therefore a prima facie case for identifying classes of Profiles which correspond to these main areas of expertise. It is also the case that the subcommittee structure of ISO/IEC JTC 1 provides some clear pointers to where the boundaries between classes of Profiles should be made. These conceptual boundaries often coincide with real boundaries within implementations of real systems.

1.86.3**17.2.3** Having defined such classes, there is then a need to make further subdivisions, related to the inherent real-world divisions of functionality which are supported by the base standards concerned. These sub-classes correspond to functional elements which are meaningful to both users and suppliers; they correspond to points where choices are made, such as whether or not to use/offer a particular subset of an application service, or which communications sub-network environment is to be accessed.

1.86.4**17.2.4** The Taxonomy therefore provides a structure within which these choices can be made and recorded, and the embodiment of the Taxonomy is the structured identifier system. ISO/IEC TR 10000 provides the detail of this system.

1.87**17.3** ISP Preparation and Adoption

1.87.1**17.3.1** The procedure for developing and publishing an ISP shall be as described in 12. Processing is the same as for a standard except for the terminology. At Stage 3, the document is called a proposed draft international standardised profile (PDISP) or final proposed draft international profile (FPDISP). At Stage 4, the document is called a final draft international standardised profile (FDISP).

1.87.2**17.3.2** Organisations outside of JTC 1 that would like to submit a draft document for adoption as an ISP are invited to apply for recognition as a Publicly Available Specification (PAS) Submitter (see Supplement 1 to these Directives14 and Annex M).

1.88**17.4** Explanatory Reports

An explanatory report shall be prepared by the originator of a PDISP and shall be submitted with the PDISP. In addition to general information about the PDISP, it contains sections covering the base standards referenced, registration requirements, relationship to other publications, profile purpose, PDISP development process, ISP content and format and other pertinent information.

17**18** Appointment and Operation of Registration Authorities

1.89**18.1** Overview

There is a need in the field of information technology for the unambiguous identification of objects to provide interoperability between information systems. Individual standards committees have defined, as part of their development of technical standards, classes of objects (e.g., fonts, coded character sets, protocols, etc.). Specific objects are the individual members of the class of objects (e.g., for the class of objects "fonts", the objects might be "Times", "Gothic", etc.), Registration is the process whereby unambiguous names are formally associated with objects. This may be done by an organisation, a standard or an automated facility.

1.90**18.2** Types of Structures for Registration

There are two types of structures for registration:

- a single international level registration, e.g., the JTC 1 Registration Authority used in conjunction with ISO 2375 for coded character sets

- a hierarchy of registration, e.g., as for International Code Designators (ICD) in ISO 6523, Data Interchange - Structures for the Identification of Organisations

In the case of registration through a single international level registration, all names for a given object class are chosen from a single, flat, naming domain. In the case of registration through a hierarchy, the highest level of registration partitions the naming domain and assigns the registration responsibility for each partition to a subordinate level. This process can be iterative, with the subordinate level partitioning its assigned naming domain further and assigning those partitions.

In both cases above, the highest level of registration can be an IS or a JTC 1 Registration Authority.

In the case of a hierarchy of registration,

- a subordinate level of registration can be performed by an organisation, standard or automated facility;
- there can be a requirement for a JTC 1 Registration Authority within the hierarchy to provide for the registration of objects at the international level.

~~1.9~~18.3   Need for Registration and Registration Authorities

~~1.91.1~~**18.3.1** Technical groups developing technical standards shall make every attempt to avoid the necessity for registration and JTC 1 Registration Authorities in particular. Where this is not possible, technical groups shall attempt to satisfy their requirements through the use of existing registration processes (e.g. use of ISO 3166 by ISO/IEC 10021 and ISO/IEC 8348 Add 2).

~~1.91.2~~**18.3.2** All requirements for registration must be reviewed and concurred by ~~the RG-RA~~JTC 1 (see 18.4.2). Procedure standards for JTC 1 Registration Authorities must also be reviewed and concurred by ~~the RG-RA~~JTC 1 (see ~~17.4.2~~18.4.2). Where registration is performed by a means other than a JTC 1 Registration Authority, ~~the RG-RA~~JTC 1 must still assure the international integrity of the registration. This involves a review by ~~the RG-RA~~JTC 1 of the documentation of the process by which other organisations, standards or automated facilities provide the registration and action by ~~the RG-RA~~JTC 1 on an exception basis as required. This documentation may take the form of procedures to be included in the technical standard, reference to existing standards, or the creation of separate procedure standards.

~~1.92~~18.4   Standards and Publications

~~1.92.1~~**18.4.1** For every type of registration involving a JTC 1 Registration Authority, two different standards are required. The first is the technical standard in which the objects to be registered are defined. The second shall define the procedure according to which the JTC 1 Registration Authority shall work and specify its duties and obligations. The procedure standard shall also specify an appeals procedure which shall be written by ~~the RG-RA~~JTC 1 in consultation with the proposed JTC 1 Registration Authority and the ITTF.

~~1.92.2~~**18.4.2** Where a new JTC 1 Registration Authority is required, the technical group responsible for the technical standard defining the objects to be registered shall develop the companion procedure standard. The group shall consult with ~~the RG-RA~~JTC 1 at the beginning of the development of the procedure standard to discuss how the requirements in Annex E (see also 18.3) pertain to the class of objects to be registered. A draft of the procedure standard shall be registered for CD ballot at the time of DIS ballot of the technical standard.

~~1.93~~18.5   JTC 1 Registration Authorities

In cases where the implementation of an IS requires the designation of a JTC 1 registration authority, the rules in Annex E shall be applied.

~~10~~~~Preparation and Adoption of International Standards - The PAS Transposition Process~~

~~1.94~~~~Concepts~~

~~The PAS transposition process is based on the following key concepts:~~

~~**Publicly Available Specification (PAS)**~~

~~A technical specification is called a Publicly Available Specification (PAS) if it meets certain criteria, making it suitable for possible processing as an international standard. These criteria (see clause 18.3) have been established in order to ensure a high level of consensus, quality and proper treatment of Intellectual Property Rights (IPR) related matters.~~

~~**PAS Originator**~~

Annex A Secretariat Resources and Operational Requirements

A1 Resources of a Secretariat

An NB to which a Secretariat has been assigned shall recognise that, no matter what arrangements it makes in its country to provide the required services, it is the NB itself that is ultimately responsible to Councils for the proper functioning of the Secretariat.

The Secretariat shall therefore have adequate administrative and financial means or backing to ensure:

- facilities for typing in English or French, or both, and for any necessary reproduction of documents;

- preparation of adequate technical illustrations;

- registration and identification and use, with translation where necessary, of documents received in the official languages;

- updating and continuous supervision of the structure of the committee and its subsidiary bodies, if any;

- prompt dispatch of correspondence and documents;

- adequate communication facilities by telephone, facsimile, e-mail and web access;

- the ability to discharge the Secretariat's electronic document distribution responsibilities as defined in Annex H;

- arrangements and facilities for services during meetings, in collaboration with the host NB, as required;

- attendance of the Secretary at any meetings requiring the Secretary's presence, including JTC 1 or SC meetings, or both, editing committee meetings, WG meetings, and consultation with the Chairman as necessary;

- access by the Secretary to base ISs (see ISO/IEC Directives, Part 32), and to ISs, national standards and/or related documents in the field under consideration;

- access by the Secretary, when necessary, to experts capable of advising on technical issues in the IT field.

A2 Qualifications of a Secretary

The individual appointed as Secretary shall

- have sufficient knowledge of English or French, or both;

- be familiar with these directives;

- be in a position to advise the committee and any subsidiary bodies on any point of procedure or drafting, after consultation with the ITTF if necessary;

- be aware of any decisions by Councils or TMB/CATMB/SMB regarding the activities of JTC 1, SC, or WG for which the Secretary is responsible;

- be a good organiser and have training in and ability for managing and administering work, in order to organise and conduct the work of the committee and to promote active participation on the part of committee members and subsidiary bodies.

It is recommended that newly appointed Secretaries of SCs should make an early visit to the office of the ITTF in Geneva in order to discuss procedures and working methods with the staff concerned.

Annex B JTC 1 Standards Development Stages

Stage	Standard	Amendment	Fast Track	Technical Report	ISP	Technical Corrigendum
Stage 0 - Preliminary Stage						
Stage 1 - Proposal Stage	NP	NP		NP	NP	
Stage 2 - Preparatory Stage	WD	WD		WD	WD	Defect Report
Stage 3 - Committee Stage	CD FCD	PDAM FPDAM		PDTR	PDISP FPDISP	DCOR
Stage 4 - Approval Stage	FDIS	FDAM	DIS	DTR	FDISP	
Stage 5 - Publication	IS	AMD	IS	TR	ISP	COR

NOTES:

1)   Prior to the WD stage, new work is introduced into the programme of work via either a New Work Item Proposal (NP) for JTC 1 letter ballot (see 6.2.1) or a programme subdivision document for JTC 1 endorsement (see 6.2.2).

2)   *NPs,* CDs, FCDs, PDAMs, FPDAMs, PDTRs, PDISPs, FPDISPs and DCORs are balloted at the subcommittee level.

3)   DTRs are balloted at the JTC 1 level.

4)   DIS, FDIS, FDAMs and FDISPs are balloted at the ISO/IEC National Body level.

5)   Subsequent to the publication of an IS, AMD or ISP, Technical Corrigenda may be published to correct technical defects which adversely affect implementation.

6)   The text of each abbreviation is given in full on *xx~~vi~~*.

Annex C JTC 1 Policy on Conformity Assessment

C1 Role of JTC 1 in Conformity Assessment[1]

In order to foster the overall objectives of JTC 1 standardisation and to promote consistent implementation of JTC 1 standards and ISPs, JTC 1 has resolved that it:

- serve as the focal point on Information Technology[2] standardisation activities related to the assessment of conformity[3] of products to JTC 1 International Standards and ISPs, and increase its focus on those activities;

- position itself to be a major contributor to international acceptance of conformity assessment procedures and specifications for IT related areas;

- work to support an environment which encourages worldwide recognition of conformity assessment results.

C2 Authority and Responsibility

Consistent with the above resolution, the following policy has been affirmed.

C2.1 JTC 1 has the authority and responsibility to make clear for each of its standards, technical reports and ISPs

- whether or not conformity or compliance[4] requirements are specified,

- to what or whom those requirements apply, and

- how to verify conformity or compliance[4] to those requirements.

C2.2 It is the responsibility of each JTC 1 Subcommittee to ensure that any conformity requirements in its standards or ISPs for implementation in products are unambiguous and that conformity to those requirements is verifiable.

C2.3 Each JTC 1 Subcommittee has the authority and responsibility to specify the conformity assessment methodology[5] applicable to any distinct area of Information Technology that is entirely within the scope of that Subcommittee.

C2.4 The RG-CAI will normally conduct its business via electronic communication. The Rapporteur will work with the JTC 1 Liaison Officer to ISO/CASCO to ensure that ISO/CASCO Guides, Standards and Drafts are distributed within the Rapporteur Group or to the whole of JTC 1 as appropriate; are evaluated as required; recommendations made to JTC 1 as needed; and regular reports made to JTC 1 on the activities of the Rapporteur Group.

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[1]Conformity Assessment is any activity concerned with determining directly or indirectly that relevant requirements are fulfilled [ISO/IEC Guide 2:1991/DAM 1:1994, 12.1].

[2]Information Technology as defined by the work program of JTC1.

[3]Conformity is fulfilment by a product, process or service of specified requirements [ISO/IEC Guide 2:1991,13.1].

[4]Compliance is adherence to those requirements contained in standards and technical reports which specify requirements to be fulfilled by other standards, technical reports or ISPs (e.g. reference models and methodologies). Compliance is not considered further in this policy statement.

[5]A conformity assessment methodology may include the specification of some or all of the following: terminology, basic concepts, requirements and guidance concerning test methods, test specification and means of testing, and requirements and guidance concerning the operation of conformity assessment services and the presentation of results.

A3C3 Mutual Recognition

In the conformity assessment area, JTC 1's objectives include the facilitation of

- mutual recognition of accreditation, test reports, certification and registration in the IT field, primarily by developing appropriate standards, and

- recognition of Supplier's Declaration as a legitimate statement of conformity.

Annex D   (Not used)

[Note: This annex designation is not used in this edition for consistency with the previous edition of these Directives. The procedures for ISP approval and maintenance, previously contained in Annex D, have been modified by JTC 1 and are now contained in the main body of these Directives.]

Annex E Registration Definitions and Guidelines for Procedure Standards

E1 Definitions

For the purpose of registration, the following definitions apply:

applicant

An entity (organisation, individual etc.) which requests the assignment of a name for an object from a JTC 1 Registration Authority.

JTC 1 Registration Authority

An organisation approved by ISO/IEC for performing international registration according to the rules for operation in 2.7.2 and the procedure guidelines in E2.

name

The term "name" is used in its common English usage and refers generically to the terms "name," "address," "identifier," etc. used in specific JTC 1 standards.

naming domain

The set of names that are assignable to objects.

[Note: Usually a naming domain is concerned with objects in a particular class.]

procedure standard

The standard containing the specific procedures for the JTC 1 Registration Authority to follow.

register

A set of files (paper, electronic, or a combination) containing the assigned names and the associated information.

registration

The assignment of an unambiguous name to an object in a way which makes the assignment available to interested parties.

technical group

The group in JTC 1 (e.g., an SC) responsible for the relevant technical standards.

technical role (of a JTC 1 Registration Authority)

Recording definitions of the objects to which names are assigned and verifying that these definitions are in accordance with the IS defining the form of the definition.

technical standard

The standard containing the definition of the classes of objects requiring registration.

A2E2 Guidelines for Procedure Standards

E2E2.1   Purpose

The purpose of this section is to provide guidance to technical groups concerning the elements which must be included in a JTC 1 Registration Authority procedure standard.

[Note: Where JTC 1 Registration Authorities are not involved, portions of this section may also be useful in the work of the technical groups in assuring the international integrity of any registration, but are not normative.]

E2E2.2   Content of Procedure Standards

A procedure standard shall include definitions for:

- criteria for applicants for registration;

- information to be included on application including the technical definition of the object where applicable;

- steps involved in review and response to application including specific time frames;

- where not already included in the technical standard, a description of the naming domain, and the syntax of names used;

- criteria for rejection of applications, including (where applicable) procedures for the validation of object definitions;

- procedures for maintenance of register;

- if applicable, requirements for confidentiality of portions of the information;

- if applicable, procedures for publication of register.

~~E2~~E2.3   Criteria for Eligibility of Applicants for Registration

The procedure standard shall define the criteria for applicants for registration. Choices may include any of the following:

- NBs or liaison organisations of ISO/IEC;

- a national or international standards committee or subcommittee, or group appointed by such a subcommittee or committee;

- other organisations meeting specific criteria defined by the technical standards body in the procedure standard.

~~E2~~E2.4   Applications for Registration

The procedure standard shall define the information to be included with applications for registration. The minimum set of information is described in E2.13.2. Additional information can be specified. The format of the application shall be determined by the JTC 1 Registration Authority who may also require additional information to facilitate processing. The JTC 1 Registration Authority shall also provide tutorial material to assist applicants in preparing applications.

~~E2~~E2.5   Fees

The types of fees and amounts shall not be included in the procedure standard.

~~E2~~E2.6   Review and Response to Applications

The procedure standard shall define the process for the JTC 1 Registration Authority to review and respond to applications to ensure fairness and shall define the maximum time intervals between steps of the process.

Where the JTC 1 Registration Authority is expected to perform a technical role in determining conformance of the object to be registered to the technical standard, this role shall be defined in the procedure standard. The response to the applicant shall include information pertaining to the results of the technical review.

~~E2~~E2.7   Assignment of Names and Recording of Object Definitions

The procedure standard shall describe the assignment process for names. The process shall be such that the assigned name is unique within the register. The assignment process also shall be such that the same name is not assigned to another object.

After the assignment has been made, the name and associated information shall be included in the register and the JTC 1 Registration Authority shall inform the applicant of the assignment in a timely manner (within the maximum response time specified in the procedure standard). In cases where the JTC 1 Registration Authority performs a technical role the object definition shall be recorded in the register at the time when the name is assigned. The procedure standard defines the process by which the object definition is validated.

~~E2~~E2.8   Naming Domain

E2.8.1 General

When not already defined in the technical standard, the procedure standard shall define the appropriate naming domain and name syntax from which the JTC 1 Registration Authority will assign names either directly or by reference to a separate specification.

Wherever possible, the naming domain should be open-ended to accommodate future registration requirements.

In addition, in selecting the naming domain, the following should be considered:

- the reservation of space for special assignments;

- the syntax from which the names are assigned;

   [Note: Names may be represented in one or several forms (e.g. numeric, alphabetic, alphanumeric, etc.). When several forms are prescribed, the various forms are considered equivalent. For example, in ISO 3166 there are "Alpha-2", "Alpha-3", and "Numeric" codes for the representation of names of countries.]

- when the syntax requires numeric values, the use of sequential assignment wherever possible, starting at some arbitrary value;

- the length of the name;

- the matching criteria to be used for determination of duplicate entries.

E2.8.2 Re-use of Names

Depending on the volume of registrations anticipated, and technical and other considerations, re-use of names may be necessary. To be available for re-use, previously assigned names may either be given up voluntarily or be reclaimed (see E2.8.3). The procedure standard shall define whether:

- a name can never be re-used or;

- a name can be re-used after specific time period to identify another object.

If names may be given up voluntarily, the process by which this is done shall be described in the procedure standard.

E2.8.3 Reclamation

If the JTC 1 Registration Authority is allowed to reclaim a name, the procedure standard shall list the conditions under which reclamation is allowed and the procedure for reclamation.

~~E2~~E2.9   Rejection of Applications

The procedure standard shall define the criteria for rejection of applications. These criteria shall include the following as well as any additional criteria deemed necessary:

- ineligibility of applicant;

- the absence of proper fee;

- incomplete or incomprehensible information in application;

- the justification for inclusion in the register (as defined in the procedure standard) is not adequate;

- where the JTC 1 Registration Authority performs a technical role, the object to be registered does not conform to the technical definition.

In cases where applications are rejected for any reason, the procedure standard shall define the expected response time.

E2E2.10   Maintenance

The procedure standard shall define the requirements that the JTC 1 Registration Authority should follow for maintenance of the register. At a minimum, these shall include:

- Mechanisms for maintaining the integrity of register including adequate backup (such as off-premises storage) and records retention requirements. In addition, there shall be provision for the owner of a name to provide updated information (see E2.13);

- Mechanisms for maintaining confidentiality of data elements where such confidentiality is required. The specific data elements requiring such confidentiality shall also be specified in the procedure standard.

[Note: Additional requirements are covered in the contract between ITTF and the JTC 1 Registration Authority.]

E2E2.11   Confidential Information

Generally, the interests of the community of information technology users is best served if the register information is made public. In certain cases, however, there may be a need for confidentiality of some or all of the data pertinent to a particular registration, either permanently or for some portion of the registration process. If confidentiality is required, the procedure standard shall define such requirements. The JTC 1 Registration Authority shall ensure appropriate safeguards to protect the confidentiality of such information.

E2E2.12   Publication of the Register

The procedure standard shall define whether the JTC 1 Registration Authority should provide for publication (electronic or paper) of the register as a requirement or as an option. Where publication is required, printed paper versions are mandatory. The publication shall be consistent with any requirements for confidentiality of any of the information.

If the JTC 1 Registration Authority is to provide publication, the JTC 1 Registration Authority shall keep accurate distribution records pertaining to its publications.

E2E2.13   Information Requirements

The procedure standard shall specify the information contained in the register, and on forms associated with the registration process.

E2E2.13.1   Minimum Content of the Register

At a minimum, the register shall contain:

- the assigned name;

- name of initial applicant;

- address of initial applicant;

- date of original assignment;

- date of last transfer of assignment, if allowed (updatable);

- name of current owner (updatable);

- address of current owner (updatable);

- if the owner is an organisation, the name, title, postal/e-mail address, telephone/facsimile number of a contact person within the organisation (updatable);

- date of last update (updatable);

- where required by the technical standard or the associated procedure standard, a technical definition of the object.

The procedure standard shall define additional register information relevant to the class of objects to be registered.

E2E2.13.2   Minimum Content of Forms

The contents of forms (paper, electronic, or a combination of both) for Registration Application, Request for Update, Notification of Assignment or Update, and Rejection of Application shall include:

- name of applicant;

- address of applicant;

- if the applicant is an organisation, the name, title, postal/e-mail address, telephone/facsimile number of a contact person within the organisation.

[Note: There should be a correspondence between the data on these forms and the contents of the register.]

Depending on the type of form, additional information to be included shall be:

- data to be updated, old and new values (Request for Update);

- authorisation to release specific data (Registration Application);

- any justification required for the assignment (Registration Application);

- reasons for action taken (Notification of Assignment or Update, and Rejection of Application);

- where required by the technical standard or the associated procedure standard, a technical definition of the object to be registered (Registration Application).

The procedure standard should define additional information relevant to the class of objects to be registered.

E2E2.14   Consultation with Other Groups

The procedure standard shall indicate that the JTC 1 Registration Authority may consult with the technical group responsible for the technical standard and the associated procedure standard. In addition, it may consult with the RG RAJTC 1.

E2E2.15   Dispute Resolution

If there is dispute between an applicant and a JTC 1 Registration Authority, it is expected that the JTC 1 Registration Authority will make reasonable efforts to resolve the dispute. The procedure standard shall address any specific requirements for this informal process.

Additionally, to resolve the dispute, the procedure standard shall define a formal appeals process for use when the informal efforts to resolve the dispute fail. This appeals procedure shall be developed by the RG RAJTC 1 with the Co-operation of the technical group responsible for the technical standard.

Annex F (Not used)

[Note: This annex designation is not used in this edition for consistency with the previous edition of these Directives.]