee leaders working with registration authority organizations and the ISO/CS legal team.

Annex SQ.3.1.4 & SQ.3.2.8

ISO IT knowledge of WG convenors

WHAT HAS CHANGED?

Text has been added that requires WG convenors to have appropriate knowledge of the required use of ISO applications for communications and document sharing.

WHAT DOES THIS MEAN FOR ISO CHAIRS, COMMITTEE MANAGERS AND CONVENORS?

WG convenors shall ensure that they understand that their WGs must use the appropriate ISO communications and document sharing tools and they shall ensure that they have adequate knowledge of how to use those tools.

WHAT DOES THIS MEAN FOR US/TAGS?

While this is a generally the responsibility of WG convenors, US/TAGs shall ensure that US persons are not advanced to serve as WG convenors unless they will commit themselves to knowledge of the ISO IT tools.

Q&A / OPEN DIALOGUE

Please use the Q&A
or Raise Your Hand functions to join the queue

Additional Resources

- ISO Code of Conduct:
<https://www.iso.org/files/live/sites/isoorg/files/store/en/PUB100397.pdf>
- ISO/IEC Directives: www.iso.org/directives
 - Part 1, Procedures for the technical work
 - Part 2, Rules for the structure and drafting of International Standards
- ANSI International Procedures: www.ansi.org/internationalprocedures
- Additional ISOT Resources (including Guide to Delegates):
<https://share.ansi.org/isot>

Thank you!

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