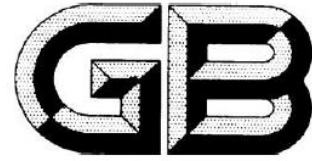


ICS 01.120

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National Standard of the People's Republic of China

GB/T XXXXX.1—201X

Association standardization—

Part 1: Guidelines for good practice

[Click here to add logos consistent with international standard](#)

(Draft for comment solicitation)

(This draft was finished on October 23rd 2015)

Promulgated on

Implemented on

Promulgated by
General Administration of Quality Supervision, Inspection and Quarantine of the
People's Republic of China
And
Standardization Administration of the People's Republic of China

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Foreword

GB/T XXXXX Association Standardization and GB/T 1 Standardization Work Guidance, GB/T 20000 Guidelines for Standardization Work, GB/T 20001 Standard Compilation Rules, GB/T 20002 Drafting of Specific Contents in Standard, and GB/T 20003 Special Procedure for Standard Development jointly consist of the fundamental series of national standards in support of the work of standard development and revision.

GB/T XXXXX Association Standardization is planned to be divided into two parts:

- Part 1: Guidelines for Good Practice
- Part 2: Good Practice Evaluation

This part is the Part 1 of GB/T XXXXX.

This part is drafted in accordance with the provisions given in GB/T 1.1-2009 Standardization Work Guidance Part 1: Structure and Compilation of Standards. This part is proposed and put under the management of the standardization technical committee of national standardization principles and methods (SAC/TC 286). The units contributing to drafting this part include:

The individuals contributing to drafting this part include:

Introduction

In recent years, some social groups, such as academy, association, chamber of commerce, union and industrial technical alliance, begin to carry out standard development and implementation to meet the demand of rapid change and diversity of market and scientific technology, and therefore, association standards in multiple forms, such as association standard, academic standard, have appeared. The development and implementation of these association standards embodied the decisive role of market in the standardization resource allocation and played an active role in supporting the operation of market-oriented economy.

Since the effort of standardization is a regulated activity process, the development of such activity follows the most fundamental activity code. This part is hereby developed in order to provide guidance to the groups with standardization demand and some foundation of standardization work for improving and completing relevant rules and procedures.

Association Standardization - Part 1: Guidelines for Good Practice

1 Scope

This part of GB/T XXXXX provided general principles for an association to carry out the activity of standardization, as well as good practice guidelines in terms of development procedures and compilation rules of association standards, and of management and operation of association standard development organization.

This part is applicable to guiding all kinds of associations in conducting the activity of standardization.

2 Normative reference

The following documents are indispensable for application of this document. Among all the reference documents marked with dates, only those marked with date are applicable to this document. Among any reference documents not marked with date, the latest version (including all modified lists) is applicable to this document.

GB/T 1.1 Standardization Work Guidance – Part 1: Structure and Compilation of Standards

GB/T20000.1 Guidelines for Standardization Work Part 1: General Terms of Standardization and Relevant Activities

GB/T 20003.1 Special Procedure for Standard Development – Part 1: Standards Involved in Patents

3 Terms and Definitions

The following terms and definitions defined in GB/T 20000.1 are applicable to this document.

3.1 association

A social group, such as academy, association, chamber of commerce, union and industrial technical alliance, that has corporate capacity with corresponding professional technical skills, standardization work ability and organization and management capacity.

3.2 standard

A document that is developed upon agreement as per specified procedure through standardization efforts to provide rules, guidance or features for all kinds of activities or their results for shared and repetitive use.

Note 1: a standard should be based on the comprehensive result of science, technology and experience.

Note 2: Specified procedure refers to the procedure for standard development promulgated by the organization that develops the standard.

Note 3: for international, regional and national standards, etc., since they can public acquire and keep up with the up-to-date technical level through modification or revision if necessary, they are regarded as recognized technical rules. The standards at other levels, such as professional association (academy) standard, and corporate standard, can affect several countries geographically.

[GB/T 20000.1—2014, definition 5.3]

3.3 association standards

Standards independently developed and promulgated by an **association** as per the standard development procedure of the association, which are adopted voluntarily by the public.

4 General

4.1 Openness

It is preferable that an association should open channels for recruiting association members in all aspects, based on which, it is preferable that the association should open to all the members in conducting the activity of standardization, reflect member's demand and ensure that they can participate in the standardization activity with equal opportunity.

4.2 Fairness

It is preferable that the association should ensure that the members enjoy the rights corresponding to their membership (such as getting documents, expressing comments and opinions and the right to vote) in conducting the standardization activity and that they take corresponding obligations (such as drafting, providing technical contribution and voting on schedule).

4.3 Transparency

It is preferable that information, such as the association's standardization organizational structure, operating mechanism, decision-making rules and standard development procedure, should be provided to all the members via proper channels in conducting standardization activity; and the association can publicize the information relevant to its standardization activity via public channel.

4.4 Consensus

It is preferable that consensus should be taken as the principle in conducting standardization activity by properly addressing the objections of associated important stakeholders on substantial issues, considering opinions of various parties as per procedure and coordinating all the disputes, and getting general agreement from the association members.

4.5 Promoting trade and communication

It is preferable that association standards should meet the market and trade demand and promoting sound development of the industry, not twist and fragment the market, not impede fair competition, and not restrict development of competitive technology and technical innovation based on the association standards by the practitioner of the association standards.

5 Organizational management of association standards

5.1 Function and structure

5.1.1 Overview

Standardization activity is an organized and regulated activity process. It is preferable that an association should establish an organization structure with the following functions according to its own characteristics in carrying out the standardization activity:

- a) Standardization decision making;
- b) Management and coordination of standard technical work;
- c) Standard compilation.

5.1.2 Functions

5.1.2.1 The function of standardization decision making includes developing strategic planning of association standardization, and making decisions on policies, regulations and standardization documents associated with the association standardization activities.

5.1.2.2 The management and coordination function of standard technical work includes developing all kinds of management bylaws, regulations and documents for the work of association standardization; managing and coordinating the work of association standardization, handling specific affairs, such as procedure development and revision, compilation rules and management of intellectual property rights and disputes appeared in the standard development; and conducting communication and cooperation with other units outside the association, etc.

5.1.2.3 The function of standard compilation includes creating standardization technical organization according to different fields of the associations; determining the work scope and work plan of the standardization technical organization, and completing the drafting work of specific standards.

5.1.3 Organization

5.1.3.1 In order to fulfill the functions stated in 5.1.2, if appropriate, the association can consider establishing corresponding organizations and carrying out work according to the principles established in Chapter 4. These organizations may include but not limited to the following organization types:

- Decision making organization: with the function stated in 5.1.2.1, may include but not limited to the forms of council, board of directors, and general meeting.
- Management coordination organization: with the function stated in 5.1.2.2, may include but not limited to standard management committee, secretariat, expert consultation committee.
- Standard compilation organization: with the function stated in 5.1.2.3, may include but not limited to the forms of technical committee, work group, etc.

5.1.3.2 It is preferable that the contents, such as establishment principles, establishment procedure, composition, work duties, work procedure, change and cancellation procedure and requirement of the organization stated in 5.1.3.1 should be clearly defined in relevant documents of bylaws of the association.

5.2 Work operation

5.2.1 Meeting

It is preferable that the association should develop relatively complete meeting organization bylaws to regulate meeting frequency, method, participants and the requirements of organizing the holding of meeting. The way of onsite meeting may be adopted for meetings during the activity of association standards development and revision. It is encouraged to carry it out by means of modern electronic method, such as email and remote teleconference. It is preferable that meeting documents (notice and standard draft, etc.) should be sent to association members and other attendees via modern electronic means such as email.

5.2.2 Complaint

It is preferable that the association should provide a relatively complete complaint mechanism so that the complaint privilege and content against standardization activities for association members and relevant policies, and the procedure and requirement for handling member's complaints by the relevant department within the association can be clarified.

5.2.3 Contact with other standardization organizations

It is preferable that the association should actively take part in activities of standardization organizations at all levels internationally, at home and abroad, (relevant to the professional field of the standardization of this association, and taking international standardization organization and Chinese national standard organization as priority), and try to apply to become an official member of relevant organization; and preferably establish fixed connection with these organization, for example, as an observer or contact organization, if it is not appropriate for it to become an official member.

5.3 Management of intellectual property rights

5.3.1 Patent

5.3.1.1 If the association standards may involve patents, it is preferable that the association should develop rules for handling the involvement of association standards in patents to properly address the issues of the involvement of association standards in patents and ensure that relevant parties that voluntarily carry out the association standards can successfully implement the association standards.

5.3.1.2 The rules for handling the involvement of association standards in patents should

be passed through consensus by its members as per certain rules of procedure; the principles, procedures and requirements for association's involvement in patents should be clarified to protect the legal interests and rights of the patentee(s).

5.3.1.3 It is preferable that the association should refer to the handling rules of involvement of association standards in patents provided in GB/T 20003.1; with the main content including but not limited to the following items:

- Goal or tenet of handling issues of involvement of association standards in patents;
- Requirement of patent information disclosure of patentee(s);
- Requirement of conducting voluntary patent implementation permission commitment based on fair, reasonable (including free or with reasonable permission charge) and non-discriminate condition;
- Requirement of publicizing the patent information involved with the standards;
- Requirement of existence of permission commitment after patent assignment.

5.3.2 Copyright

5.3.2.1 It is preferable that the association should develop policies of copyright of association standards to avoid copyright dispute when they are in use and sale to better promote development and propagation of the association standards.

5.3.2.2 It is preferable that the copyright policies of the association standards should include, but not limited to, the following contents:

- Copyright ownership of the association standards, and relevant copyright handling principles, procedures and requirements;
- The publicizing extent and scope of the association standards;
- The rights and obligations of the drafters and the internal members about the copyright;
- The use and sales of the publications of the association standards;
- The principles, procedures and requirements for a third party of using and selling the association standards

5.3.3 Trademark

The association can take the logo of the association standards as trademark to be used in activities such as certification, popularization and publicity of the association standards.

5.4 Coding and document management

5.4.1 Coding

5.4.1.1 It is preferable that the coding of association standards should consist of the code of the association standards, the code of the association, the sequence number and year of

the association standards. Here, the association standard code is fixed, being the capital Latin letter “T”, and the code of the association is independently determined by the association; it is preferable that capital Latin letters or a combination of capital Latin letters with Arabic numerals should be used.

Example; T/CAS 115-2015

5.4.1.2 The association is encouraged to check for repetition with the code of association to be used at the uniform association standard information platform of China (www.ttbz.org.cn) before developing the association standards.

5.4.2 Document management

5.4.2.1 Document management is a process for categorizing, sorting out and storing all kinds of documents involved in the standardization activities carried out by the association. Good document management plays an important role in reviewing and retrieving for fully and consecutively keeping historical information of the standardization activities carried out by the association. It is preferable that the association should establish good document management bylaws to clarify such contents as the requirement of document filing and of time limit of archiving.

5.4.2.2 Mainly three types of documents are involved in the standardization activities carried out by the association:

- Institutional documents: mainly include articles of association, standardization organization (with the functions stated in 5.1.2) management operation documents, standard development procedure documents, documents of standard compilation rules, patent handling rules, copyright policies, etc.
- Association standards and standard draft: refer to the standards officially promulgated by the association and the staged documents (such as association standard draft for discussion, draft for comment solicitation) during the development of association standards. As the case may be, such documents can also include standardization documents, such as technical guidance, work guidance and research report officially issued by the association, and staged documents during developing these standardization documents.
- Work documents: refer to other documents formed during association standard development except the institutional documents, association standard draft and association standards, such as project proposal, compilation instruction, summary and treatment list of comments, and meeting memorandum.

6 Procedure of association standards development and revision

6.1 Overview

The development and revision procedure is one of the necessary conditions for common technical documents to become standards. It provides path for association members and other relevant parties to be able to participate in association standards development and revision, acquiring relevant documents and learning relevant information; it can also promote regulation of association standard development and thus improve the work quality and efficiency of standard development. Therefore, it is preferable that the association should clarify its procedure of association standards development and revision. As the case may be, the procedure of association standards development and revision can be listed into relevant documents of the association for official promulgation and implementation, also be developed into separate documents for official promulgation and implementation.

The development and revision of association standards can refer to the following procedure:

- a) Proposal;
- b) Approval;
- c) Drafting
- d) Comment solicitation (essential);
- e) Passing and promulgation (essential); and
- f) Reviewing (essential).

6.2 Procedure

6.2.1 Proposal

The main work in this link is to have a formal inspection on the new project proposal (for example, if the materials are complete, if information is filled out complete, etc.). This link is optional. If this link is established in the procedure of association standards development, it is preferable that the subject of the formal inspection, the inspection content and the work requirement on the new project proposal should be clarified.

6.2.2 Approval

The main work of this link is to inspect the necessity and the feasibility of the new project proposal and bring into being the project plan of association standard development and revision after the inspection. It is preferable that this link be provided in the procedure of association standard development and that matters such as specific details and decision making rules of inspection and the inspection subject for the necessity and the feasibility

of the new project approval be clarified. It is preferable that the project plan of association standards development and revision be communicated to all the members so that the members can express their comments. If necessary, the association may also publicize the project plan of the association standards development and revision via appropriate channels so that interested parties may have the opportunity to express their opinions.

6.2.3 Drafting

The main work of this link is to carry out investigation analysis, experiment and verification on relevant affairs to complete drafting of technical content of the association standards. It is preferable to provide this link in the procedure of association standards development and to clarify how the technical content can be formed during the process of drafting the association standards.

6.2.4 Comment solicitation

The main work of this link is to solicit comments on the staged documents of the association standard and give treatment and coordination for the feedback. This link should be provided in the procedure of association standards development and it is preferable that matters, such as the scope, duration and requirement of comment treatment details for the comment solicitation on the association standards should be clarified. It is preferable that comments should be solicited among all the members on the association standards. It is encouraged to publicly solicit comments from the society for the association standards.

6.2.5 Passing and promulgation

The main work of this link is to inspection of the organization with the function of standardization decision making on the association standard documents to be passed and draw an conclusion on whether they should be passed through consensus or by voting. Those that passed should be promulgated. The procedure of association standards development should be provided with this link and matters such as the passing rules, association standard promulgating subject and form should be clarified. Inspection should be carried out in the form of meeting inspection for the association standards. While promulgating the association standards, it is preferable that the association should publicize the basic information of the association standards at the national uniform association standards information platform (www.ttbz.org.cn), including the association standard name, code, scope, main technical index and testing method, patent information and name, registered address and contact information of social groups.

6.2.6 Reviewing

The main work of this link is to evaluate the applicability of the promulgated association standards based on the demand of market and trade and present the review conclusion.

The procedure of association standards development should be provided with this link, and it is preferable that matters such as review condition and requirement and voting rules should be clarified so that a complete life cycle management can be formed.

7 Compilation of association standards

7.1 Coordination with external standards

It is preferable that Chinese national standards, international standards and standards of other regions and nations and other association standards should be collected sufficiently for the corresponding standardization target; the association members are encouraged to directly use the standards (especially international standards and Chinese national standards) if they can meet the demand of the members of this association; association standards of its own can be developed if those standards can not meet their demand.

7.2 Compiling principles

It is preferable that the association should develop uniform rules for standard compilation referring to GB/T 1.1, including such contents as its standard structure, drafting method, format and version, to ensure the applicability and coordination of this association standard.

Its standard (especially different part of a series of standards or one standard) structure (for example, sequence of corresponding number of articles and clauses), style (for example, phrasing of similar or same articles) and terms should be kept consistent.

It is preferable that the provisions in relevant basic general national standards should be followed for compiling association standards when the following contents are involved.

- Standardization terms;
- Principles and methods of terms;
- Quantity, unit and their symbols;
- Symbols, codes and abbreviations;
- Technical drawings
- Compilation of technical documents;
- Graphic symbols;
- Extremity, cooperation and surface characteristics;
- Priority number
- Statistical methods;
- Environmental condition and relevant tests;
- Safety;

- Electromagnetic compatibility;
- Conformity and quality; and
- Environmental management, etc.

7.3 Structure and style

The following style may be referred to when an association compiles association standards:

- a) Cover (essential);
- b) Table of contents;
- c) Foreword (essential);
- d) Introduction;
- e) Standard name (essential);
- f) Scope (essential);
- g) Nominative reference;
- h) Terms and definitions;
- i) Subject content (essential);
- j) Informative appendix;
- k) Nominative appendix;
- l) Reference; and
- m) Index.

7.4 Determination principles of technical requirement

It is preferable that the contents of association associations should be determined closely around the purpose of standard compilation and be as comprehensive as possible, but should not include the content irrelevant to the purpose of compilation.

It is preferable that the requirement of product standards should try to be on the basis of performance instead of design or description characteristics expression. Requirements involved in interchangeability and compatibility of product in the industry, or those for securing safety, can be based on design or description characteristics expression.

It is preferable that the requirements that can not be verified should not be written in association standards. The proposed technical standards should preferably consider the timeliness and verification cost for its verification.

8 Popularization and application of association standards

It is preferable that an association should publicize and popularize its standards via technical propagation and communication channels, such as training, forum and media. When appropriate, it is preferable that the association should establish a uniform certification system based on its standards, develop a series of certification system documents associated with certification pattern, certification procedure and certification mark and specific project certification implementation code. It is preferable that participation of certification organization should be drawn in during the development process.