The Technical Process for developing International Standards
ISO/IEC Directives

Official rules - Regularly updated

ISO/IEC Directives, Part 1 – Procedures for the technical work

ISO/IEC Directives, Part 2 – Rules for drafting International Standards

+ Consolidated ISO Supplement = Specific to ISO

www.iso.org/directives

Forms & templates on the ISO Website
New work
Main principle

Justification

✓ Think about the need
✓ Think about the users
✓ Global relevance

Risk assessment!
New work item - NWI

Proposal for a new project

In established committees

All new projects

CIB ballot mandatory

Annex C
NWIP procedure

Very robust information showing the market relevance of proposals

Positive votes from P-members come with a **statement** about the YES

Experts must be named

**NO JUSTIFICATION = VOTE NOT COUNTED**

Clause 2.3.4 + Annex C
Justification Statements

Why justifications for approval?

- Worldwide relevance
- Stakeholder engagement

How do you draft a justification?

Why is the standard needed?

- Explain the issue
- Explain the solution

No justification, vote is not counted
NWIP approval criteria

Simple majority of P-members voting

- Committees with **16 P members or less** need only **4** to participate (for the others still **5**)

- Experts must be **NAMED** to count towards the approval

- Minimum number of named experts must come from P-members **voting positively**
Revisions and Amendments

Resolution containing
- target dates
- confirmation of scope
- convenor or project leader

Call for experts

If expansion of scope => NWIP ballot required

Clause 2.3.1
Main stages
The stages

Preliminary stage (00)

Proposal stage (10) *

Preparatory stage (20)

Committee stage (30)

Enquiry stage (40)

Approval stage (50)

Publication stage (60)

* Committee resolution
If no change of scope
Revision
Amendment
00 - Preliminary stage

- Not sufficiently mature to process
- But where the committee wants to see it
- It is future work
- New work item vote to activate
10 – Proposal stage

NWIP Form 4 + draft

3-month ballot

2 months possible

NWI registered Form 6 to be returned within 6 weeks
20 - Preparatory stage (WD)

In Working Groups
One of main consensus building stage

First & subsequent WDs prepared
May not be needed if there is a good draft

Ends when project registered as CD or DIS
30 - Committee Draft stage (CD)

CD circulated by secretary

Comments compiled
To be circulated within 4 months

2-month ballot

With proposal & action taken on each comment

3 or 4 months possible

Clause 2.5 & Annex SS
40 – Enquiry Stage (DIS)

Every project must pass one public review
For circulation outside the committee to all MBs

DIS is circulated for vote from ISO CS
All votes & comments sent to ISO CS
Administration of DIS

- Preliminary stage (00)
- Proposal stage (10)
- Preparatory stage (20)
- Committee stage (30)
- Enquiry stage (40)
- Approval stage (50)
- Publication stage (60)

PDF & Word on STD server

Month 1
Notification to balloters & translators
PDF uploaded on e-balloting
Notification to balloters
Balloters submit national votes
Vote starts
Vote ends

Month 2
Month 3
Month 4
Month 5

National preparation
Ballot

Proposal stage (10)
Committee stage (30)
Enquiry stage (40)
Approval stage (50)
Publication stage (60)

Preliminary stage (00)
40 – Enquiry Stage (DIS)

Results & comments sent to the Secretariat

Secretary compiles & circulates
Main experts review the comments
Draft updated accordingly

Secretary submits text & forms to ISO CS for final stage
50 – Approval

DIS meets the necessary approval criteria + no technical changes:

- The default is to skip the FDIS and proceed to publication
- *CEN/TC* resolution for VA projects to skip the FDIS
- FDIS can be introduced (leadership decision)

If technical changes:

- FDIS required
- ISO/CS circulates the FDIS *(2 months)* to all *Member Bodies*
- Skipping FDIS => CIB resolution *(2/3 majority)*
- *VA projects must go through an FDIS vote*
ISO CS prepares the document for publication
ISO CS takes into account editorial corrections on FDIS

2 Week Project Leader-Secretary sign off

Made available through ISO CS & ISO Member Bodies
Comparing development process for an IS

<table>
<thead>
<tr>
<th>6 stages</th>
<th>Action</th>
<th>Balloting time</th>
<th>Default path</th>
<th>Shortest path</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Proposal NP</td>
<td>Proposal to start a new project</td>
<td>• 3-month ballot by default&lt;br&gt;• 2-month ballot possible&lt;br&gt;• TC/SC resolution for revision &amp; amendments</td>
<td>NP</td>
<td>NP Straight to DIS</td>
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<tr>
<td>2 Preparatory WD</td>
<td>Expert consensus within working group</td>
<td>• 2-month ballot by default&lt;br&gt;• 3 or 4 month vote possible&lt;br&gt;• Can be skipped</td>
<td>WD</td>
<td></td>
</tr>
<tr>
<td>3 Committee CD</td>
<td>Committee consensus</td>
<td>• 2-month translation&lt;br&gt;• 3-month ballot</td>
<td>CD</td>
<td></td>
</tr>
<tr>
<td>4 Enquiry DIS</td>
<td>National consensus</td>
<td></td>
<td>24 months to reach DIS</td>
<td></td>
</tr>
<tr>
<td>5 Approval FDIS</td>
<td>YES or NO vote</td>
<td>• Skipped by default&lt;br&gt;• Can be introduced&lt;br&gt;• 2-month ballot</td>
<td>FDIS</td>
<td></td>
</tr>
<tr>
<td>6 Publication</td>
<td>ISO International Standard</td>
<td></td>
<td>Up to 36 months IS</td>
<td>Down to 9 months IS</td>
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</tbody>
</table>

* OPTIONAL

ISOCS Admin. (CIB)

Sec. Admin. (CIB)
Time frames
Time frames

Standards have to be delivered on time!

- Stakeholder expectations / expert resources
- Set at the start
- Choice 2, 3 or 4 years
- Serious delays = actions!
Time frames for standards

At start of project, choose

- Track 1 = Accelerated = 24 months
- Track 2 = Default = 36 months
- Track 3 = Enlarged = 48 months
OPTIONS when under threat
OPTIONS when under threat

- Publish as TS / PAS
- Back to preliminary
- Ask ISO CS to move to next track
- Ask for an extension
- Delete from work programme
- Committee resolution
- Dedicated form 2 months before
- 9 month maxi
- Only ONE extension

Clause 2.1.6.2
Reinstatement

If a project is deleted & reinstatement needed

- Do 2 to 3-month ballot to confirm market need
- Use same criteria as for NWIP

TMB approval then needed

- include results of ballot
- justification – market need / safety etc…
Dates not met – why?

- No Project Leader
- No initial draft
- Lack of consensus
- Complexity of subject
- Inter-laboratory testing
- Insufficient resources

Help us promote good project management!
Follow projects

Project Portal

• Project status information
• Projects alerts & warnings
• Full projects history with stages
• Access to Post-voting decision process

http://isotc.iso.org/pp/
Project leader: -
ISO tech. prog. manager (TPM): Alcorta, José Mr. (ISO)
Secretariat: ANSI
Twinned secretariat: KEBS

In stage 10.09 [New project approved] for: 13 months 23 days

Timeline:

Stage History:

<table>
<thead>
<tr>
<th>Stage</th>
<th>Version</th>
<th>Description</th>
<th>Target date</th>
<th>Limit date</th>
<th>Started</th>
<th>Status</th>
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<tbody>
<tr>
<td>10.00</td>
<td>1</td>
<td>Proposal for new project registered</td>
<td>2014-04-07</td>
<td>2014-06-22</td>
<td>CLOSING</td>
<td>CLOSED</td>
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<tr>
<td>10.20</td>
<td>1</td>
<td>New project ballot initiated</td>
<td>2014-04-08</td>
<td>2014-07-10</td>
<td>CLOSING</td>
<td>CLOSED</td>
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<tr>
<td>10.60</td>
<td>1</td>
<td>Close of voting</td>
<td>2014-07-08</td>
<td>2014-09-06</td>
<td>CURRENT</td>
<td>CURRENT</td>
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<tr>
<td>10.99</td>
<td>1</td>
<td>New project approved</td>
<td>2014-09-06</td>
<td>2017-09-09</td>
<td>CURRENT</td>
<td>CURRENT</td>
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<tr>
<td>40.00</td>
<td>DIS</td>
<td>DIS registered</td>
<td>2014-09-06</td>
<td>2018-09-09</td>
<td>CURRENT</td>
<td>WAIT</td>
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<tr>
<td>60.60</td>
<td>1</td>
<td>International Standard published</td>
<td>2017-09-09</td>
<td>2017-09-09</td>
<td>CURRENT</td>
<td>WAIT</td>
</tr>
</tbody>
</table>
Proactive management

- Secretariats to **continuously** monitor
- **Decision taking** when dates not met
- Inform **P-members** & ISO/CS
Approval and voting
1st aim - Consensus

General agreement

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

Clause 2.5.6
Approval & voting

Always criteria to move to the next stage

- For each stage the TC needs to approve
  - P-members are obliged to vote
  - Two main stages ISO MBs have to approve
  - One member body = One vote
  - All ISO Member Bodies
Approval & voting

NWIP
3-month vote
- simple majority of P-members
- justification needed

WD
No vote
- consensus
- no averaging of positions
- experts nominated by members but they act in personal capacity

CD
2-month vote
- consensus
- support from 2/3 of voting P-members

DIS
3-month vote
- 2/3 majority of voting P-members
- no more than ¼ all votes cast are negative
- abstentions are not counted
- negative votes are only counted if they are accompanied by technical reasons

FDIS
2-month vote
Other types of deliverables
## Other deliverables

<table>
<thead>
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<tbody>
<tr>
<td>Normative</td>
<td>Normative</td>
<td>Informative</td>
</tr>
<tr>
<td></td>
<td></td>
<td>No requirements</td>
</tr>
<tr>
<td>Consensus in a committee</td>
<td>Consensus in a WG</td>
<td>Consensus in a committee</td>
</tr>
<tr>
<td>2/3 of P-members approval</td>
<td>Simple majority of P-members</td>
<td>Simple majority of P-members</td>
</tr>
<tr>
<td>Good when you can’t get to an IS</td>
<td>Good when you can’t get to an IS</td>
<td>Good when TC has collected relevant information e.g. test results</td>
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<tr>
<td>Review after 3 years</td>
<td>Review after 3 years</td>
<td>No life limit</td>
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<tr>
<td>Max life = 6 years</td>
<td>Maximum life = 6 years</td>
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<tr>
<td>(recommended)</td>
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</tr>
</tbody>
</table>
Maintenance
Systematic review

Collect information on use and adoption of ISO standards

Global relevance (all ISO MBs)

SR circulated by ISO CS to all MBs (5 months)

Every 5 years

Decision
- Confirm
- Revise
- Withdraw if not used by 5 countries

To ISO CS within 6 months Form 21

Monitored by ISO to measure Committee performance
QUESTIONS