



MODALITIES OF COOPERATION BETWEEN ISO AND PARTNER STANDARDS DEVELOPING ORGANIZATIONS (PSDOS)

(as approved in principle under Council Resolution 11/2004)

1 Introduction

The normal route for developing ISO standards is through a process involving national members and delegations. However, cooperation with other organizations in various ways may optimize resources, shorten timeframes and help to strengthen the collection of ISO International Standards in a consistent and coherent manner. Consequently, ISO has developed a policy of inclusiveness, materialized by agreements with other international organizations and standardizing bodies in fields covered by its scope, usually defined as all fields except electrical engineering and electrotechnology, which are the responsibility of the IEC, and telecommunications, which is the responsibility of the ITU-T. Specific cooperation agreements with these particular organizations have led to numerous joint publications and policy level coordination efforts under the World Standardization Cooperation (WSC).

In general, technical cooperation arrangements with other bodies that are not members of ISO can occur at three levels:

- a)** International organizations that have category A liaison with ISO technical committees and subcommittees may propose their own standards for processing under the DIS fast-track procedure as defined in the ISO/IEC Directives. Additionally, Council has established a special procedure (Council resolution 42/1999) which authorizes recognized international bodies to submit drafts at the DIS level and published standards at the FDIS level to ISO for adoption.
- b)** Regional standards organizations consisting of subsets of ISO members. In particular, the Vienna Agreement, which covers technical cooperation between ISO and the European Committee for Standardization (CEN), includes provisions for the parallel approval by ISO and CEN of standards developed in ISO or, by delegation, in CEN.
- c)** A new type of cooperation, initiated with the pilot projects with US SDOs, with "partner standards developing organizations" (PSDOs) that may generally be described as standards bodies having multinational input and a global reach.

This paper discusses the rationale for establishing agreements with such PSDOs, proposes criteria for determining which types of organizations would qualify and suggests principles of cooperation that would be further detailed in an agreement between ISO and an accepted PSDO.

2 Procedure and criteria for entering into and implementing an agreement with a PSDO

The proposed process for entering into such an agreement is:

- a) Identification of a potential partner PSDO by an ISO committee, an ISO member body or upon direct request by the potential partner PSDO.
- b) Evaluation of the candidate by the ISO Secretary-General, in consultation with the TMB, according to the following criteria:
 - full and prior consideration of existing ISO procedures for developing international standards in the proposed fields before seeking a PSDO cooperation agreement;
 - extent to which the candidate PSDO has developed *de facto* international standards, and demonstration that the candidate PSDO is a leader in subjects of interest to ISO members and stakeholders;
 - commitment from the candidate PSDO to support ISO's values and policies concerning international standardization;
 - acceptance of the rights and responsibilities of ISO members under ISO's fundamental principles (attached); and
 - evidence that the partnership would indeed optimize the use of experts and other resources (thus contributing to a consistent, complete and coherent set of International Standards whilst optimizing timely development and production).
- c) Submission of the proposed partnership by the Secretary-General to Council for approval. An indication of the scope and duration of the agreement shall be included in the proposal.
- d) Following Council approval, the ISO Secretary-General shall duly inform ISO member bodies and correspondent members of the agreement and its terms.
- e) Once the candidate has been approved as a partner PSDO, the ISO Secretary-General shall be responsible for finalizing and implementing the terms and conditions of the agreement in consultation with the relevant or affected ISO TC/SCs, with the TMB and with the ISO member body in the country where the PSDO is legally domiciled.
- f) The agreement shall be reviewed prior to its expiration. A proposal concerning the renewal shall be submitted by the Secretary-General to Council in due time (*e.g. by no later than six months prior to expiration*).

3 Modes of cooperation specified within the agreement

As was discussed by the CSC/STRAT, a cooperation agreement with a PSDO needs to be fair, pragmatic and allow flexibility in establishing productive collaboration with ISO. To that end, a "menu" of cooperation arrangements is envisioned to determine the terms of the agreement, along with conditions for specific modes. The three broad categories of cooperation are:

- promotion of normative referencing;
- processing of an already published standard; and
- cooperation in the development of an ISO International Standard

3.1 Promotion of normative referencing

The agreement would promote normative referencing of ISO standards by the PSDO in its standards. Conversely, ISO could promote the referencing of appropriate PSDO standards in compliance with its policy and directives relative to normative reference.

3.2 Processing of a standard already published by a PSDO

In certain cases, a PSDO may wish to propose a published PSDO standard for adoption as an ISO standard. Such adoption would be subject to an agreement between ISO and the PSDO in consultation with the ISO member body in the country where the PSDO has its legal seat. The adoption process may be through either DIS or FDIS fast-track as described in the following sub-sections, 3.2.1 and 3.2.2.

3.2.1 DIS fast-track

A PSDO could propose one of its published standards to ISO for enquiry vote. In this instance, the PSDO would submit a proposal to the relevant ISO committee which would decide, by simple majority vote, on the need for an ISO International Standard on the subject and, by a two-thirds majority of those voting, on the suitability of the PSDO standard for submission directly as a draft International Standard (DIS). Additionally, any ISO committee may request that the PSDO offer a particular published standard to ISO for adoption, provided agreement has been obtained from the PSDO and that the above acceptance criteria are met.

The ISO Central Secretariat would issue the document as a draft International standard in accordance with the voting period and approval criteria laid down in the ISO/IEC Directives.

At the end of the voting period, the comments received would be processed through a mechanism mutually agreed between the relevant ISO committee and the PSDO. Such mechanisms may include, for example:

- consideration of the comments at a special ballot resolution meeting convened by the secretariat of the relevant ISO committee and in which experts designated by the PSDO may participate; or
- consideration of the comments at a meeting of the PSDO's originating committee in which experts designated by the relevant ISO committee may participate.

The decision to further process the draft standard within ISO would rest with the Chairman of the relevant ISO committee. If the approval criteria are met, the document, modified as needed to take into account the comments received, would be returned to the ISO Central Secretariat for further processing as a final draft International Standard (FDIS). In the absence of negative votes on the DIS, the document could be prepared directly for publication.

NOTE – This process is similar to the fast-track procedure available to P-members and category A liaisons proposing that a published standard from any source be submitted for vote as a DIS.

3.2.2 FDIS fast track

In cases where a PSDO's published standard has a particularly high level of global use and acceptance, the PSDO may propose to ISO that an existing PSDO standard be submitted as a final draft International Standard (FDIS).

Such requests would be submitted to the Secretary-General for review and acceptance, in consultation with the relevant ISO committee(s). Upon acceptance, the PSDO's standard would be circulated to the ISO member bodies for a 5-month approval vote (to also allow for national

public review and, where necessary, translation). Requirements for acceptance would be those pertaining to the FDIS approval stage.

NOTE – This process is similar to the existing fast-track procedure available to "recognized international standardizing bodies" proposing that their published standards be submitted for vote as an FDIS.

3.3 Formal adoption of a published ISO standard by a PSDO

A PSDO may wish to formally adopt a published ISO standard. Such adoption would be subject to an agreement between the PSDO and the ISO member body in the country where the PSDO has its legal seat.

3.4 Cooperation in the development of an ISO International Standard

Cooperation in the development of an ISO standard may occur in cases where a PSDO is developing a standard (yet unpublished) which corresponds to a stated ISO Committee need. In this instance, two types of cooperation arrangements are envisioned:

- joint development and
- delegated development

In cases of cooperation and notably in case of delegated development, in order to streamline the process and to avoid difficulties at final stages of development, the involved ISO member bodies and the Central Secretariat should take particular care to ensure that ISO's principles of stakeholders' representation are fulfilled at the earlier stages of development.

3.4.1 Joint development

In certain instances, an ISO committee and a PSDO may agree that it would be mutually beneficial to develop current work (in one or both bodies) jointly. In such cases, the ISO committee and the PSDO shall develop an implementation process that aligns the procedural requirements of ISO and the PSDO. The description of the implementation process shall be confirmed by the Secretary-General, after, if needed, consultation of the TMB. An acknowledgement of the fact that the standard was developed jointly shall be included in the foreword of the standard.

3.4.2 Delegated development

The ISO committee may also decide to delegate the development of the International Standard to the PSDO. In such cases, the PSDO shall be responsible for deciding when a draft is sufficiently mature to be issued for the ISO enquiry stage, for dealing with any comments received and for preparing the text for circulation as a final draft International Standard together with the voting report indicating how comments have been dealt with. In the absence of negative votes at the enquiry stage, the document could be prepared directly for publication.

Conversely, the PSDO may decide to delegate the development of a standard to an ISO Committee. In such cases, the ISO Committee shall be responsible for deciding on the various steps of the standards development process, following the normal ISO procedures.

4 Publication and commercial arrangements

Any proposed agreement between ISO and a candidate PSDO submitted to Council for approval would specify:

- a) the arrangements made for sharing copyright associated to jointly produced publications;
- b) the compensation agreed in relation to the distribution of work (e.g. publication, editing);
and
- c) when relevant, the terms of the commercial collaboration between the ISO system and the PSDO, including distribution arrangements at international and national levels.

5 Maintenance of published standards

Revisions to standards produced under the agreement may be proposed at any time by ISO or the PSDO. ISO and the PSDO shall specify the mechanisms for dealing with such revisions. Systematic review of the standards produced under this agreement shall occur on a period agreed-upon between ISO and the PSDO and no longer than five years.

The agreement shall include a process for revising and approving the standard as per the appropriate mode described in Clause 3.

6 Term of the agreement and cancellation

The duration of the agreement shall be agreed upon by ISO and the PSDO. The agreement shall be reviewed prior to its expiration and any proposal concerning the agreement's renewal shall be submitted by the Secretary-General to Council in due time (*e.g. no later than six months prior to expiration*).

Notice of intent to cancel the agreement before term may be provided at any time by either party but at least six months prior to the proposed cancellation date. ISO and the PSDO shall attempt to resolve issues. If the outstanding issues cannot be resolved to the satisfaction of both parties, cancellation takes place on the proposed date.

Cancellation of the agreement shall imply suspension of work in progress under the modes described in Clause 3 and shall require taking steps to withdraw any ISO and PSDO standards already published under the agreement. However, with the concurrence of both ISO and the PSDO, the organizations may decide that certain published standards produced under the agreement remain in one or both catalogues for a specified period.



GENERIC FRAMEWORK FOR DEVELOPING A PSDO COOPERATION AGREEMENT

Preamble

Whereas one of the objectives of ISO is to facilitate the international exchange of goods and services through the development of International Standards,

Whereas the ISO Council has adopted a policy of inclusiveness and encourages cooperation between ISO and other standardizing bodies, where such cooperation would serve to ensure effective and efficient use of resources available for standardization activities,

Considering that (PSDO) develops standards that achieve global recognition and use,

Considering consultations with the ISO member body in the country where (PSDO) has its legal seat,

ISO and (PSDO) agree to the following principles of cooperation in the field(s) covered by the following ISO technical committee(s)*:

ISO/TC ...

NOTE – The following provisions include all the procedural options available to govern cooperation between ISO and a PSDO. Particular agreements may exclude some of these options.

1 Terms and definitions

ISO and (PSDO) shall define the terminology necessary for implementation of the PSDO cooperation agreement, when relevant by reference to corresponding ISO Standards and Guides.

2 Normative referencing

Where justified, ISO and (PSDO) agree to the normative referencing of their standards as appropriate in publications of the other organization in compliance with their policy and directives relative to normative references.

* The agreement may be extended to cover fields covered by other ISO technical committees subject to agreement with the PSDO, in consultation with the ISO member in the country where (PSDO) has its legal seat, and with authorization by the ISO Council.

3 Processing of a standard already published by (PSDO)

A published (PSDO) standard may be proposed for adoption as an ISO International Standard. The adoption process may be through either DIS or FDIS fast-track as described in the following sub-sections 3.1 and 3.2.

3.1 DIS fast-track

(PSDO) may propose one of its published standards, within the scope of the ISO technical committees covered in this agreement, to ISO for enquiry vote. In this instance, (PSDO) shall submit a proposal to the relevant ISO committee which shall decide, by simple majority vote, on the need for an ISO International Standard on the subject and, by a two-third majority of those voting, on the suitability of the (PSDO) standard for submission directly as a draft International Standard (DIS). Additionally, any ISO committee covered under this agreement may invite the (PSDO) to offer a particular published (PSDO) standard to ISO for adoption, provided agreement has been obtained from (PSDO) and that, subsequently, the above acceptance criteria are met.

The ISO Central Secretariat shall issue the document as a draft International Standard in accordance with the voting period and approval criteria laid down in the *ISO/IEC Directives*.

At the end of the voting period, the comments received shall be processed through a mechanism mutually agreed between the relevant ISO committee and (PSDO). Such mechanisms may include, for example:

- consideration of the comments at a special ballot resolution meeting convened by the secretariat of the relevant ISO committee and in which experts designated by (PSDO) may participate; or
- consideration of the comments at a meeting of (PSDO)'s originating committee in which experts designated by the relevant ISO committee may participate.

The decision to further process the draft standard within ISO rests with the Chairman of the relevant ISO committee. If the approval criteria are met, the document, modified as needed to take into account the comments received, shall be returned to the ISO Central Secretariat for further processing as a final draft International Standard (FDIS). In the absence of negative votes on the DIS, the document may be prepared directly for publication. If the approval criteria are not met, the proposal has failed, and (PSDO) and ISO shall mutually agree on further action.

NOTE – This process is similar to the fast-track procedure available to P-members and category A liaisons proposing that a published standard from any source be submitted for vote as a DIS.

3.2 FDIS fast track

In cases where a (PSDO) published standard has a particularly high level of global use and acceptance, (PSDO) or the relevant ISO committee may propose that an existing (PSDO) standard, within the scope of the ISO technical committees covered in this agreement, be submitted as a final draft International Standard (FDIS).

Such requests shall be submitted to the Secretary-General for review and acceptance, in consultation with the relevant ISO committee. Upon acceptance, the (PSDO) standard shall be circulated to the ISO member bodies for a five-month approval vote (to also allow for national public review and, where necessary, translation). Requirements for acceptance shall be those pertaining to the FDIS approval stage in the *ISO/IEC Directives*.

NOTE – This process is similar to the existing fast-track procedure available to "recognized international standardizing bodies" proposing that their published standards be submitted for vote as an FDIS.

4 Formal adoption of a published ISO standard by a PSDO

(PSDO) may wish to formally adopt a published ISO International Standard. Such adoption shall be subject to an agreement between (PSDO) and the ISO member body in the country where (PSDO) has its legal seat.

5 Cooperation in the development of an ISO International Standard

ISO International Standards are normally developed within ISO Committees. However, cooperation may occur in cases where (PSDO) is developing a standard (yet unpublished) which corresponds to a stated ISO committee need and that is within the scope of the ISO technical committees covered in this agreement. In this instance, two types of cooperation arrangements are envisioned:

- joint development and
- delegated development

In cases of cooperation and notably in case of delegated development, in order to streamline the process and to avoid difficulties at final stages of development, the involved ISO member bodies and the Central Secretariat should take particular care to ensure that ISO's principles of stakeholder representation are fulfilled at the earlier stages of development. The development processes for such cooperation arrangements shall be confirmed by the Secretary-General, in consultation with the TMB.

5.1 Joint development

In certain instances, an ISO committee covered in this agreement and (PSDO) may agree that it would be mutually beneficial to develop current work (in one or both bodies) jointly. In such cases, the ISO committee and the PSDO shall develop an implementation process that aligns the procedural requirements of ISO and the PSDO. An acknowledgement of the fact that the standard was developed jointly shall be included in the foreword of the standard.

5.2 Delegated development

An ISO committee covered in this agreement may also decide to delegate the development of the ISO International Standard to (PSDO). In such cases, (PSDO) shall be responsible for deciding when a draft is sufficiently mature to be issued for the ISO enquiry stage, for dealing with any comments received and for preparing the text for circulation as a final draft International Standard together with the voting report indicating how comments have been dealt with. In the absence of negative votes at the enquiry stage, the document may be prepared directly for publication.

Conversely, (PSDO) may decide to delegate the development of a standard to an ISO committee. In such cases, the ISO committee shall be responsible for deciding on the various steps of the standards development process, following normal ISO procedures.

6 Publication and commercial arrangements

ISO and (PSDO) shall agree on the following which shall also be submitted to Council for approval:

- a) the arrangements made for sharing copyright associated to jointly produced publications including, where relevant, arrangements for the production of double-logo publications;
- b) when relevant, the terms of the commercial collaboration between ISO and (PSDO), including distribution arrangements at international and national levels (e.g. licensing the distribution of (PSDO) standards that are normatively referenced in ISO Standards, joint publications of ISO and (PSDO) standards); and
- c) when relevant, any compensation agreed in relation to the distribution of work (e.g. publication, editing).

7 Maintenance of published standards

Revisions to standards produced under the agreement may be proposed at any time by ISO or (PSDO). ISO and (PSDO) shall specify the mechanisms for dealing with such revisions. Systematic review of the standards produced under this agreement shall occur on a period agreed-upon between ISO and (PSDO) and no longer than five years.

[The agreement shall describe a process for revision of the standard(s)].

8 Term of the agreement and cancellation

The duration of the agreement shall be (as agreed upon by ISO and (PSDO)). The agreement cancels and replaces any previous agreements between ISO and (PSDO). The agreement shall be reviewed prior to its expiration and any proposal concerning the agreement's renewal shall be prepared by the Secretary-General, in consultation with the TMB, and submitted to Council in due time (e.g. *no later than six months prior to expiration*).

Notice of intent to cancel the agreement before term may be provided at any time by either party but at least six months prior to the proposed cancellation date. ISO and (PSDO) shall attempt to resolve issues. If the outstanding issues cannot be resolved to the satisfaction of both parties, cancellation takes place on the proposed date.

Cancellation of the agreement shall imply suspension of work in progress under the modes described in Clause 4 and shall require taking steps to withdraw any International Standards already published under the agreement. However, with the concurrence of both organizations, ISO and (PSDO) may decide that certain published International Standards produced under the agreement remain in one or both catalogues for a specified period.