



# **PRINCIPLES AND PROCEDURES**

## **FOR THE DEVELOPMENT AND ADOPTION OF**

# **TRIPARTITE STANDARDS**

**TRIPARTITE STANDARDS COMMITTEE**

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## **FOREWORD**

Under the provision of Article 28 of the COMESA, EAC, SADC Tripartite Free Trade area agreement, Member (Partner) States express their commitment to ensure that standardization, quality assurance, metrology and testing facilitate sustainable modernization in the territories of the tripartite member states. Within the provisions of this agreement, Member States are to evolve and apply common policy for standardization including the development and adoption of tripartite harmonized standard texts. The development of these procedures also takes cognizance of the call by the OAU Abuja declaration (1990) for African countries to cooperate in the area of standards, quality and measurement.

Annex 8 of the FTA agreement provides for the institutional framework to give effect to the provisions of the agreement.

These procedures define the methodologies for the development, adoption and publication of tripartite standards. Wherever feasible, and with the necessary modifications, the procedures are based on the relevant ISO/IEC Directives. Cognizance has also been taken of the WTO TBT Agreement.

## **PRINCIPLES AND PROCEDURES FOR THE DEVELOPMENT AND ADOPTION OF TRIPARTITE STANDARDS**

### **1 Scope**

This document lays down the basic principles, procedures and mechanisms by which the Tripartite Standards Committee (TSC), Tripartite Secretariat and the Tripartite Member States are to develop, publish and maintain Tripartite Standards and other deliverables.

Wherever feasible, and with necessary modifications, the procedures are based on the relevant ISO/IEC Directives.

It does not cover the means by which individual Tripartite Member States are to implement the text of such standards within their own national systems of standards.

### **2 References**

- 2.1** Agreement Establishing the COMESA-EAC-SADC Tripartite Free Trade Area
- 2.2** East African Community Standardization, Quality Assurance, Metrology and Testing Act, 2006 (hereafter EAC SQMT Act, 2006)
- 2.3** ISO/IEC Directives – Part 1: Procedures for the Technical Work
- 2.4** ISO/IEC Directives – Part 2: Rules for the structure and drafting of international standards
- 2.5** WTO Agreement of Technical Barriers to Trade (WTO TBT Agreement)
- 2.6** SADC Treaty
- 2.7** SADC Protocol on Trade
- 2.8** COMESA Treaty
- 2.9** EAC Treaty
- 2.10** Procedures for Development of East African Standards, 2005
- 2.11** Principles and Procedures for the Development of SADC Harmonized Texts, 2009
- 2.12** Procedures for harmonization of standards in the COMESA Region, 2004

### **3 Definitions and abbreviations**

#### **3.1 Definitions**

For the purposes of these procedures, the following definitions apply. Except as they are otherwise defined in the Agreement Establishing the COMESA-EAC-SADC Tripartite Free Trade Area, other terms in these procedures shall be interpreted in accordance with their ordinary meaning in context and in the light of the objectives of Annex 8 of the said Agreement and where appropriate by reference to the terms defined in:

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- (a) the latest edition of the ISO/IEC Guide 2, *Standardization and related activities — General vocabulary*, and/or
- (b) the latest edition of ISO/IEC 17000, *Conformity assessment — Vocabulary and general principles*, as amended from time to time or subsequent replacement.

### **3.1.1**

#### **consensus**

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

NOTE Consensus need not imply unanimity.

### **3.1.2**

#### **conflicting national standard**

a national standard within the same scope and field of application as a Tripartite Standard and with such provisions such that compliance with the national standard is not compliance with the Tripartite Standard or vice versa

### **3.1.3**

#### **Tripartite Standard (TPS)**

a standard approved by the Tripartite Standards Committee and adopted and declared by the Council

### **3.1.4**

#### **Tripartite Standards Committee TSC**

the Committee established under subparagraph 3.5 of Article 3 of Annex 8 of the Tripartite FTA Agreement. Unless otherwise qualified, “Committee” as used in these procedures means the Tripartite Standards Committee

#### **Technical Management Committee**

##### **TMC**

a Subcommittee established by the TSC for the purpose of elaborating and harmonizing standards and standards-related documents, with a view to their recommendation for adoption as Tripartite Standards amongst other deliverables

#### **Project Secretariat**

the Secretariat for a specific standards project, held by the NSB to whom it is allocated by the TMC for the duration of the harmonization period

#### **approval procedure**

any registration, notification or other mandatory administrative procedure for granting permission for a good or service to be produced, marketed or used for a stated purpose or under stated conditions

#### **assessment of risk**

evaluation of the potential for adverse effects

#### **conformity assessment procedure**

any procedure used, directly or indirectly, to determine that a technical regulation or standard is fulfilled, including sampling, testing, inspection, evaluation, verification, monitoring,

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auditing, assurance of conformity, accreditation, registration or approval used for such a purpose, but does not mean an approval procedure

### **international standard**

a standards-related measure, or other guide or recommendation, adopted by an international standardizing body and made available to the public

### **international standardizing body**

a standardizing body whose membership is open to the relevant bodies of at least all the parties to the *GATT Agreement on Technical Barriers to Trade*, including the *International Organization for Standardization (ISO)*, the *International Electrotechnical Commission (IEC)*, the *Codex Alimentarius Commission*, the *World Health Organization (WHO)*, the *Food and Agriculture Organization (FAO)*, the *International Telecommunication Union (ITU)*; or any other body that the Partner States designate

### **make compatible**

bring different standards-related measures of the same scope approved by different standardizing bodies to a level such that they are either identical, equivalent or have the effect of permitting goods or services to be used in place of one another or fulfil the same purpose

### **National Member**

A national standards body within the Tripartite FTA, or from a country likely to become a member of the Tripartite FTA which has committed itself to complying with the Agreement of the Tripartite FTA and whose written application for membership has been approved by the Council.

### **standard**

a document, approved by a recognized body, that provides, for common and repeated use, rules, guidelines or characteristics for goods or related processes and production methods, or for services or related operating methods, with which compliance is not mandatory. It may also include or deal exclusively with terminology, symbols, packaging, marking or labelling requirements as they apply to a good, process, or production or operating method

### **standardizing body**

a body having recognized activities in standardization

### **standards-related measure**

a standard, technical regulation or conformity assessment procedure

### **technical regulation**

document which lays down goods' characteristics or their related processes and production methods, or services' characteristics or their related operating methods, including the applicable administrative provisions, with which compliance is mandatory. It may also include or deal exclusively with terminology, symbols, packaging, marking or labelling requirements as they apply to a good, process, or production or operating method

### **Official Notification**

Formal Communication from the Council of Ministers indicating that the FDTS have been adopted and declared as Tripartite Standards. This includes issuing of Gazette Notice, Official Legal Journal, etc or any legal instrument conferring official recognition of the Tripartite Standards in the Tripartite FTA

## **3.2 Abbreviations**

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<b>CD</b>	Committee draft
<b>COMESA</b>	Common Market for Eastern and Southern Africa
<b>DTS</b>	Draft Tripartite Standard
<b>EAC</b>	East African Community
<b>EASC</b>	East African Standards Committee
<b>FDTS</b>	Final Draft Tripartite Standard
<b>FTA</b>	Free Trade Area
<b>ICS</b>	International Classification for Standards
<b>IEC</b>	International Electrotechnical Commission
<b>ISO</b>	International Organization for Standardization
<b>NSB</b>	National Standards Body
<b>NWIP</b>	New Work Item Proposal
<b>PWI</b>	Preliminary work item
<b>RECs</b>	Regional Economic Communities
<b>SADC</b>	Southern African Development Community
<b>SADCSTAN</b>	SADC cooperation in standardization
<b>SAG</b>	Strategic Advisory Group
<b>SC</b>	Subcommittee
<b>TBT</b>	Technical Barriers to Trade
<b>TC</b>	Technical Committee
<b>TMC</b>	Technical Management Committee
<b>TPS</b>	Tripartite Standard
<b>TSC</b>	Tripartite Standards Committee
<b>WD</b>	Working Document
<b>WG</b>	Working Group
<b>WTO</b>	World Trade Organization

## **4 Principles**

### **4.1 Openness**

Participation in Tripartite Standards Development process is open on a non-discriminatory basis to all interested parties in the Tripartite Member States through:

- a) Representation at Technical Committees, subcommittees or working groups;
- b) Public enquiry process on Draft Tripartite Standards (DTS).

### **4.2 Transparency**

The development of Tripartite Standards is a transparent process and all essential information shall be accessible to all interested parties. This shall be achieved through:

- a) Announcement of approved new work items on the websites of the respective RECs as well as the Tripartite Web-Portal;

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- b) Announcement of drafts for Public comment on the websites of the respective RECs and a notification to WTO Secretariat;

NOTE All Draft Tripartite Standards for public comment can be downloaded from Web-Portals free of charge.

- c) Publication of Standards work programme bulletin on Web-Portals and notification of the same to WTO Secretariat;
- d) Official Notification of adopted/amended/withdrawn standards;
- e) Prompt Publication of adopted/amended/confirmed standards;
- f) Sales of Standards;
- g) Searchable and downloadable Catalogue of Tripartite Standards on the respective Web-Portals.

### **4.3 Impartiality and consensus**

- a) The standards development process shall not favour the interests of any particular party and shall grant equal rights and opportunities in the development, and in the dissemination of standards development process to all interested parties;
- b) The principle of consensus is applied throughout the development process of standards.

### **4.4 Prioritization categories**

Prioritization of standardization mandates fall into the following categories:

*Category A:* Subject of mandates from the Council and/or Tripartite Secretariat for tasks requested by these two Tripartite Organs for rapid completion.

*Category B:* Harmonization of standards relating to the most traded products in the Tripartite Member States.

*Category C:* Aligning Tripartite Standards to the latest international standards where the initial references were to earlier versions of international standards

*Category D:* Standards developed by other organs of the Tripartite FTA which need to be adopted as Tripartite Standards.

*Category E:* Subjects under the programmes of the TCs on their own initiatives or as approved by the TSC.

### **4.5 Effectiveness and relevance**

**4.5.1** A proposal for a new harmonization project may be made by anybody in any of the Member States, but shall be routed through that country's NSB to the TSC, where the project shall be approved and allocated.

**4.5.2** The criteria used by TSC (and hence also by the NSB proposing the new work item) to approve the NWI, allocate the NSB secretariats, and to approve titles, scopes, programmes of work and priorities within work programmes shall be based on the aspects listed in 4.4.



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**4.5.3** At regular intervals a formal review of each Tripartite Standard shall be conducted by the responsible TC Secretariat to determine its continued applicability, and the need to amend, revise, withdraw, etc. Wherever possible, the review shall, in the case of adopted International Standards, be timed to coincide with and take into account the international review of the source document.

### **4.6 Coherence**

To avoid duplication and conflict, cooperation and coordination with the work of Member States, other regional and sub-regional and international standardizing bodies such as ISO, CODEX, IPPC, OIE, ITU and IEC shall be undertaken.

### **4.7 Notification procedure**

**4.7.1** To encourage transparency and convergence in the Tripartite FTA, each REC shall notify their work programmes to each other and the Tripartite Secretariat and where comments have been received from other Member States, they shall be taken into consideration when executing that work programme.

**4.7.2** Such programmes shall be notified twice a year.

### **4.8 Source documents**

Wherever possible, source documents shall be international standards (ISO, IEC, etc.). Where this is not possible, source documents, such as existing national standards in a Member country, shall be such that they do not refer normatively to standards that are not readily obtainable or to legislation that is of no legal force or effect in all Member countries.

### **4.9 Consensus principle**

The principle of consensus shall be applied. In cases of dispute, a formal appeal process (Clause 12) shall be followed.

## **5 Responsibilities**

### **5.1 Role and responsibilities of the Tripartite Secretariat**

The broad responsibilities of the Tripartite Secretariat in relation to Tripartite Standards include the following:

- (a) liaison with RECs;
- (b) provide input into the deliberations of the Committee in establishing priority areas for standardization programmes at REC and Tripartite FTA levels;
- (c) provide logistical support to the Committee in the design and management of Tripartite FTA projects for the implementation of standardization activities;
- (d) arrange for public review of Draft Tripartite Standards to solicit for comments by interested parties 60 days prior to the approval of the TPS by the TSC in accordance with the WTO TBT Agreement;
- (e) arrange for the presentation of Final Draft Tripartite Standards to the Council for declaration as Tripartite Standards and for the Official Notification of the Standards;

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- (f) maintain the catalogue and authoritative text of the declared Tripartite Standards;
- (g) coordinate and provide regional and international notifications regarding TPS including notifying the WTO of the Tripartite Standards work programme;
- (h) facilitate the liaison of regional standardization, metrology and conformity assessment activities to other relevant sub-regional, regional and international activities;
- (i) assisting, arranging for or requesting the translation of documents;
- (j) publicize and promote standardization activities and updating the TSC website;
- (k) receiving and keeping copies of progress reports, updating records with regard to the progress of work and strategic policy statements, collating these and passing them on to Tripartite meetings;
- (l) report to the Committee on the implementation of the decisions of the Council related to standardization;
- (m) managing the budget and work plans for the Committee, including financial arrangements within the Tripartite Secretariat;
- (n) perform any other activity requested by the Committee;
- (o) Notification of the TCs establishment for the purpose of development of TPS to Council of Ministers;
- (p) advising, on request, other RECs on correct procedure;
- (q) on behalf of the TSC, formally notifying Tripartite Member States of the approval of Tripartite Standards and duly notify the Member States to adopt the declared Tripartite Standards within six month without deviation from approved text of the standards;
- (r) maintenance of TSC's procedures, particularly the execution of the regulations for standards work, including the management of the public enquiry and formal vote for Tripartite Standards;
- (s) receiving from the responsible TC/SC the results of systematic reviews of already-approved Tripartite Standards, and notifying the TSC of the results; and
- (t) assistance to Technical Committees in their standards development programmes.

### **5.2 Tripartite Standards Committee (TSC)**

The Tripartite Standards Committee shall ensure the timely execution of the following:

- (a) undertake and coordinate activities related to standardization, metrology and conformity assessment;
- (b) develop and establish frameworks that advance compliance by the Member States with their obligations under the Tripartite FTA Agreement;

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- (c) set out priorities and prepare implementation programmes with regard to standardization, metrology and conformity assessment activities at REC and Tripartite FTA levels consistent with the provisions of the Tripartite FTA Agreement;
- (d) monitor and keep under constant review the implementation of the standardization, metrology and conformity assessment programmes at REC and Tripartite FTA levels;
- (e) submit standards, reports and recommendations to the Council on its own initiative or upon request of the Council concerning the implementation of the Tripartite FTA Agreement that affect standardization, metrology and conformity assessment;
- (f) establish procedures for the development, approval, notification and withdrawal of harmonized Tripartite Standards including the adoption of these standards at the national levels;
- (g) establish liaison mechanisms with other regional and international organizations consistent with the objects of the Tripartite FTA Agreement;
- (h) monitor and keep under constant review the effectiveness of the national WTO TBT Agreement enquiry points; and
- (j) perform other functions consistent with the objects of the Tripartite FTA Agreement;
- (k) Establish subcommittees to assist it in its operations; and
- (l) Liaise with regulatory authorities in the Member States.

### **5.3 The Technical Management Committee (TMC)**

**5.3.1** The chairmanship of the TMC shall be held by a Partner State NSB for a period of three years. The chairperson shall be appointed on the recommendation of the TMC.

#### **5.3.2 Role**

Technical body which controls the full standards programme and promotes its speedy execution by the Technical Committees (TC), the Tripartite Secretariat, and other bodies.

#### **5.3.3 Reports to**

Tripartite Standards Committee (TSC).

#### **5.3.3 Responsibilities**

The TMC is responsible for the overall management of the technical work of Tripartite technical committees and in particular for:

- (a) Establishment and dissolution of technical committees;
- (b) Appointment of chairmen of technical committees;
- (c) allocation or re-allocation of secretariats of technical committees and, in some cases, subcommittees;
- (d) approval of titles, scopes, programmes of work, policies and strategies of technical committees;

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- (e) ratification of the establishment and dissolution of subcommittees by technical committees;
- (f) Proposes on priority of standardization projects for approval by the TSC taking into account the common interests of the Member States;
- (g) Submit standards, reports and recommendations to the TSC for approval
- (h) coordination of the technical work, including assignment of responsibility for the development of standards regarding subjects of interest to several technical committees, or needing coordinated development; to assist it in this task, the TMC may establish advisory groups of experts in the relevant fields to advise it on matters of basic, sectoral and cross-sectoral coordination, coherent planning and the need for new work;
- (i) monitoring the progress of the technical work and taking appropriate action;
- (j) reviewing the need for, and planning of, work in new fields of technology;
- (k) maintenance of these procedures and other rules for the technical work;
- (l) consideration of matters of due process raised by RECs, and of appeals concerning decisions on new work item proposals, on committee drafts, on enquiry drafts or on FDTS;
- (m) Supplying the Tripartite Secretariat with the work program bulletin for posting on the Tripartite website and notification to all Member States and WTO/TBT;
- (n) Supplying the Tripartite Secretariat with the list (title and scope) of Standards ready for public comment and approved new work items for posting on Tripartite Web-Portal;
- (o) Advises on all matters concerning the organization, the working procedures, coordination and planning of standards work including standstill obligations
- (p) Coordinates work between technical bodies in order to achieve a coherent set of TPS and to avoid overlaps
- (q) Organizes technical liaison with intergovernmental organizations, international organizations or trade, professional, technical and scientific organizations
- (r) Considers and rules upon appeals

### **5.3.4 Composition**

#### **Membership:**

- The Chairperson
- Secretariat
- one permanent delegate from each National Member

#### **Observers:**

As may be invited by the Chairperson

### **5.3.5 Method of appointment**

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TMC members are appointed by the National Members

### **5.3.6 Mode of working**

**5.3.6.1** Meetings are convened by the Tripartite Secretariat upon request of the Chairperson or at the request of at least five members. Urgent matters can be dealt with by correspondence in between formal meetings. The TMC normally meets twice a year.

**5.3.6.2** Decisions can be made correspondence or through meetings. The quorum shall be considered to have been achieved when there are at least five National Members represented.

**5.3.6.3** Working Groups (WGs) can be created by the TMC whenever a technical need for information, advice, a study or rules is identified. Its composition is decided by the TMC. An TMC WG reports to the TMC on a regular basis and is disbanded when its task is finished.

**5.3.6.4** Rapporteurs are granted the formal option to request that an TMC resolution submitted by correspondence of importance to their sector, be discussed at an TMC meeting.

**5.3.6.5** TMC Task Forces (TMC TFs) are technical bodies, set up by the TMC, to undertake a specific short term standardization task before a target date and are composed of a Convenor and national delegations. A TF reports to the TMC on a regular basis and is disbanded when its task is finished.

## **5.4 National Standards Bodies**

### **5.4.1 Role**

The Member State national standards body has as a principal function, by virtue of its statutes, the preparation, approval or adoption of standards that are made available to the public.

### **5.4.2 Responsibilities**

The broad responsibilities of the National Standards Bodies (not as Secretariats) include the following:

- (a) Develop and publish national standards in line with internationally recognized practices;
- (b) Liaise with relevant regional and international organizations with the similar objectives;
- (c) Give effect to the decisions and recommendations of the Council and the Committee with regard to Tripartite Standards;
- (d) Promote and facilitate the use of standards as the basis for the development of technical regulations;
- (e) Provide standards and standard related information to the public and private sectors;
- (f) Promote the concept of standardization in general;
- (g) Represent or coordinate representation of the Partner State on relevant regional and international standardization organizations;

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- (h) Circulate Committee Drafts to stakeholders in own country;
- (i) Collate comments from stakeholders into a national position for submission to the Secretariat;
- (j) Initiate the corrigenda, amendments and the review process as required by the market place.
- (l) Designates delegates to Technical Committees (TCs) and Subcommittees (SCs) and experts to Working Groups (WGs), ensuring a balanced representation of all interested parties
- (m) Ensures that delegations to TCs are adequately briefed on the work and informed/trained in the relevant procedures
- (n) Keeps within timescales for the provision of deliverables, e.g. votes, and the implementation of TPS at national level
- (o) Provides committee secretariat when holding a TC or SC secretariat, and at least professional standardization support to its home country WG convenors
- (p) Notifies the Tripartite Secretariat of new national projects for consideration
- (q) Implements all Tripartite Standards (TPS) and withdraws any conflicting national standards as required in the Tripartite FTA Agreement.
- (r) Sells and distributes Tripartite Standards and other deliverables.
- (s) Designates TC Chairpersons and TC Secretaries when holding Technical Committee Secretariat(s) for appointment by the TMC.

### **5.4.3 Rights**

- 5.4.3.1** To participate and vote in management/policy committees, e.g. the TSC and nominate members to the TMC and other Technical Sub-Committees
- 5.4.3.2** To request a TSC meeting
- 5.4.3.3** To vote on TPS, Technical Specifications (TSs) and other deliverables
- 5.4.3.4** To appeal against any action or inaction of any TC, other body or officer of TSC in accordance with these procedures
- 5.4.3.5** To propose new work item(s) in accordance with the correct procedure provided that the National Member has, or can ensure the availability of, the resources to support the proposed work
- 5.4.3.7** To request A-deviations
- 5.4.3.8** To receive automatically and without charge at the time of the issue TSC publications, e.g. TPS, TSs etc including their drafts, and Tripartite publications, e.g. Catalogue
- 5.4.3.9** To sell and distribute all publications, e.g. TPS, Technical Specifications (TS), etc ... including their drafts, and publications, e.g. Catalogue

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### **5.4.4 Method of appointment/Review**

**5.4.4.1** Automatic membership for NSBs of Member States

**5.4.4.2** Written application to the Council of Ministers by country in process of joining the Tripartite FTA.

### **5.4.5 Mode of working**

**5.4.5.1** Participation in the Sub-Committees of the TSC through representatives appointed in accordance with agreed procedures

**5.4.5.2** National mirror committees provide advice to the National Member on nominations to TCs, comments on drafts and effectively provide the briefings for the delegation, formulate national positions and recommendations on voting for specific standards projects

**5.4.5.3** Where the National Member has no mirror committee because resources are limited or there is minimal interest, an individual expert(s) may provide any necessary information

**5.4.5.4** The National Member may subcontract its secretariat but retains full responsibility for the adequate performance of the secretariat

## **5.5 Establishment of technical committees**

### **5.5.1 Role**

The primary duty of a Tripartite TC or subcommittee is the development and maintenance of Tripartite Standards.

However, Tripartite TCs are also encouraged to consider publication of intermediate deliverables namely Technical Specifications (TS), Technical Reports (TR) and Publicly Available Specifications (PAS).

### **5.5.2 Reports to**

Technical Management Committee (TMC).

### **5.5.3 Allocation**

**5.5.3.1** Tripartite Technical committees shall be established and dissolved by the TMC.

**5.5.3.2** The TMC may transform an existing subcommittee into a new technical committee, following consultation with the technical committee concerned.

**5.5.3.3** A proposal for work in a new field of technical activity which appears to require the establishment of a new technical committee may be made in the respective organization by:

- a Member State NSB;
- a technical committee or subcommittee;
- TSC or the Council of Ministers;

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— TMC;

**5.5.3.4**The proposal shall be made using the Form XXXX, which covers

- (a) the proposer;
- (b) the subject proposed;
- (c) the scope of the work envisaged and the proposed initial programme of work;
- (d) a justification for the proposal;
- (e) if applicable, a survey of similar work undertaken in other bodies;

The form shall be submitted to the Tripartite Secretariat.

**5.5.3.5**The TSC Secretariat shall consult interested parties, immediately after such a proposal is received by circulating it to all Member State NSBs together with the **vote Form XXX2** asking whether or not they

- (a) support the establishment of a new technical committee, and
- (b) intend to participate actively in the work of the new technical committee.

The replies to the proposal shall be made using **vote Form XXX2 within 3** months after circulation.

**5.5.3.6**The TMC evaluates the replies and either

- (a) decides the establishment of a new technical committee, provided that
  - all the Member State NSBs voting are in favour of the proposal, and
  - at least 5 Member States have expressed their intention to participate actively,and allocates the secretariat, or
- (b) assigns the work to an existing technical committee, subject to the same criteria of acceptance.

**5.5.3.7**Technical committees shall be numbered in sequence in the order in which they are established. If a technical committee is dissolved, its number shall not be allocated to another technical committee.

**5.5.3.8**A new technical committee shall agree on its title and scope as soon as possible after its establishment, preferably by correspondence. The scope is a statement precisely defining the limits of the work of a technical committee.

The definition of the scope of a technical committee shall begin with the words "Standardization of ..." or "Standardization in the field of ..." and shall be drafted as concisely as possible. Should it be necessary to specify that certain questions are outside the scope of the technical committee, these questions shall be listed at the end of the scope and be introduced by the word "Excluded: ...".

**5.5.3.9**The agreed title and scope shall be submitted by the technical committee secretariat to the TMC for approval.



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**5.5.3.10** A technical committee may propose a modification of its title and/or scope. The modified wording shall be established by the technical committee for approval by the TMC.

### **5.5.4 Responsibilities**

**5.5.4.1** Establishes and secures TMC approval for its programme of work with precise title, scope and scheduled target dates for the critical stages of each project based on agreed business plans

**5.5.4.2** Follows up and ensures the achievement/delivery of the work programme as detailed in the business plan and in accordance with the TSC strategic aim to develop standards "in production times needed by the market".

**5.5.4.3** Takes into account any international standardization work coming within its scope, together with such data as may be supplied by members and by other relevant international organizations, and work on related subjects in any other Technical Committees (TC)

**5.5.4.4** Establishes an Editing Committee once work starts

**5.5.4.5** Remains formally responsible should questions of amendment and interpretation arise pending the next periodic review of those standards it has produced

**5.5.4.6** Supplies drafts for processing at the 3 key stages (enquiry, ballot and publication)

**5.5.4.7** Reviews all Tripartite Standards within its responsibility at least every 5 years and other deliverables in accordance with the timeframes set out in these procedures.

### **5.5.5 Rights**

Voting rights are restricted to national members

### **5.5.6 Composition**

— Chairperson

— Secretary

— national delegations of which one is designated head of delegation by the respective Member State

#### **Observers:**

— Associates, Affiliates and Tripartite Secretariat, on request

— Observers from organizations that have been granted liaison

— Specific Sectoral organs of the Tripartite FTA, having indicated that they want and been granted the right to participate in the Technical Committee

### **5.5.7 Method of appointment/Review**

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National members are permanent members of TCs for as long as the Member State retains its appropriate status.

At meetings national members may be represented by a number of delegates, one of whom acts as head of delegation. Other bodies may delegate observers to meetings.

### **5.5.8 Mode of working**

- Meets if deemed necessary
- Works by correspondence
- Working Groups, Ad Hoc Groups, Chairpersons' Advisory Group (CAG), Task Forces

## **5.6 Establishment of subcommittees**

### **5.6.1 Role**

Body, established within a Technical Committee (TC), having responsibility for a large programme of work in which:

- different expertise is needed for different parts of the work, and
- the range of separate activities needs co-ordination over long periods of time.

### **5.6.2 Reports to**

Its parent TC.

### **5.6.3 Responsibilities**

**5.6.3.1** Prepares and progresses standards, operating in the same way as the parent TC

**5.6.3.2** Remains formally responsible should questions of amendment and interpretation arise pending the next periodic review of those standards it has produced

### **5.6.4 Rights**

Voting rights are restricted to national members (1 member/1 vote)

### **5.6.5 Composition**

- Chairperson
- Secretary
- National members

Observers:

- Associates and Affiliates, upon request
- Observers from organizations that have been granted liaison

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### **5.6.6 Method of appointment/Review**

National members are permanent members of SCs for as long as the national member retains its appropriate status.

At meetings, national members are represented by delegates one of whom acts as head of delegation. Other bodies may delegate observers to meetings.

The Chairperson is appointed by the parent TC under the same conditions as for the Chairperson of the TC.

The secretariat is appointed by the parent TC and the Secretary is appointed by the national member holding the secretariat.

### **5.6.7 Mode of working**

- Meets if deemed necessary
- Works by correspondence
- Working Groups, Task Forces

### **5.6.8 Establishment**

**5.6.8.1** Subcommittees are established and dissolved by consensus of the members of the parent Technical committee, subject to ratification by the TMC. A subcommittee may be established only on condition that a Member State has expressed its readiness to undertake the secretariat.

**5.6.8.2** At the time of its establishment, a subcommittee shall comprise at least 3 Member State members of the parent technical committee having expressed their intention to participate actively in the work of the subcommittee.

**5.6.8.3** Subcommittees of a technical committee shall be designated in sequence in the order in which they are established. If a subcommittee is dissolved, its designation shall not be allocated to another subcommittee, unless the dissolution is part of a complete restructuring of the technical committee.

**5.6.8.3** The title and scope of a subcommittee shall be defined by the parent technical committee and shall be within the defined scope of the parent technical committee.

**5.6.8.4** The secretariat of the parent technical committee shall inform the TMC of the decision to establish a subcommittee, using Form XXX3 for ratification of the decision.

## **5.7 Working Group**

### **5.7.1 Role**

Group, established by a Technical Committee (TC) or Subcommittee (SC), that undertakes a specific task, in the context of the TC business plan, usually resulting in the provision of a draft standard(s). It works within clearly defined policy guidelines from its parent body. On completion of task, the Working Group (WG) is disbanded

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### **5.7.2 Reports to**

Its parent TC or SC

### **5.7.3 Responsibilities**

**5.7.3.1** The WG drafts documents in accordance with the work specifications, guidelines and time schedule provided by the TC and in accordance with drafting rules.

NOTE The work specifications and guidelines provided by the TC shall describe clearly the requested work, specifying exactly what is to be covered and what is not. In case of doubt, the WG shall ask through its Convenor clarification from the TC.

**5.7.3.2** As an individual expert, each member of the WG maintains his/her understanding and awareness of national position by being in contact with the national delegation to the TC and with related standardization activities within the National Standards Body of his/her home country.

**5.7.3.3** As required by the TC, the WG provides inputs to the assessment and resolution of comments following enquiry and, if necessary, updates the draft.

**5.7.3.4** The WG provides technical advice to the TC as required.

### **5.7.4 Rights**

As individual experts, to act in a personal capacity and to take decisions by consensus.

### **5.7.5 Composition**

- Convenor
- Professional Standardization Support which may include Secretariat to the WG
- Individual experts

### **5.7.6 Method of appointment/Review**

**5.7.6.1** Individual technical experts are appointed as WG members by the National Members or by the parent body. In the latter case, the Secretary of the parent body informs the national member of the country of the expert. The WG may also include experts from organizations which have only observer status in the parent body.

**5.7.6.2** The TC seeks the right balance between the different interests when appointing experts to ensure breadth of technical and user expertise and to ensure that no interest group has a dominating position. In case imbalance appears, the TC tries to resolve the situation but, if not possible at its level, refers the issue to the TMC.

NOTE Experts indicate their national affiliation, appointing body, employer and sponsor (if the employer is not the sponsor) on the List of Participants.

NOTE A Member who is convinced that there is an imbalance in a WG has the right to call for a review of WG membership.

**5.7.6.3** It is recommended that the WG is reasonably limited in size.

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### **5.7.7 Mode of working**

- Working by correspondence (preferably electronically)
- Meetings when needed
- Project Leader (a Project Leader is an expert responsible for the development of a project for which he/she has a high level of knowledge)

## **5.8 Task Force**

### **5.8.1 Background**

A Task Force is a technical body set up by the TMC with a view of undertaking a specific short term standardization task within a given target date, and is composed of a convenor and national delegations.

When the TMC decides that publications should be prepared in a new area, it usually creates a new Technical Committee (TC) with the task to establish a business plan and a programme of work and to ensure that the planned publications are delivered in time and in accordance with the agreed programme of work. The TC usually creates Working Groups to draft the planned publications.

However, in cases where the TMC decides that only a few (e.g. two or three) publications should be developed in a new area, or there is a need to link up with other expertise outside the scope of the TC (e.g. linking up with technical regulators, metrology, conformity assessment, etc), it may create Task Force to prepare these publications.

### **5.8.2 Creation and mode of operating of Task Forces**

#### **5.8.2.1 Responsibilities**

A Task Force follows up and ensures the achievement/delivery of the limited work programme as agreed by the TMC. It decides when a draft is ready to be submitted to Enquiry or Ballot.

#### **5.8.2.2 Establishment of Task Forces**

**5.8.2.2.1** When, after evaluation of a proposal for new work, the TMC decides that standardization work should be undertaken in a new area but that only a few (e.g. two or three) publications should be developed, it can decide to create a Task Force to prepare these publications.

**5.8.2.2.2** Task Forces are established and dissolved by the TMC with a view to undertaking a specific short term standardization task within a given target date and are composed by national delegations appointed by national members (maximum three delegates, with a head of delegation), Chairperson and Secretary. Observers are allowed to participate under the same conditions as for participation in Technical Committees.

**5.8.2.2.3** Task Forces are numbered in the same sequence as Technical Committees and in the order in which they are established in the Tripartite database. Upon dissolution of a Task Force, its number shall not be allocated to another Task Force or Technical Committee.

#### **5.8.2.3 Operating**

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Task Forces are bodies with precise title, limited scope and work programme, duly approved by the TMC, essentially to manage the preparation of a few publications.

As for any other Technical Committee, voting rights are restricted to national members (1 member/1 vote).

Task Forces meet if deemed necessary, are encouraged to work essentially by correspondence and are disbanded once their specified task has been completed.

### **5.8.2.4 Maintenance**

Upon dissolution of the Task Force, the national member that held the Task Force secretariat will be responsible for the organization of the regular maintenance of the standard, unless, in the meantime, another Technical Committee is relevant to assume the maintenance of the published standard.

## **5.9 Chairpersons of technical committees and subcommittees**

### **5.9.1 Appointment**

Chairpersons of Technical Committees and Subcommittees shall be appointed by the TMC.

### **5.9.2 Responsibilities**

The chairperson of a technical committee is responsible for the overall management of that technical committee, including any subcommittees and working groups. He shall advise the TMC on important matters relating to that technical committee via the technical committee secretariat. For this purpose he shall receive reports from the chairmen of any subcommittees via the subcommittee secretariats.

The chairperson of a technical committee or subcommittee shall:

**5.9.2.1** act in a purely regional capacity, divesting him- or herself of a national point of view; thus he/she cannot serve concurrently as the delegate of a Member State NSB in his own committee;

**5.9.2.2** Supports the TC/SC Secretary in preparing, obtaining approval and maintaining the business plan and manages its periodic review process;

**5.9.2.3** conduct meetings with a view to reaching agreement on committee drafts;

**5.9.2.4** ensure at meetings that all points of view expressed are adequately summed up so that they are understood by all present;

**5.9.2.5** ensure at meetings that all decisions are clearly formulated and made available in written form by the secretary for confirmation during the meeting;

**5.9.2.6** Take appropriate decisions at the all stages of the standards development process.

**5.9.2.7** Ensures that the TC works in accordance with the agreed TC business plan and achieves its objectives and timescales

**5.9.2.8** Ensures that a clear task is given to each Working Group (WG) including detailed specifications and planning for the standards that are to be drafted

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**5.9.2.9** Ensures coordination of the work of TC and its WGs, monitors implementation of decisions and the application of procedures to ensure appropriate progress, initiates action as required, e.g. in the event of target dates not being met

**5.9.2.10** Having expert knowledge of procedures, provides support to the TC Secretary for implementation of the current procedures, e.g. exploitation rights assignment system, and for the resolution of problems

**5.9.2.11** Conducts meetings in an impartial manner guiding and controlling the meeting in order to reach balanced and prompt decisions, ensuring that all material points of view are heard and considered, and clearly summarizing points to avoid misunderstandings and the possibility of reopening debate at a later stage

Ensures that all TC decisions are clearly formulated.

**5.9.2.12** Secures consensus, when unanimity is not obtainable

**5.9.2.13** In conjunction with the Secretary, approves WG drafts (without commenting on the technical details, which is the responsibility of the WG) prior to dispatch for enquiry.

**5.9.2.14** With the agreement of the Chairman of the STMC, represents TSC at meetings of other organizations to give technical advice on subjects within the scope of the TC

**5.9.2.15** Acts impartially at all times, divesting himself from a national point of view

In case of unforeseen unavailability of the chairman at a meeting, a session chairman may be elected by the participants.

### **5.9.3 Reports to**

TC and TMC.

### **5.9.4 Rights**

Has no voting rights.

### **5.9.5 Method of appointment/Review**

Appointed by the TMC upon recommendation from the TC and on the nomination of the TC secretariat for a period not exceeding 6 years.

Successive extensions of not more than 3 years are possible.

### **5.9.6 Mode of working**

Works in collaboration with the TC Secretary

## **5.10 Technical Committee Secretary**

### **5.10.1 Role**

Person who provides professional management support, in the form of administrative, operational and technical services to a Technical Committee (TC) and particularly its Chairperson to ensure that the TC functions efficiently.

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### **5.10.2 Reports to**

TC Chair.

### **5.10.3 Responsibilities**

**5.10.3.1** Provides the management support services associated with the running of the TC with particular reference to the preparation, approval, communication, application and regular update of the TC business plan and the on-going process of drafting deliverables.

Ensures that all resources needed for drafting deliverables (e.g. working group convenor, experts and professional standardization support) are available.

**5.10.3.2** Arranges meetings (in consultation with the chairperson) as required in order to meet the target dates and deals with issues arising relating to the work of the committee.

Ensures that documents for the meetings (e.g. calling notices, agenda) are sent to the committee in accordance with the deadlines specified in these procedures.

Records the principal decisions of the committee in the form of clear resolutions taking all necessary elements for their implementation and assures that they fully respect policies and rules.

Prepares and distributes reports of the meeting to the committee within four weeks following the date of the meeting.

Carries out the decisions of the meeting without delay.

**5.10.3.3** Ensures adherence to the provisions of the Tripartite FTA Agreement, relevant TMC resolutions and agreed timetables, chasing up delayed activities when necessary

**5.10.3.4** Ensures that all published documents which are the responsibility of the TC are reviewed at the intervals specified in these procedures

**5.10.3.5** Keeps files on TC work in hand and hands these over in good order if the secretariat changes

**5.10.3.6** Carries out Assignment of Exploitation Rights responsibilities **align with ISO**

**5.10.3.7** Convenes an Editing Committee at the appropriate time, e.g. prior to transmission for Enquiry or Formal vote, as an element in his/her overall responsibility for the quality control of drafts

**5.10.3.8** Acts impartially, divesting him or herself of a national point of view

**5.10.3.9** Ensures that drafts supplied by the TC are of good linguistic quality together with any diagrams, supplied by the TC, are in the required electronic formats before handing them over to the stages of enquiry, formal vote and publication

**5.10.3.10** Having expert knowledge of Procedures, applies them in a professional manner, provides advice on them as required and ensures that members of the TC are aware of and implement relevant STMC and TC resolutions

**5.10.3.11** Handles all activities related to the reporting and communication of comments (including the eventual decisions on those comments) following, for example, enquiry



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**5.10.3.12** Handles all activities related to the recording and validating of TC decisions (resolutions) and their communication to relevant technical bodies

**5.10.3.13** Ensures that the Tripartite Secretariat is regularly updated:

- with details of composition and convenorship of Working Groups (WG), and
- with at least an annual report on progress of the work programmes
- with regular progress data on individual work items

**5.10.3.14** With the support of the Chairperson, coordinates activities of subordinate WGs and manages liaisons with other bodies

### **5.10.4 Rights**

Has no voting rights.

### **5.10.5 Method of appointment/Review**

Appointed by the National Member holding the Secretariat.

### **5.10.6 Mode of working**

Professional support in all TC working environments.

## **5.11 Working Group Convenor**

### **5.11.1 Role**

Person who leads the activities of a Working Group (WG).

### **5.11.2 Reports to**

Its parent body (Technical Committee (TC) or Subcommittee (SC)).

### **5.11.3 Responsibilities**

**5.11.3.1** Responsible for the activities of a WG established by a TC (or SC) to undertake a specific task: the preparation of one or more draft standard according to the specifications set by the TC and within the specified time frame.

NOTE The work specifications and guidelines provided by the TC shall describe clearly the requested work, specifying exactly what is to be covered and what is not. In case of doubt, the WG Convenor is responsible for seeking clarification from the TC.

**5.11.3.2** The Convenor of a WG accepts these work specifications, having also evaluated that the WG composition as nominated by the TC or by the National Member Body (balanced expertise from involved parties which are in touch with NSB's), is appropriate for the completion of the required work within the specified timeframes.

**5.11.3.3** Convenes meetings when necessary and acts as Chairperson

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**5.11.3.4** Actively progresses work and reports regularly on progress to the parent committee or verbally at meetings of the parent body

**5.11.3.5** Ensures that WG experts have appropriate briefing on relevant rules and procedures

**5.11.3.6** Ensures that an interim draft has been sent to the TC Secretary at least once during the drafting process

**5.11.3.7** Operates exploitation rights assignment system including:

- formal implementation during WG meetings;
- collecting of exploitation rights assignments of experts at each meeting;
- transfer of the originals of the exploitation rights assignments to TC Secretary;
- transfer to TC Secretary any request for copyright exploitation licence agreement.

**5.11.3.8** Participates in the Editing Committee, if required

**5.11.3.9** Judges the state of readiness of draft standards for enquiry including the quality of the technical content and the level of consensus within the WG, prior to release to TC Chairperson and Secretary

**5.11.3.10** Refers any problems encountered to parent body

### **5.11.5 Method of appointment/Review**

#### **5.11.5.1 Appointment of the Convenor of a new WG:**

The TC Secretary invites the TC members for nominations to Convenor position, referring to the characteristics of the position and the work specifications given to the WG.

NOTE Nominations are required to be accompanied by the curriculum vitae of the applicants and an indication of their commitment to their responsibilities and duties.

The TC Chairperson and Secretary evaluate the nominations received, according to appropriate criteria, including expertise, leadership qualities, acceptability to WG members.

The TC Secretary seeks the agreement of the National Member in the home country of the candidate to provide Professional Standardization Support (see 5.11.6). If this National Member is not able to provide Professional Standardization Support, the Secretariat of the parent TC ensures that such Support is available from another National Member before making the appointment.

The TC Secretary submits the preferred nomination(s) in the form of a resolution according to the standard format to the TC for voting.

If the result of the voting is clear and non-controversial, the Convenor is considered as appointed. If the result is controversial, the matter has to be discussed at the next plenary meeting of the TC, where all National Members (NSB) can be represented.

The TC Secretary informs the appointed WG Convenor about his appointment while reminding him/her of his/her responsibilities and duties.

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The TC Secretary communicates the TC resolution approving the appointment of the Convenor to the TC members and to EAC Secretariat for communication to the EASC (together with the relevant address data).

**5.11.5.2** Appointment of the Convenor of an existing WG: same as in 5.11.5.1. In addition, the parent committee shall check that the candidate Convenor is accepted by the WG.

### **5.11.6 Mode of working**

Works with the help of a professional standardization support (which may include a Secretary to the WG) from own National Standards Body (NSB) or if not available from another NSB

NOTE It is recommended that a checklist is used as a sort of trilateral service agreement between the TC Secretariat, the WG Convenor and the WG's Professional Standardization Support providing NSB. As such, the TC Secretariat, the WG Convenor and the WG's Professional Standardization Support are free to discuss and agree upon assignment of tasks and may alter some "non mandatory" assignments according to the rules as given in the checklist by mutual consent.

## **5.12 Secretariats of technical committees and subcommittees**

### **5.12.1 Allocation**

The secretariat of a Tripartite TC shall be allocated to a Member State NSB by the TMC. The secretariat of a subcommittee shall be allocated to a national body by the parent Tripartite TC. However, if two or more national bodies offer to undertake the secretariat of the same subcommittee, the TMC shall decide on the allocation of the subcommittee secretariat.

For both technical committees and subcommittees, the secretariat shall be allocated to a partner state NSB only if that NSB:

- (a) has indicated its intention to participate actively in the work of that technical committee or subcommittee, and
- (b) has accepted that it will fulfil its responsibilities as secretariat and is in a position to ensure that adequate resources are available for secretariat work.

Once the secretariat of a technical committee or subcommittee has been allocated to a national body, the latter shall appoint a capable individual as secretary.

### **5.12.2 Responsibilities**

The Member State NSB to which the secretariat has been allocated shall ensure the provision of technical and administrative services to its respective technical committee or subcommittee. The secretariat is responsible for monitoring, reporting, and ensuring active progress of the work, and shall use its utmost endeavour to bring this work to an early and satisfactory conclusion. These tasks shall be carried out as far as possible by correspondence.

The project secretariat is responsible for ensuring that the TSC Procedures are followed and the decisions of the TSC and the TMC are followed.

The project secretariat shall ensure the timely execution of the following:

- (a) Elaborate and develop the Committee Draft and related documents;
- (b) Allocate resources for secretarial work;

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- (c) Circulates documents for comments to other NSBs, collates and reviews the comments and redistributes comments to other NSBs;
    - preparation of meetings, including:
    - establishment of the agenda and arranging for its distribution;
    - arranging for the distribution of all documents on the agenda, including reports of working groups, and indicating all other documents which are necessary for discussion during the meeting;
  - (d) preparation of compilations of comments on documents which appear on the agenda;
  - (e) preparation of enquiry drafts and Final Draft Tripartite Standards(FDTS).
  - (f) recording of decisions taken in a meeting and making these decisions available in writing for confirmation during the meeting;
  - (g) preparation of the minutes of meetings;
  - (h) Submit reports to the TMC secretariat, or to the parent committee (for SC secretariat)
  - (i) Preparation of enquiry drafts and Final Draft Tripartite Standards(FDTS);
  - (j) Supplying the TMC secretariat with the list (title and scope) of the standards ready for public comments.
  - (k) referring appeals to the TMC;
  - (l) prepare a Business Plan for its own specific field of activity taking into account the business environment in which it is developing (see Note below) its work programme;
    - (i) indicating those areas of the work programme that are expanding, those that have been completed, those that are nearing completion or in steady progress, and those that have not progressed satisfactorily and that should be deleted; and
    - (ii) evaluating revision work needed.
- The statement shall be formally agreed upon by the TC and included in the quarterly report, which shall be sent to the Tripartite Secretariat for review by the Tripartite Members.
- (m) ensuring that Business Plans and regular progress reports are prepared and submitted to the Tripartite Secretariat;
  - (n) each TC/SC shall maintain its own programme of work, consisting of all projects that fall under that committee, as well as the routine review of already-approved Tripartite Standards. Projects shall be within the agreed scope of the TC/SC.
  - (o) ensuring that TC members reply timeously to requests for voting and comments, and that target dates are met. [P] members who fail to vote shall be reminded by the TC secretariat of their obligation to do so. If the P member fails to vote after receiving two reminders, the member's status will automatically revert to 'O' membership. When this happens a member may only apply to regain P status after 12 months.

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- (p) arranging for systematic reviews of already-approved Tripartite Standards;
- (q) proposing cancellation of a work item in the event of insufficient support to the TMC;
- (r) arranging for the publication, as necessary, of errata and technical corrigenda;
- (s) notifying members and the TSC of the results of voting on NWIPs, DHSs and FDHSs; and
- (t) proposing the dissolution of the TC to the TMC.

In all circumstances, each secretariat shall work in close liaison with the chairman of its technical committee or subcommittee.

A secretariat shall act in a purely regional capacity, divesting itself of a national point of view.

The secretariat of a technical committee shall maintain close contact with the TMC secretariat, the secretariat of the parent technical committee and with the members of the technical committee regarding its activities, including those of its subcommittees and working groups.

### **5.13 Change of secretariat of a technical committee**

**5.13.1** If a Member State NSB wishes to relinquish the secretariat of a technical committee, the NSB concerned shall immediately inform the TMC secretariat, giving a minimum of 12 months notice. The TMC decides on the transfer of the secretariat to Member State NSB.

**5.13.2** If the secretariat of a technical committee persistently fails to fulfil its responsibilities as set out in these procedures, a Member State NSB may have the matter placed before the TMC, which may review the allocation of the secretariat with a view to its possible transfer to another Member State NSB.

### **5.14 Change of secretariat of a subcommittee**

**5.14.1** If a Member State NSB wishes to relinquish the secretariat of a subcommittee, the NSB concerned shall immediately inform the secretariat of the parent technical committee, giving a minimum of 12 months notice.

**5.14.2** If the secretariat of a subcommittee persistently fails to fulfil its responsibilities as set out in these procedures, a partner state NSB may have the matter placed before the parent technical committee, which may decide, by consensus, that the secretariat of the subcommittee should be re-allocated.

**5.14.3** In either of the above cases an enquiry shall be made by the secretariat of the technical committee to obtain offers from Partner States-members of the subcommittee for undertaking the secretariat.

**5.14.4** If two or more NSB offer to undertake the secretariat of the same subcommittee or if, because of the structure of the technical committee, the re-allocation of the secretariat is linked with the re-allocation of the technical committee secretariat, the TMC decides on the re-allocation of the subcommittee secretariat. If only one offer is received, the parent technical committee itself proceeds with the appointment.

### **5.15 Editing committees**

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In order to maintain the authoritative text of each approved Tripartite Standard, the Tripartite Secretariat in liaison with the technical committees shall establish a mechanism for the purpose of updating and editing committee drafts, enquiry drafts and Final Draft Tripartite Standards (FDTS) and declared Tripartite Standard. This mechanism may include establishing editorial committees.

Such committees should comprise at least

- Editor;
- the Technical Committee Secretary.

Editing committees shall may meet when required by the respective technical committee or subcommittee secretariat for the purpose of updating and editing drafts which have been accepted by correspondence for further processing.

Editing committees shall be equipped with means of processing texts electronically and of providing the finalized texts for circulation to the TC members for confirmation within two weeks.

## **6 Meetings**

### **6.1 General**

**6.1.1** Technical committees and subcommittees shall use modern electronic means to carry out their work (for example, e-mail, groupware and teleconferencing) wherever possible. A meeting of a technical committee or subcommittee should be convened only when it is necessary to discuss committee drafts (CD) or other matters of substance which cannot be settled by other means.

**6.1.2** The technical committee secretariat should look ahead with a view to drawing up, in consultation with the TMC, a planned minimum 2-year programme of meetings of the technical committee and its subcommittees and, if possible, its working groups, taking account of the programme of work.

**6.1.3** In planning meetings, account should be taken of the possible advantage of grouping meetings of technical committees and subcommittees dealing with related subjects, in order to improve communication and to limit the burden of attendance at meetings by delegates who participate in several technical committees or subcommittees.

**6.1.4** In planning meetings, account should also be taken of the advantages for the speedy preparation of drafts of holding a meeting of the editing committee immediately after the meeting of the technical committee or subcommittee and at the same place.

### **6.2 Procedure for calling a meeting**

#### **6.2.1 Technical committee and subcommittee meetings**

**6.2.1.1** The date and place of a meeting shall be subject to an agreement between the chairman and the secretariat of the technical committee or subcommittee concerned and the national body acting as host. In the case of a subcommittee meeting, the subcommittee secretariat shall first consult with the secretariat of the parent technical committee in order to ensure coordination of meetings (see also 6.1.3).

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**6.2.1.2** A national body wishing to act as host for a particular meeting shall contact the technical committee or subcommittee secretariat concerned.

The national body shall first ascertain that there are no restrictions imposed by its country to the entry of representatives of any members of the technical committee or subcommittee for the purpose of attending the meeting.

**6.2.1.3** The secretariat shall ensure that arrangements are made for the agenda to be circulated at **least 4 weeks** before the date of the meeting. All other basic documents, for example new work item proposals, shall be distributed by the same deadline.

Only those committee drafts for which the compilation of comments will be available at **least 6 weeks** before the meeting shall be included on the agenda and be eligible for discussion at the meeting.

Any other working documents, including compilations of comments on drafts to be discussed at the meeting, shall be distributed not less than 6 weeks in advance of the meeting.

### **6.2.2 Working group meetings**

**6.2.2.1** Working groups shall use modern electronic means to carry out their work (for example, e-mail, groupware and teleconferencing) wherever possible. When a meeting needs to be held, notification by the convenor of the meetings of a working group shall be sent to its members and to the secretariat of the parent committee, at least 6 weeks in advance of the meeting.

Arrangements for meetings shall be made between the convenor and the member of the working group in whose country the meeting is to be held. The latter member shall be responsible for all practical working arrangements.

**6.2.2.2** If a working group meeting is to be held in conjunction with a meeting of the parent committee, the convenor shall coordinate arrangements with the secretariat of the parent committee. In particular it shall be ensured that the working group members receive all general information for the meeting, which is sent to delegates to the meeting of the parent committee.

### **6.3 Language at meetings**

The language at meetings shall be English, French and Portuguese.

### **6.4 Cancellation of meetings**

Every possible effort shall be made to avoid cancellation or postponement of a meeting once it has been convened. Nevertheless, if the agenda and basic documents are not available within the time required by 6.2.1.3, then the secretariat has the right to cancel the meeting.

## **7 Stages in the harmonization process**

### **7.1 General**

**7.1.1** A complete list of project stages, together with the designations of the associated documents, is given in Table 1.

**7.1.2** Examples for the numbering of projects are given Annex B.1.

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**7.1.3** In cases where an existing International Standard (ISO/IEC) is proposed for harmonization as a Tripartite Standard, the process may commence, subject to the approval of the responsible TC/SC, with Stage 4, i.e. the standard proposed for adoption may be circulated to the TC/SC directly as a DTS, accompanied by a NWIP.

**7.1.4** After the Approval Stage, the text of the TPS is available to each NSB for adoption and implementation within its system of national standards. Each TPS adopted as a national standard within a Tripartite Member State shall bear an indication on its cover page or foreword to the effect that the standard is a Tripartite Standard.

**Table 1: Project stages and associated documents**

Project stage	Associated document	
	Name	Abbreviation
<b>0: Preliminary stage</b>	Preliminary Work Item	PWI
<b>1: Proposal stage</b>	New work Item proposal	NWIP
<b>2: Preparatory stage</b>	Working draft(s)	WD
<b>3: Committee stage</b>	Committee draft(s)	CD
<b>4: Enquiry stage</b>	Draft harmonized standard	DTS
<b>5: Approval stage</b>	Final draft harmonized standard	FDTS

### 7.2 Preliminary stage (Stage 0)

**7.2.1** The preliminary stage is intended to be used as a vehicle for a TC/SC to introduce into its work programme PWIs that are not sufficiently mature for further processing. An example would be a PWI for a standard in an emerging technology, where the need for a Tripartite Standard is recognised, but the corresponding international standards body has yet to develop an International Standard.

**7.2.2** No target dates can be allocated to a work item at the preliminary stage.

**7.2.3** The TC/SC shall regularly review all PWIs to remain abreast of the need for resources, etc.

**7.2.4** At the appropriate time, a PWI can progress to the Proposal Stage (Stage 1).

### 7.3 Proposal stage (Stage 1)

**7.3.1** The proposal stage is the stage at which the TC/SC receives, and either accepts or rejects a proposal for a new work item.

**7.3.2** An NWIP may be originated by any person or body in a Member State (see 4.5), or may be originated by a Tripartite FTA Sector or by an external organization in liaison with Tripartite Secretariat (for example, another regional or international standards body).

**7.3.3** The NWIP shall be sent out by the TC Secretariat for a 3 months vote, in the case of a project that will require preparatory and/or committee stages, and for 5 months if accompanying an ISO/IEC standard for direct entry into the process at Stage 4 (Enquiry stage).

**7.3.4** The criteria for acceptance of an NWIP shall be as follows:



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- **in the case of a project that requires preparatory and/or committee stages**, approval by a simple majority of [P] members voting, plus at least five (5) members willing to participate actively in the project, i.e. to make an effective contribution at the preparatory stage (if relevant), by nominating technical experts and by commenting on WDs.

-**in the case of an NWIP circulated together with an ISO/IEC standard for direct entry into the process at Stage 4 (Enquiry stage)**, the criteria for acceptance applicable to the enquiry stage shall apply, i.e. 2/3 of [P] members voting to be in favour, and no more than 25 % of the votes cast to be negative.

NOTE: A member may change status only once a year by notifying the TC Secretariat in writing. This change of status may affect the participation and if this has a negative effect on the progress of the project, the TMC will take a decision on the way forward.

**7.3.5** Once accepted, a new work item becomes part of the work programme of the TC/SC, and has target dates allocated to it for all subsequent stages. The inclusion of a new work item in the programme of work concludes the proposal stage.

### **7.4 Preparatory stage (Stage 2)**

**7.4.1** The preparatory stage covers the preparation of a WD.

**7.4.2** The TC Secretariat shall appoint a Project Leader, (who may be the TC Secretary himself/herself) who shall liaise with and invite expert assistance from the [P] members, who shall each nominate a national expert to assist the Project Leader. Should it be necessary to formally constitute this group as a Working Group, the Project Leader shall arrange for this via the TC Secretariat, and shall be responsible for convening any meeting(s).

**7.4.3** The Project Leader shall prepare and circulate to the experts for comment, any number of WDs as are necessary, until the Project Leader informs the TC Secretariat that the draft is considered fit for presentation to the TC/SC as a CD.

**7.4.3** The preparatory stage concludes when the first CD is available for the TC Secretariat to send to the full TC/SC.

NOTE Where possible, the CD shall be made available by the TC Secretariat in English, French and Portuguese.

### **7.5 Committee stage (Stage 2)**

**7.5.1** Upon acceptance of the NWIP and WD by the Member States, the draft shall be elevated to a Committee Draft and assigned a first draft number CD by the TC Secretariat. The CD shall indicate the country of origin/unique identification number/year of drafting (e.g. CD/B/123/2009 if originating from Burundi, CD/K/123/2009 if originating from Kenya, CD/R/123/2009 if originating from Rwanda, CD/U/123/2009, originating from Uganda and CD/T/123/2009 originating from Tanzania.)

With respect to the adoption of international standards Members States shall be encouraged to use their national procedures for adoption of the same and report to the TMC for coordination purposes.

**7.5.2** The committee stage is the principal stage at which comments from national bodies are taken into consideration, with a view to reaching consensus on the technical content. National bodies shall therefore carefully study the texts of committee drafts and submit all pertinent comments at this stage.

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**7.5.3** As soon as it is available, a committee draft shall be circulated by the TC Secretariat to all National Members for consideration together with the **comment template**, giving the 1 month to comment.

**7.5.4** No more than 4 weeks after the closing date for submission of replies, the secretariat shall prepare the compilation of comments and arrange for its circulation to all National Members. When preparing this compilation, the secretariat shall indicate its proposal, made in consultation with the chairman of the technical committee or subcommittee and, if necessary, the project leader, for proceeding with the project, either:

- (a) to discuss the committee draft and comments at the next meeting, or
- (b) to circulate a revised committee draft for consideration, or
- (c) to register the committee draft for the enquiry stage

In the case of b) and c), the secretariat shall indicate in the compilation of comments the action taken on each of the comments received. This shall be made available to all National Members, if necessary by the circulation of a revised compilation of comments, no later than in parallel with the submission of a revised CD for consideration by the committee (case b) or simultaneously with the submission of the finalized version of the draft to the Tripartite Secretariat for registration for the enquiry stage (case c).

If, within 2 months from the date of dispatch, 2 or more National Members disagree with proposal b) or c) of the secretariat, the committee draft shall be discussed at a meeting.

**7.5.5** If a committee draft is considered at a meeting but agreement on it is not reached on that occasion, a further committee draft incorporating decisions taken at the meeting shall be distributed within 3 months for consideration. A period of 3 months shall be available to national bodies to comment on the draft and on any subsequent versions.

**7.5.6** The committee stage ends when all technical issues have been resolved by consensus and a CD is accepted to advance to the enquiry stage as a DTS.

### **7.6 Enquiry stage (Stage 4)**

**7.6.1** Within 5 days of completion of the CD stage, the TC Secretariat shall acquire the DTS number from the Tripartite Secretariat for advancing the document to the enquiry stage.

**7.6.2** At the enquiry stage, the enquiry draft (public review draft) (DTS) together with the **comment template** shall be circulated by the **TC secretariat** to all national bodies for public comment for a period of 60 days and received comments reviewed by the technical committee secretariat in order to deal with unresolved harmonization issues and to advance the document for balloting by the partner states.

National bodies shall be advised of the date by which national comments are to be received by the technical committee secretariat. Comments received after the closing date are submitted to the technical committee or subcommittee secretariat for consideration at the time of the next review of the Tripartite Standard.

**7.6.3** On receipt of any comments, the chairman of the technical committee or subcommittee, in cooperation with its secretariat and the project leader, shall take one of the following courses of action:

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- (a) when the approval criteria of 7.4.5 are met, to register the enquiry draft, as modified, as a Final Draft Tripartite Standard (FDTS), or
- (b) in the case of an enquiry draft where the comments are only editorial in nature or no comments are received, to proceed to the Final Draft Tripartite Standard, or
- (c) when the approval criteria of 7.4.5 are not met;
  - (1) to circulate a revised enquiry draft, or

NOTE A revised enquiry draft will be circulated for commenting period 60 days.

- (2) to circulate a revised committee draft for comments, or
- (3) to discuss the enquiry draft and comments at the next meeting.

**7.4.5** The acceptance criteria of the DTS shall be when all comments have been resolved. Failure to submit within the prescribed timelines shall be deemed to be an acceptance of the DTS.

The Enquiry stage ends when all received comments have been resolved and a DTS is accepted to advance to the balloting stage as an FDTS.

### **7.5 Ballot stage (Stage 5)**

**7.5.1** At the ballot stage, the Final Draft Tripartite Standard (FDTS) shall be distributed by the TC Secretariat together with the **ballot form within** 1 month to all national bodies for a 1 month vote.

National bodies shall be advised of the date by which ballots are to be received.

**7.5.2** Votes submitted by national bodies shall be explicit: positive, negative, or abstention.

If a national body votes affirmatively, it shall not submit any comments.

If a national body finds an FDTS unacceptable, it shall vote negatively and state the technical reasons. It shall not cast an affirmative vote that is conditional on the acceptance of modifications.

**7.5.3** The acceptance criteria of the FDTS shall be a positive vote on the FDEAS by all NSB Partner States. Abstentions are excluded when the votes are counted, as well as negative votes not accompanied by technical reasons. Where at least one Partner State votes in the affirmative and the rest abstain, it shall be deemed that the FDTS has been accepted. Failure to vote within the prescribed timelines shall be deemed to be an acceptance of the FDTS.

**7.5.4** The secretariat of the technical committee or subcommittee has the responsibility of bringing any errors that may have been introduced in the preparation of the draft to the attention of TMC by the end of the voting period; further editorial or technical amendments are not acceptable at this stage.

**7.5.5** Within 2 weeks after the end of the voting period, the TC Secretariat shall circulate to all TMC National Members and the EAC Secretariat a report using the **ballot results form** showing the result of voting and indicating either the formal approval by national bodies to issue the East African Standard or formal rejection of the FDTS.

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Technical reasons for negative votes shall be appended for information only.

**7.5.6** The ballot stage ends when all received ballot results have been ratified by TMC during its next meeting and an FDTS is accepted to advance to the approval stage as a Tripartite Standard.

**7.5.7** If the FDTS is not approved in accordance with the conditions 7.5.3, the document shall be referred back to the technical committee or subcommittee concerned for reconsideration in the light of the technical reasons submitted in support of the negative votes.

The committee may decide to:

- resubmit a modified draft as a committee draft, enquiry draft or, FDTS;
- publish a Technical Specification, PAS, TR;
- cancel the project.

### 7.7 Approval stage (Stage 6)

The approval stage is the stage at which the Final Draft Tripartite Standard is approved by the TSC on the basis of due process. The Approval stage ends when a Final Draft Tripartite Standard is approved by the TSC to advance to the adoption and Declaration by the Council a Tripartite Standard.

## 8 Time periods allowed for commenting and voting

**8.1** The time periods allowed for commenting and voting at the various stages of the progress of a project are shown in Table 2.

**Table 2 — Time periods allowed for commenting / voting**

Stage	Description	Time period allowed for commenting/voting
0	Preliminary stage	Not applicable
1	Proposal stage / NWIP	3 or 5 months (see 7.3.3)
2	Preparatory stage / WD	Not applicable
3	Committee stage / CD	4 months
4*	Enquiry stage / DHS	2 months ( <i>5 months for direct entry</i> )
5	Ballot Stage (FDTS)	1 Month
6	Approval stage and Publication	Not applicable

**8.2** The TMC shall proactively encourage the publication of alternative deliverables or cancellation of projects that are running significantly overtime, and/or which appear to lack sufficient support.

**Table 3 — Maximum timelines allowed for each stage**

0.	Circulation NWI	4 Months
1.	Committee Draft	8 Months
2.	Internal Commenting	1 Month
3.	Enquiry Stage Including Preparation	4 Months
4.	Preparation For Balloting	4 Months
5.	Balloting	1 Month
6.	Approval And Publishing	2 Months
	Total	24 months

## **9 Technical corrigenda and amendments**

### **9.1 General**

Technical corrigenda and amendments can fall into three categories:

- (a) those that are made in a national standard that implements the approved normative text of a Tripartite Standard;
- (b) those that are made to a source document, that is an adopted international standard; and
- (c) those that are made to a Tripartite Standard developed source document.

### **9.2 Those that occur in a national standard**

**9.2.1** In general, technical corrigenda and amendments can be used in a national standard to correct a situation where the normative text has inadvertently been allowed to deviate from that which has been approved for the Tripartite Standard.

**9.2.2** Where, however, a national technical corrigendum or amendment has the effect of causing the national standard to deviate from the approved normative text of the Tripartite Standard, the national standard by definition ceases to be a Tripartite Standard, and the NSB concerned shall immediately notify the Tripartite Secretariat to this effect.

### **9.3 Those that occur in an adopted international standard or in a Tripartite developed source document**

#### **9.3.1 Technical corrigenda**

The responsible Tripartite TC shall circulate the technical corrigendum to all members with a request that it be included in an appropriate format in each affected national standard. No voting is required.

#### **9.3.2 Amendments**

An amendment to either an international standard or to a Tripartite developed source document shall be circulated by the TC Secretariat in exactly the same way as a new project, but shall automatically enter the process at Stage 4 (Enquiry stage).

## **10 Systematic review of Tripartite Standard**

**10.1** A review shall be undertaken, at intervals not exceeding 5 years, of the continued suitability and applicability of each Tripartite Standard. The review shall take the form of a questionnaire (see Table 4), which shall be circulated to all relevant TC and Tripartite members by the Tripartite Secretariat for a six months vote.

**10.2** The review shall include an assessment of the degree of adoption and implementation within the standards regimes in individual Tripartite Member states.

**10.3** By a simple majority of the [P] members voting, the Tripartite secretariat shall take the decision to

- reaffirm the text as a Tripartite Standard for a further 5 years;

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- initiate a revision of the text; or
- withdraw the text's status as a Tripartite Standard.

**10.4** The Secretariat shall formally notify the relevant TC Secretariat and all Tripartite members of the results of each review.

**10.5** In the case of adopted standards, the review shall be done parallel to the review of the source standard or the timing of the review shall be such as to follow closely after the review of the source standard (i.e. when the future of the source standard is known).

Whenever Tripartite members are reviewing their national standards which have been used as source documents for harmonized text, they shall inform the responsible TC Secretariat through the Tripartite Secretariat.

**10.6** When the decision, following a review, is to undertake a revision, a new project shall be initiated.

## **11 Document integrity**

In order to ensure the integrity of the text of approved East African Standards, the following procedures shall be followed:

**11.1** The Tripartite Secretariat shall be the custodian of the approved text of EA Standards as the authoritative reference.

**11.2** The approved text shall be deposited at the Secretariat as

- Hard copy, initialled on each page by the Chairperson of the TSC and signed off by the Heads of the Delegation on the cover page
- Electronically in both MS Word format and PDF format.

**11.3** The reaffirmations shall be indicated on the front page of the hard copy retaining the EAS numbering including the date of original publication.

**11.4** Revisions shall retain the same number but the date of publication is updated.

**Table 4 — Systematic Review Questions**

**TRIPARTITE STANDARDS COMMITTEE**

**QUESTIONNAIRE FOR REVIEW OF TRIPARTITE STANDARD**

<b>NUMBER</b>	<b>TRIPARTITE STANDARD</b>
<b>TITLE OF STANDARD</b>	
<b>SCOPE</b>	
<b>PROJECT SECRETARIAT</b>	
<b>CLOSING DATE</b>	

The above Tripartite Standard (TPS) has been in use for more than 5 years and hence it is due for review. Please complete the information and send back to the Project Secretariat not later than the closing date indicated ABOVE. Additional pages may be used to expand on any of the information

1. If the TPS is an adoption or has been based on an international or regional standard, has the source document been updated, revised or withdrawn in the past 5 years?

Yes		No		Tick as appropriate
Please provide additional information:				

2. Does the TPS need to be updated or amended because it is no longer technically relevant?

Yes		No		Tick as appropriate
Please provide additional information:				

3. **Is this Regional Text/Standard, or its national adoption, referenced in regulations in your country?**

Yes		No		Tick as appropriate
Please provide additional information:				

4. Do you consider that the TPS should be reconfirmed, revised or withdrawn?

<b>Decision</b>	<b>(X)</b>	<b>Reason</b>
Reconfirmed		
Revised/Amended		
Withdrawn		

Name	
On behalf of	
Signature	
Date	

## **12 Appeals process**

### **12.1 General**

Appeals may be either technical or administrative in nature. All appeals must be fully documented to support the appeal.

### **12.2 Appeal structure**

Member states who are “P” members of technical Committees (TCs) have the right to appeal against any decision, action or inaction within 3 months of the decision/ action/ inaction:

**12.2.1** To the parent TC on a decision/ actions/ inaction by a subcommittee.

**11.2.2** To the TMC on a decision/ action/ inaction by the TC.

**12.2.3** To the TSC on a decision/ action/ inaction by the TMC.

### **12.3 APPEAL AGAINST A SUBCOMMITTEE DECISION/ ACTION/ INACTION**

**12.3.1** P members shall submit the fully documented appeal to the TC Secretariat with a copy to the Chief Executive Officer (CEO) of the national standards body (NSB) holding the secretariat.

**12.3.2** The TC Secretariat shall advise all the P members of the TC of the appeal and take immediate action preferably by correspondence or at a meeting to consider and decide on the appeal. The CEO will be consulted in the process.

**12.3.3** If the TC is in support of the subcommittee then the P member which initiated the appeal may either:

- accept the TC decision, or
- appeal against it.

### **12.4 APPEAL AGAINST A TC DECISION/ ACTION/ INACTION**

**12.4.1** Appeals against a TC decision may be

- an appeal arising from 11.3.3 above
- an appeal against an original decision by the TC

**12.4.2** The fully documented appeal shall be submitted to the TMC Chairperson, with a copy to the TC Secretariat.

**12.4.3** The TMC Chairperson shall, following consultation refer the appeal together with his/her comments to the TMC within a month after receipt of the appeal.

**12.4.4** The TMC Chairperson shall decide whether an appeal shall be further processed or not. If the decision is in favour of proceeding, the Chairperson of the TMC shall form a conciliation panel from P members. The panel shall give a final report to the TMC Chairperson within 3 months.

**12.4.5** The TMC Chairperson, on receipt of the report of the panel shall inform the TMC, which will make its decision.



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### **12.5 APPEAL AGAINST TMC DECISION/ ACTION/ INACTION**

**12.5.1** An appeal against the TMC shall be submitted to the TSC Chairperson with full documentation on all stages of the appeal.

**12.5.2** The TSC Chairperson shall refer the appeal together with his comments to the Tripartite Secretariat/Council within one month after receipt of the case.

**12.5.3** The Council shall make its decision at their next meeting. The decision of the Council on any case is final.

### **12.6 Progress of work during appeal**

When an appeal is against a decision/ action/ inaction on projects in progress the work shall be continued, until the approval stage but the FDTS shall not be circulated for voting until resolution of the appeal.

**Annex A  
(normative)**

**Elements to be clarified when proposing a new field of technical activity  
(new committee)**

**A.1 Title**

The title shall indicate clearly yet concisely the field of technical activity which the proposal is intended to cover.

*Example:* "Machine tools"

**A.2 Scope**

**A.2.1** The scope shall precisely define the limits of the field of activity. Scopes shall not repeat general aims and principles governing the work of the organization but shall indicate the specific area concerned.

*Example:* "Standardization of all machine tools for the working of metal, wood and plastics, operating by removal of material or by pressure".

**A.2.2** If seemingly similar or related work is already in the scope of other committees of the organization or in other organizations, the proposed scope shall distinguish between the proposed work and the other work.

**A.2.3** The proposer shall indicate whether his or her proposal could be dealt with by widening the scope of an existing committee or by establishing a new committee.

**A.3 Purpose and justification**

Details based on a critical study of the following elements shall be given wherever practicable:

- a) The specific aims and reason for the standardization activity, with particular emphasis on the aspects of standardization to be covered, the problems it is expected to solve or the difficulties it is intended to overcome;
- b) The main interests that might benefit from or be affected by the activity, such as industry, consumers, trade, governments, distributors;
- c) Feasibility of the activity: Are there factors that could hinder the successful establishment or general application of the standard(s)?
- d) Timeliness of the standards to be produced: Is the technology reasonably stabilized? If not, how much time is likely to be available before advances in technology may render the proposed standards outdated? Are the proposed standards required as a basis for the future development of the technology in question?
- e) Urgency of the activity, considering the needs of other fields or organizations;
- f) The benefits to be gained by the implementation of the proposed standard(s); alternatively, the loss or disadvantage(s) if no standard is established within a

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reasonable time. Data such as product volume or value of trade shall be included and quantified.

- g) If the standardization activity is or is likely to be the subject of regulations or to require the harmonization of existing regulations, this should be indicated.

### **A.4 Programme of work**

**A.4.1** The proposed programme of work shall correspond to and clearly reflect the aims of the standardization activities and shall, therefore, show the relationship between the subjects proposed.

**A.4.2** Each item on the programme of work shall be defined by both the subject and aspect(s) to be standardized (for products, for example, the items would be the types of products, characteristics, other requirements, data to be supplied, test methods, etc.).

**A.4.3** Supplementary justification may be combined with particular items in the programme of work.

**A.4.4** The proposed programme of work shall also suggest priorities and target dates.

### **A.5 Relevant documents**

**A.5.1** Any known relevant documents (such as standards and regulations) shall be listed, regardless of their source.

**A.5.2** It would generally be helpful if the list of documents could be accompanied by an indication of their significance.

**A.5.3** When the proposer considers that an existing well-established document may be acceptable as a standard (with or without amendments) this shall be indicated with appropriate justification and a copy attached to the proposal.

### **A.6 Cooperation and liaison**

**A.6.1** Relevant organizations or bodies with which cooperation and liaison should exist, shall be listed.

**A.6.2** In order to avoid conflict with, or duplication of efforts of, other bodies, it is important to indicate all points of possible conflict or overlap.

**A.6.3** The result of any communication with other interested bodies shall also be included.

**Annex B**  
(Informative)

**Numbering of SADCSTAN projects and harmonized texts**

**B.1 Numbering of SADCSTAN projects**

Numbering of SADCSTAN projects is important for identification of the projects. Since the inception of the SADCSTAN, the numbering have always followed a chronological order with numbers starting from one (1) to sixty three (63) for example. This system of numbering was easy and acceptable to SADCSTAN Secretariat until the new TC approach to harmonization process was introduced.

**Table B.1 — Examples of the TC 1 numbering**

<b>Proposed Sub-Committee</b>	<b>Projects as per Proposed Base Stds</b>	<b>Project Number</b>
<b>SADCSTAN TC1/SC1 Cement</b>	EN 197-1:2001 EN 197-2:1998 EN 413-1:1997 EN 413-2:2003	SADCSTAN/TC 1/SC 1/CD EN 197-1 SADCSTAN/TC 1/SC 1/DHS EN 197-2 SADCSTAN/TC 1/SC 1/FDHS EN 413-1 SADCSTAN/TC 1/SC 1/FDHS EN 413-2
<b>SADCSTAN TC1/SC2 - Concrete</b>	BOS 165:2004	SADCSTAN/TC 1/SC 2/CD BOS 165
<b>SADCSTAN TC1/SC3 - Steel for Construction</b>	BOS 148:1987 BOS 149:1988 BOS 150:2000	SADCSTAN/TC 1/SC 3/DHS BOS 148 SADCSTAN/TC 1/SC 3/CD BOS 149 SADCSTAN/TC 1/SC 3/FDHS BOS 150
<b>SADCSTAN TC1/SC4 - Timber Products</b>	SANS 457-2:1990 SANS 457-3:1976 SANS 754:2007 SANS 10243:1999	SADCSTAN/TC 1/SC 4/CD SANS 457-2 SADCSTAN/TC 1/SC 4/FDHS SANS 457-3 SADCSTAN/TC 1/SC 4/CD SANS 754 SADCSTAN/TC 1/SC 4/DHS SANS 10243
<b>SADCSTAN TC1/SC5 - General</b>	SAZS 724:2001	SADCSTAN TC 1/SC 5/CD SAZS 724

**B.2 Numbering of SADCSTAN harmonized texts**

Numbering of SADCSTAN harmonized texts is important for identification of the texts.

All the SADCSTAN harmonized texts shall have a unique number allocated by the SADCSTAN Secretariat, for example, SADCSTAN HS 65:2009/ISO 9001:2008.

Where the full text of the international standard has been adopted in SADCSTAN so that the International Standard is completely reprinted, referred to or identically translated, either of the two numbering systems provided in 7.2.2 of the ISO/IEC Guide 21 may be used.

**B.2.1** For the purposes of harmonizing standards within the SADC region, SADCSTAN appoints, for a limited period, an NSB that possesses the necessary resources, to carry out the

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functions of SADCSTAN Secretariat. The appointment is renewable, subject to SADCSTAN approval.

**B.2.2** Any project or published standard that is identified as suitable and necessary for harmonization is referred for consideration to a TC or, when relevant, to an SC, in whose field of activity the project falls. In the absence of such a TC/SC, a proposal to establish one may be made, via the SADCSTAN Secretariat, to SMC for consideration.

**B.2.3** For each TC (and its SCs), a TC secretariat, which shall be an NSB, shall be appointed by SMC.

**B.2.4** A proposal for a new harmonization project may be made by any person or body in any SADC country, but shall be routed through that country's SADCSTAN member to the SADCSTAN Secretariat, which shall in turn submit it to the SMC for consideration.

**B.2.5** Each TC/SC shall maintain a programme of work consisting of work items (projects) that are in progress, and shall report quarterly on progress in the prescribed format to SMC, via the SADCSTAN Secretariat.

**B.2.6** The criteria used by SADCSTAN to identify areas for harmonization shall include, but not limited to:

- Inter-SADC trade volumes;
- the existence and extent of any technical barriers to trade; and
- the interest of the majority of SADC member states.

**B.2.7** Wherever possible, source documents shall be international standards (ISO, IEC, etc.). Where this is not possible, source documents, such as existing national standards in a SADC country, shall be such that they do not refer normatively to standards that are not readily obtainable or to legislation that is of no legal force or effect in **all** SADC countries.

**B.2.8** The principle of consensus shall be applied. In cases of dispute, a formal appeal process (see Clause 11) shall be followed.

**B.2.9** The process of harmonization shall end when, following a vote, a FDHS has been approved to become a SADC Harmonized Standard. The process by which individual NSBs publish the text of a SADC Harmonized Standard is outside the scope of this document.

**B.2.10** At regular intervals (see subclause 10.1) a formal review of each SADCSTAN Harmonized Text shall be conducted by the responsible TC/SC to determine its continued applicability, and the need to amend, revise, withdraw, etc. Wherever possible, the review shall be timed to coincide with and take into account the review of the source standard.

**B.2.11** The forms and other routine progress control documents for use in the harmonization process shall be designed as necessary by the SADCSTAN Secretariat, standardized and made available to other SADCSTAN members. Such forms, etc., will inevitably need to be updated from time to time and are outside the scope of this document. The forms are available on the SADCSTAN website.

**B.2.12** Each NSB should designate an Operational Officer(s) to coordinate the work of SADCSTAN at national and/or regional level (see clause 5.4).

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**B.2.13** In representing its country on a TC/SC, each NSB shall be responsible for deciding on the means it will use to canvass national opinion before commenting and/or voting. The submission of comments and votes at all times remains the responsibility of the NSB.