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- discussion at
- comments by
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Title

INFORMATION PROCESSING SYSTEMS - INTERNATIONAL STANDARDIZED PROFILES - PART 2: TAXONOMY UPDATE, ISP APPROVAL & MAINTENANCE PROCEDURES

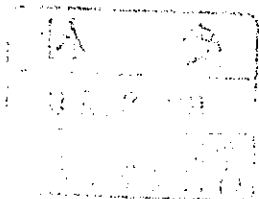
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Introductory note

SOURCE: Editor: JTC 1/SG-FS TR 10000, PART 2

STATUS: This part of TR 10 000 is being balloted as a PDTR in accordance with the resolution of the JTC 1 SG-FS meeting held in Tokyo, Japan, in May 1988.





1. SCOPE:

The scope of this part of TR10000 is to define the procedural mechanisms by which:

- a) An addition or modification to the TR10000 Part 3 occurs (see clause 4).
- b) A proposed Draft International Standardized Profile (PDISP) is submitted (see clause 5).
- c) A review of any submitted PDISP takes place (see clause 6).
- d) PDISP ballot results are resolved (see clause 7).
- e) Defects in ISPs are processed (see clause 8).
- f) The status of ISPs is recorded and updated in TR10000 Part 4. (see clause 9).

In the absence of specific rules, the ISO/IEC harmonized rules apply.

2. ABBREVIATIONS:

DISP - Draft Internationally Standardized Profile
FS+TG - Functional Standards - Taxonomy Group
ISP - Internationally Standardized Profile
PDISP - Proposed DISP
SG-FS - Special Group - Functional Standardization

3. FIELD OF APPLICATION:

These procedures are to be applied as follows:

- a) Clause 4 procedures on Taxonomy update are operated by the FS+TG on receipt of a change request from an authorized body (see 4.1). Unresolved problems and TR10000-3 update will be handled by the SG-FS.
- b) PDISP submission procedures in clause 5 shall be followed by an authorized body (see 5.1) submitting a PDISP.
- c) Clause 6 review procedures are carried out by the SG-FS or a duly authorized expert sub-group thereof.
- d) The PDISP resolution process described in clause 7 is carried out by the SG-FS in collaboration with JTCl Secretariat and the submitter and may involve an expert sub-group.
- e) ISP defect processing, as per clause 8, is carried out jointly by the SG-FS and the identified maintenance organization for the ISP.
- f) The update procedures for ISP status are utilized by the editor of TR10000-4.

4. TAXONOMY UPDATE PROCEDURE (TR10000-3 UPDATES)

4.1 SUBMISSION:

At any time, an authorized body can submit a change request for addition to, or modification of, the Profile Taxonomy classification found in Part 3 of the ISO TR10000. Such change requests are only acceptable within the framework set out in TR10000, i.e. within the scope of JTC1.

Authorized bodies include:

- a) 'A' and 'S' category liaison organizations of JTC1/SG-FS.
- b) SCs within JTC1 or other ISO Technical Committees with a JTC1 ISP requirement.
- c) The JTC1/SG-FS or the JTC1/FS-TG.
- d) JTC1/SG-FS 'P' members.

Change requests are to be circulated to members of the SG-FS.

4.2 PROCESSING OF CHANGE TO TR10000-3:

In order to accommodate small, non-controversial change, without unnecessary ballot cycles, but subject to FS-TG agreement, simple addition of profiles or modification of the classification in Part 3 should be accomplished by correspondence. It is the FS+TG convenor's responsibility to make an assessment as to whether the change is simple, complex or potentially controversial. The change will be circulated to FS+TG members, together with an assessment by the convenor as to the type of change being proposed and with a deadline for comments. This deadline will be sufficiently far in advance to enable a reasonable national-body level review to take place. In the absence of any negative comment, the proposal will be accepted. More complicated proposals or ones which have negative or substantial comment, will be actioned at the next FS+TG meeting. These meetings are proposed to be held every 6-9 months.

Any unresolved problems are to be referred to the SG-FS. Any P-member statement of concern is to be distributed as an SG-FS contribution.

EDITOR'S NOTE

A period for review to take place before the deadline is not stated. Two months would appear appropriate.

4.3 PUBLICATION OF NEW VERSIONS OF THE ISO TR10000-3:

Part 3 of TR10000, which contains the structured taxonomy listing, is expected to be updated by agreement within the SG-FS membership. Unless an SG-FS P-member requests a JTCl level ballot, a revised Part 3 is agreed at the next SG-FS meeting.

Parts 1 and 2 of TR10000 will be subject to JTCl - member letter ballot.

5. SUBMISSION OF A PDISP

5.1 OUTLINE OF PROCEDURE:

A proposed draft ISP (PDISP) can be submitted by an authorized body to the SG-FS. Authorized bodies are:

- a) Organizations in 'A' and 'S' liaison with JTCl/SG-FS.
- b) SCs within JTCl or other ISO Technical Committees with an ISP requirement.
- c) JTCl P-members.

The timing of processing of a PDISP from submission to publication is planned for 7-10 months as depicted in Annex A1. In order to meet the timing targets, potential PDISP submitters should make their submission intentions known as soon as possible. Such early notification will enable the SG-FS PDISP review process (see 6.7) to be set up. A notice of at least three months is therefore requested before submission.

A submitted PDISP shall be accompanied by an explanatory report from the submitter. Both the PDISP and the explanatory report will be circulated on receipt to SG-FS members and liaison organizations. The explanatory report contains a number of items of important information, including a declaration that certain openness criteria have been met. The explanatory report contents are detailed in 5.2. There may be an advantage gained through speeding up the PDISP processing if part or all of the explanatory report information is submitted in advance of the PDISP text, together with an indication of the intended date of submission of the PDISP itself.

In the interests of a rapid response, PDISPs will usually be reviewed by expert subgroups, whose constitution is determined by the SG-FS and reviewed from time to time.

The functions of an expert subgroup are described in clause 6. In controversial cases or in the case of the lack of an expert subgroup, it may prove necessary for the SG-FS to consider some submissions at its meetings.

5.2 EXPLANATORY REPORT:

An ISP may cover more than one profile and do so in multiple parts. The explanatory report should cover each part individually.

The explanatory report shall contain at least the following information:

A. General Profile Information

- (i) Profile identifier (if already assigned)
- (ii) Profile title
- (iii) Name of submitting organization
- (iv) Date of original notification to SG-FS
- (v) Identification of organization (or individual if known) responsible for PDISP maintenance.

B. Base ISO Standards/CCITT Recommendations Referenced

- (i) A list of ISO standards and CCITT recommendations - referenced in the PDISP together with their numbers, dates and titles.
- (ii) Similar information with regard to any national or regional standards referenced in the PDISP, together with a statement as to why these are required.
- (iii) A statement stating whether requirements in TR10000-1 on conformance (clauses 6.4-6.7 and 8.4) have been met.
- (iv) Any aspect of actual or potential non-compliance with base standards should be specifically addressed.

C. Profile Purpose

- (i) A statement of the identified purpose of the profile should be provided in a manner which a potential ISP user can clearly understand. It should be compatible with, or an extract from, clauses 1 and 5 of the PDISP and will form part of the published ISP.
- (ii) A statement on the relationship to any other ISPs or profiles in the taxonomy and the usage of common sections of text as described in Part1, Annex B.
- (iii) The results of any joint planning operation which may have taken place between the submitting organization and ISO SG-FS at which a review of the identified purpose of the PDISP took place.
- (iv) An indication of liaison activities with committees responsible for base standards referenced in the ISP.

D. PDISP DEVELOPMENT PROCESS

- (i) A statement on the origin and development history of the PDISP together with the dates of major change of status.
- (ii) A statement on the degree of openness of the PDISP development process and the extent of international harmonization that has been achieved, including, for example, whether or not the PDISP has been considered and/or endorsed by any of the regional workshops for OSI.

E. ISP CONTENT & FORMAT:

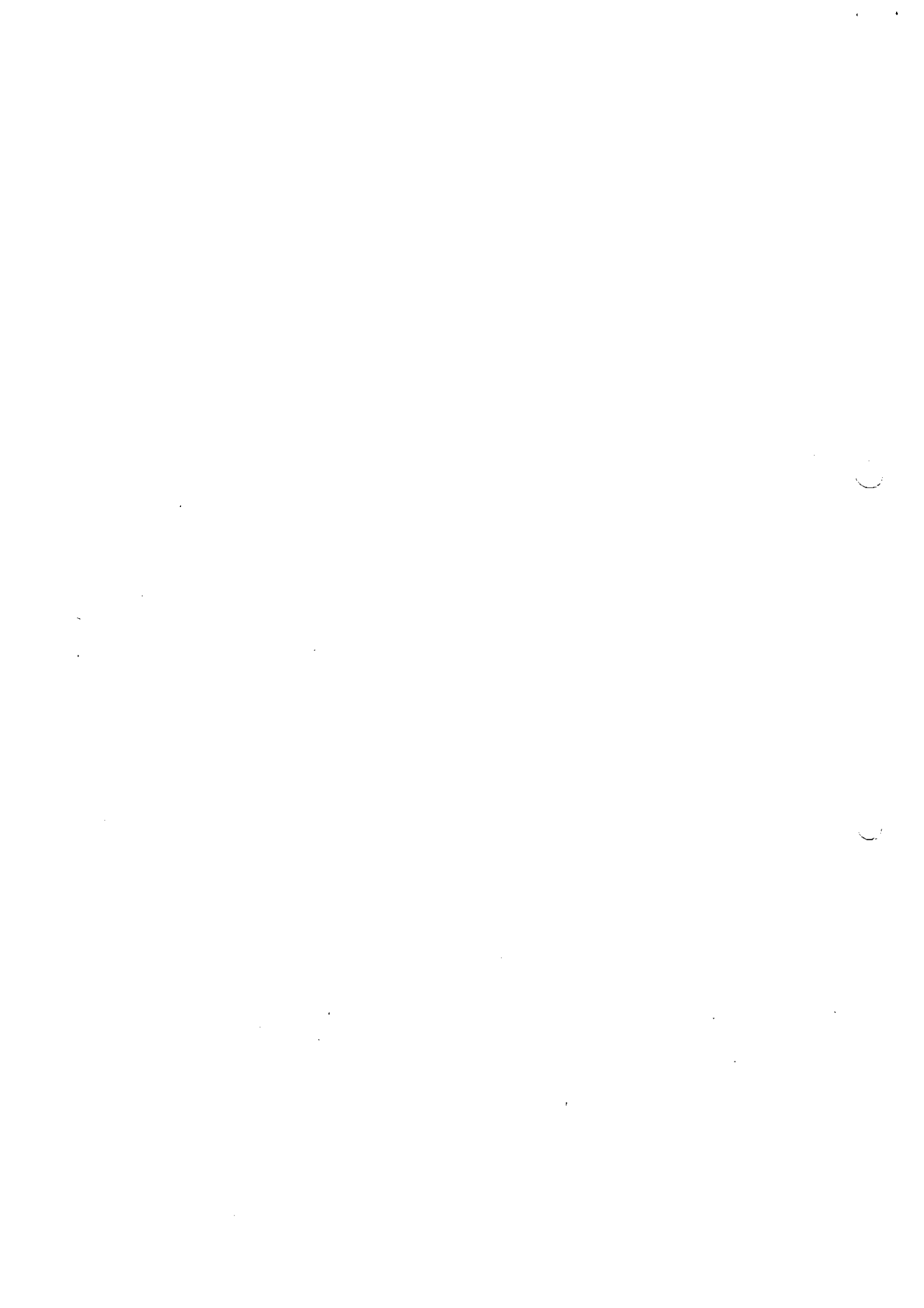
- (i) A statement as to whether the requirements on ISP content and format as described in TR10000 -1, clauses 6.3, 8 and Annex A have been met.
- (ii) If E(i) is not positive, an explanation for the divergence.
- (iii) Whether or not a multi-part ISP structure is envisaged and if so, an explanation of the structure.

F. ANY OTHER PERTINENT INFORMATION

6. PDISP REVIEW PROCESS

6.1. OUTLINE OF PROCEDURE:

A review report will be produced by the SG-FS or, more usually in the interests of timeliness, by a duly authorized expert subgroup of the SG-FS. Their mode of operation may be correspondence, electronic exchange of information or a meeting. The review group will assess the explanatory report information and the submitted PDISP and produce a review report in a period of 1-2 months. The report will contain an assessment as to the quality, acceptability and content of a PDISP. In normal circumstances, the PDISP changes status to a DISP. The report will be made available with the DISP voting text to enable JTCl members to take it into account in formulating the response to the JTCl level ballot on the DISP. Abnormal circumstances are described in 6.4.



6.2. COMPOSITION OF REVIEW GROUP:

The review group is composed of experts drawn from the SG-FS, other JTCl SCs and CCITT SGs which can offer expertise on the PDISP in question, and from the submitting organization. Typically, this will involve experts from one or more of the SC6, SC18, SC21, SC24 committees and/or CCITT study groups. These experts are not expected to formally represent their respective committees in the review process, but are requested to express their committee's views to the best of their ability.

6.3 SPECIFIC REVIEW ACTIONS:

As well as producing an overall assessment on quality, acceptability and content of a PDISP, the review group will pay particular attention to the following aspects.

- (a) Ensuring that an editor for the ISP has been identified, either by nomination from the PDISP submitting organization or by the appointment of an SG-FS expert willing to perform the task. The editor will guide the ISP through the approval process.
- (b) An identification of which JTCl SCs or CCITT SGs need to be advised on the conformance material in the PDISP, if they have not already been identified.
- (c) An assessment of the accuracy of the submitter's declarations in the explanatory report with particular attention to technical consistency in the PDISP in the use of base standards.
- (d) Evaluate the degree to which international harmonization is needed and has been achieved.
- (e) That the PDISP's associated profile position in the Taxonomy TR10000-3 has been identified and either actioned or requested to be actioned by the FSTG.
- (f) If it appears that the overall assessment will be negative, informal attempts may be made with the PDISP submitter in an attempt to resolve the deficiencies.

As part of their assessment, the review group should also give a clear indication if Part 4 of TR10000 shows another current or planned ISP in the same area. Although many factors are described above for the explanatory report and the review report, the main aim of the process is to facilitate the inclusion of ISPs in the Taxonomy TR10000 in a consistent manner and enable their swift publication in a style compatible with each other.

6.4. PDISP TO DISP TRANSITION:

Unless the PDISP submitter withdraws the PDISP, or the expert subgroup refers the PDISP to the chairman and secretariat of the SG-FS, then, following publication of the review report, the PDISP advances to DISP status and a ballot takes place at the JTC1 level, according to JTC1 procedures but with an extra month's provision as agreed for ISP ballot cycles. The procedures to be followed after the ballot are described in clause 7. Accompanying the ballot text of the DISP will be both the submitter's explanatory report and the review report. In the event that the expert subgroup refers the PDISP, then it is the responsibility of the SG-FS and the secretariat to resolve the issues involved prior to submission for ballot.

EDITOR'S NOTE:

On review, this necessary provision had been previously omitted.

7. PROCESSING OF THE DISP BALLOT

7.1. ACTION FOLLOWING BALLOT TERMINATION:

At the completion of the ballot period, the notes and accompanying comments will be reviewed by the JTC1 Secretariat and SG-FS convener, who will select one of the following three courses of action:

- (a) recommend publication of the PDISP text as an ISP; this course may be followed only if there are no NO votes or significant technical comment;
- (b) call a ballot resolution meeting under the SG-FS for review of the ballots cast and their associated comments;
- (c) after consultation with the submitting organizations, advise ISO CS and the submitting organization that the DISP has attracted overwhelming negative comment; this course may be followed only if it is clear that there is no way in which enough NO votes can be reversed.

It is to be noted that national bodies are entitled to submit NO votes on grounds other than purely technical ones. Relevant consideration to the DISP ballot include the scope and content of the explanatory and review reports as well as the technical specification of the DISP itself.

EDITOR'S NOTE:

This text is as agreed at the Tokyo meeting, however, it probably does not capture the distinction that was agreed at that meeting.

PROPOSED EDITOR'S AMENDMENT

Member bodies, when submitting their DISP ballot response, should take into consideration the scope and content of the explanatory and review reports as well as the technical specification of the DISP itself.

Ballots may be submitted based on not only purely technical considerations but also grounds of scope and content of the ISP programme and issues raised by the review and explanatory reports.

7.2. BALLOT RESOLUTION MEETING PROVISIONS:

A ballot resolution meeting will invite and should include representation from JTCl members and the submitting organization. The following outcomes are possible:

- (a) the national body comments can be resolved without technical change to the PDISP; in this case any necessary editorial modifications are made to the text, and publication as an ISP is recommended;
- (b) resolving the national body comments can be achieved only by means of a technical change to the PDISP. Any change should recognize the international harmonization that has been achieved. Such a change must be approved formally by the submitting organization, and the ballot resolution meeting may have to be suspended and subsequently reconvened to enable this process to take place. If the change is acceptable to both the submitting organization and the ballot resolution meeting, then a revised text is prepared and recommended for publication as an ISP. If the change cannot be agreed either by the submitting organization or by the ballot resolution meeting, the PDISP is withdrawn.
- (c) the national body comments cannot be resolved; in this case the PDISP is withdrawn.

8. ISP MAINTENANCE & DEFECT PROCESSING

8.1. DEFECTS IN BASE STANDARDS:

Within ISO/IEC JTCl standards committees a rapid amendment procedure operates for the rapid correction of possible errors, omissions, inconsistencies or ambiguities in agreed international standards. It has been widely circulated as ISO/TC97 N1740, Attachment C and a modified version will be included in the



'Harmonized procedures for the technical work of ISO and IEC' which are currently under development. The procedure results in the publication of errata and amendments to the base standards. Errata correct errors of a typographical nature and ones of composition in the publication process. Amendments correct errors of drafting in the standard. Either kind may have an impact on implementations of the base standard. An ISP shall state which errata and amendments, if any, are to be applied to the base standards which it references in the profile. The organization responsible for maintenance of the ISP shall monitor publication of amendments to base standards which the ISP references and submit amended versions of the ISP as appropriate.

NOTE: An ISP maintenance organization should recognize that amendments to base standards which correct errors should be included in an ISP on a timely basis so that incorrect profiles and their consequent implementations can be minimized.

8.2. DEFECTS DISCOVERED DURING THE ISP CREATION PROCESS:

Since ISPs refer to base standards, a defect in a base standard may be detected during the creation of an ISP. Such a defect will be reported to the organization (e.g. an ISO/IEC sub-committee) responsible for maintenance of the base standard. In the case of discovery of a defect in a PDISP-(as opposed to a defect in a referenced base standard) i.e. before the ISP is in its maintenance phase, the defect can be resolved by good cooperation between the ISP review group and PDISP developer/submitter. Such cooperation can occur before the PDISP is submitted for vote at the JTCl level.

8.3. DEFECTS IN ISPS IN A MAINTENANCE PHASE:

After an ISP has been approved and is therefore in the maintenance phase, defects may be detected in the ISP. A defect report on an ISP may be submitted by:

- (a) An ISO JTCl P-member
- (b) An organization in liaison with JTCl/SGFS
- (c) The organization responsible for maintenance of the ISP.

A preliminary assessment is made by SG-FS. A warning should be issued to SCs which may be affected. A valid defect report may identify a defect, either in the ISP itself, or in one of the referenced base standards. In the base standard defect case, the procedure for defects in base standards (as described in 8.1) is invoked. For a defect in the ISP itself, a correction is normally developed by the organization responsible for

maintenance of the ISP. Exceptionally in the lack of continuity of the submitting organization this may be done by an expert subgroup appointed by the SG-FS. An amended version of the ISP is developed in either case.

8.4. APPROVAL OF AMENDED ISPs:

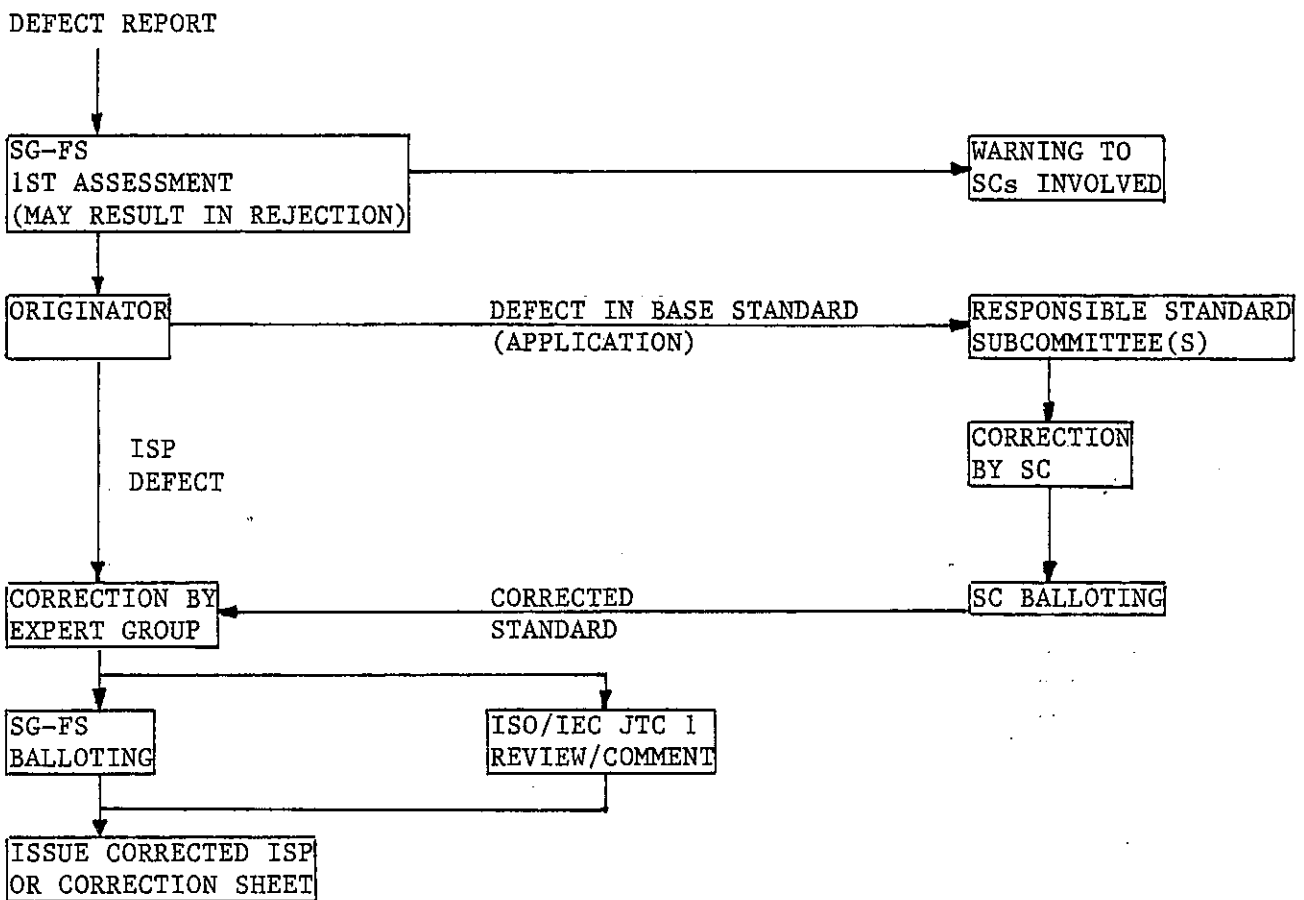
An amended ISP, whether amended for base standards defects as described in 8.1, or for ISP defects as described in 8.3, will be balloted at the SG-FS level with simultaneous circulation for review and comment at the JTCl level. Other forms of modification of ISPs (e.g. for new or enhanced function incorporation) will probably need to be processed as new parts of an existing ISP or as a new ISP. A transition plan should be prepared by the submitter for reasonable accommodation of new ISPs which succeed existing ISPs. The ISP amendment cycle is depicted in Figure 1.

9. UPDATE PROCEDURE FOR TR10000-4

TR10000-4 contains a table in clause 3 listing those profiles which submitting organizations have identified as being required or on which ISP work has been or is being undertaken. Upon receipt of a notification of proposed change from a recognized PDISP submitter as defined in 5.1, the SG-FS Secretariat will prepare an update to the table. The update may take the form of a new entry, deletion or a change to an existing entry to reflect a new status. Any issues arising from such proposed changes will be considered by the SG-FS convenor in the first instance. SG-FS will approve for publication any new version of Part 4 at its next meeting.



FIGURE 1: ISP DEFECT PROCESSING & AMENDMENT CYCLE





Stage	Time (months)	Activity	Actors
1	≤6	proposal for profile in Directory inclusion in Directory	Taxonomy Group + SGFS
2	?	update of Directory pre-development	external to SGFS
2	?	announcement of pdISP 1 development 2 preparation of review	1 external to SGFS 2 SGFS
3	1 to 2	submission of pdISP + Explanatory Report + appointment of editor review	Editor + Review Team + SGFS + ISO Central Secretariat
4	≤3 (+1)	distribution of dISP for voting voting	P-members JTCl
5	1½ to 2	voting results and comments become available resolution of comments	Editor + Review Team + SGFS
6	≤1½ +1	submission of ISP for publication publication	Central Secretariat
7	?	publication of ISP maintenance	external to SGFS

