

**TO ALL NATIONAL COMMITTEES**

Dear Sir/Madam,

Reminder of new CABPUB process – first circulated as CABPUB/83/INF, 2013-11-13.

Since 2004, under the responsibility of the CAB, draft ISO/IEC standards and guides concerning conformity assessment (drafts which are developed in ISO/CASCO) have been submitted for comments and votes to IEC National Committees under the “CABPUB” label. At different times, several NCs have expressed the desire for an explanatory document on the CABPUB process. The first document to describe the CABPUB process was document CABPUB/1/INF dated 2004-06-11, followed on 2012-02-15 by CABPUB/60/INF. Following a proposal by the US NC (document CAB/1127/DV), and two recent CAB decisions at the 2013 June and October meetings:

Decision 33/27 — US NC proposal to revise the current CABPUB process

The CAB thanks the US National Committee for its proposal and requests the IEC CO to take the necessary steps to implement this recommendation and to provide a progress report at the next CAB meeting in New Delhi.

Decision 34/5 — CABPUB process report

The CAB thanks the IEC CO for this progress report, and, in full awareness of the issues raised therein, approves the procedures described in the document “ISO/CASCO & IEC/CABPUB procedures”, which was an annex to the progress report, and, for full transparency, requests that this document be circulated under the CABPUB label as the current description of the CABPUB process.

The CAB decides to implement the new process six months after the circulation of the “ISO/CASCO & IEC/CABPUB procedures” document, with one year pilot phase.

the CABPUB process was modified to include all development stages including voting and commenting on NPs.

The document CABPUB/83/INF was circulated on 2013-11-13 in accordance with CAB Decision 34/5 (given above) and described the new CABPUB process. This document is sent as a reminder to National Committees that the new CABPUB process will begin on May 14th 2014, and to draw their attention to the CABPUB documents requiring comments and/or vote, that have already been circulated, and that will be circulated, before that date. Documents circulated before the commencement date of the new procedure have already been circulated, or will be circulated, in anticipation, because they overlap with the commencement date.

This is for the information of and implementation by National Committees.

Yours faithfully,

**F.W.P. Vreeswijk
General Secretary & CEO**

Annex “ISO/CASCO & IEC/CABPUB procedures”

DHA

ISO/CASCO & IEC/CABPUB procedures

Contents

Contents	1
1. Background	2
2. Roles and Definitions.....	2
ISO/CASCO.....	2
CABPUB.....	2
CASCO Working Groups.....	2
CASCO WG - IEC relationship	2
CASCO Secretariat.....	3
CAB Secretariat.....	3
CASCO management groups	3
CASCO Road Map.....	3
CASCO Meetings Calendar.....	3
CASCO Project Portal	4
3. Procedures	4
Proposal Stage	4
Proposal	4
NP Circulation.....	4
Vote and Comment.....	4
Acceptance Criteria	4
Voting Results	5
Vote Results Notification.....	5
Acceptance.....	5
Following stages	5
Maintenance	5
4. IEC general indications	5
Procedures extraction from CABPUB/60/INF – 2012	5
IEC Coordinator to CASCO WG	6
CAB Secretariat.....	6
5. Reference documents	6

1. Background

Conformity assessment is the activity of checking conformity to technical specifications and management systems standards (MSS), and this activity should be carried out according to rules which will guarantee its quality, consistency and reliability. In other words, conformity assessment itself needs to use a standardized approach.

The IEC and ISO have therefore developed and published a full series of international standards specifying how conformity assessment should be carried out. These standards are developed in the ISO Conformity Assessment Committee, ISO/CASCO, with permanent involvement of experts from the IEC and its CA Systems. These standards in the ISO/IEC 17000 series, as well as a number of ISO/IEC Guides, are contained in what is familiarly called the CASCO Toolbox because they provide a full set of tools for anyone wishing to know how to carry out high-quality, consistent and reliable conformity assessment. [The idea of the “tool box” is that depending on the type of conformity assessment activities needed it is possible to simply pick the tool (standard). Some activities require just testing whilst others might have more CA activities e.g. testing inspection, certification, etc.]

This document provides indications about the process of how the ISO/IEC Standards and Guides are developed.

2. Roles and Definitions

ISO/CASCO

ISO Conformity Assessment Committee (CASCO) is not an ISO technical committee, but rather a policy development committee of the ISO Council that creates working groups to carry out specific revision and development of joint ISO/IEC International Standards and Guides on conformity assessment - it does not have subcommittees for this task.

(See ISO document QS-CAS-PROC-01.)

CABPUB

Since 2004, under the responsibility of the CAB, draft ISO/IEC standards and guides concerning conformity assessment (drafts which are developed in ISO/CASCO) have been submitted for comments and votes to IEC National Committees under the “CABPUB” label (derived from “future PUBLications in the domain of the CAB”). CABPUB is like an IEC Technical Committee (TC) in that draft standards and guides are circulated to its members for comment and/or vote. CABPUB is unlike an IEC TC in that it does not have any substructure (no subcommittees nor working groups) and does not directly develop standards or guides. All full members of IEC are P-members of CABPUB by default.

CASCO Working Groups

Working Groups (WG) are the specific means by which CASCO develop documents on conformity assessment. CASCO WGs operate in accordance with the ISO/IEC Directives, Part 1, Clause 1.12. CASCO WG's are made up of experts nominated by National Committees of IEC and member bodies of ISO and organizations in liaison.

CASCO WG - IEC relationship

The CASCO WG - IEC relationship is defined in the ISO/IEC Directives, Part 1, Annex B, Mode 5 cooperation.

CASCO Secretariat

The CASCO Secretariat is the secretariat for each of the CASCO Working Groups.

The role of the CASCO Secretariat officers at a CASCO WG meeting is similar to the combined role of a Technical Office and the Secretary at a TC plenary meeting. They ensure that the Directives are adhered to and take the meeting minutes. The CASCO Secretariat officers organise and attend all CASCO WG meetings. The CASCO Secretariat also maintains WG member's lists, ISO website document access rights, etc. The ISO/CASCO Secretariat reports to the ISO Council.

CAB Secretariat

The IEC CAB Secretariat is the link between ISO/CASCO and the IEC community. All CASCO documents for comment and/or voting by IEC National Committees are made available on the General Server as documents named under the CABPUB label, and also on the Technical Server for the information of CAB members. NCs and experts are notified of the circulation of these documents by the same mechanisms (Newdocs, MyNewDocs etc.) which exist for TC working documents, and the same search facilities are available as for other standardization projects. The CAB Secretariat maintains a list of IEC Coordinators for CASCO WGs and follows-up on meeting attendance and reports from those Coordinators. The CAB Secretariat reports to the CAB.

CASCO management groups

CASCO has three management groups,

- CASCO CPC – Chairman's Policy and Coordination Group,
This group gives explicit recognition to CASCO's policy role and also oversees the internal coordination of work amongst CASCO subgroups.
- CASCO STAR – Strategic Alliance and Regulatory Group,
This group is focused on promoting and communicating on conformity assessment matters. It facilitates the interaction between CASCO and sector schemes, CASCO and regulators, at regional and international level.
- CASCO TIG – Technical Interface Group
This group is focused on the relationship between ISO technical committees and CASCO. Its responsibility is to ensure a consistent approach to all conformity assessment issues in ISO technical committees.

Each management group meets twice a year, and IEC representatives can attend all meeting (usually it is the CAB Chairman and/or CAB Secretary who attend).

CASCO Road Map

The CASCO Road Map is a "living" document circulated by the CASCO Secretariat that indicates future CASCO work and provides prior notice to the ISO and IEC communities and to the market place of when ISO/IEC International Standards and Guides on conformity assessment are likely to be revised in the future. It normally provides a five years view of the future with respect to the review and maintenance of existing ISO/IEC Standards and Guides.

CASCO Meetings Calendar

The CASCO Meetings Calendar is a document that is maintained by the CASCO secretariat, and that is publically available through the ISO website. This document usually provides a 12 months running view of future CASCO WG meetings. It is circulated after each CASCO Plenary meeting and then regularly updated throughout the year. Each time a new meeting is added the experts

concerned are informed, but not the wider ISO and IEC communities. It is very rare that a meeting date or place is modified once it is on the calendar, but when this does occur, the concerned parties are notified.

CASCO Project Portal

The CASCO Project Portal is a web based tool that provides a summary of the status of the current CASCO projects. It is publically available through the ISO website.

3. Procedures

Proposal Stage

For a new work item proposal (NP) (at ISO referred to as an NWIP), the ISO/IEC Directives, Part 1 and ISO Supplement apply.

ISO/IEC Directives, Part 1 clause 2.3.3 describes the particular relationship of ISO/CASCO and IEC/CABPUB:

2.3.3 Where both an ISO and an IEC technical committee are concerned, the Chief Executive Officers shall arrange for the necessary coordination. (See also Annex B.)

This current document is an aid in describing the “*necessary coordination*”.

Proposal

An NP can be submitted to ISO/CASCO in the two following ways:

- According to ISO/IEC Directives, Part 1 clause 2.3 and the ISO Supplement.
- Under ISO/IEC Directives, Part 1 clause 2.3.2, IEC/CABPUB can submit an NP to ISO/CASCO through the provision of the Chief Executive Officer. In order for IEC/CABPUB to submit an NP to ISO/CASCO, IEC/CABPUB must first have received an NP submission in accordance with the ISO/IEC Directives, Part 1 clause 2.3 and the IEC Supplement.

NP Circulation

When an NP has been proposed, ISO/CASCO will circulate it to all its CASCO members, the concerned TCs (if any) and A-liaisons, and to the IEC CAB Secretariat.

The IEC CAB Secretariat will circulate the NP under the CABPUB label to the IEC National Committees and to CAB members.

Vote and Comment

Votes and comments for the NP shall be returned within the 3 months period.

Those eligible to vote are ISO/CASCO P-members and IEC Full Members.

Those eligible to comment are ISO/CASCO P & O-members and A-liaisons, and all IEC NCs.

Acceptance Criteria

Acceptance of the NP is according to the ISO/IEC Directives, Part 1 clause 2.3.5, and requires both a simple majority of those voting and nomination of experts from at least 5 voting members.

The acceptance by IEC and by ISO is separate.

Voting Results

In the case where the NP is rejected by both IEC and ISO, then the project will be rejected.

In the case where the NP is accepted by both IEC and ISO, then the project will proceed in the normal way with both IEC and ISO participation and will eventually be published under a dual logo.

In the case where the NP is rejected by IEC and accepted by ISO, then the project will proceed but only with ISO participation and will eventually be published under an ISO logo.

In the (rare) case where the NP is accepted by IEC and rejected by ISO, then the project will be treated on a case-by-case basis through agreement by the IEC and ISO Chief Executive Officers.

Vote Results Notification

The result of voting on the NP will be circulated separately by IEC and ISO within 6 weeks of the close of the ballot.

Acceptance

If the NP is accepted, then ISO/CASCO will establish a new working group (WG) for, or assign an existing WG to, this task and will arrange for its first meeting to be held within 3 months (in accordance with ISO/IEC Directives Part 1, clause 1.12.1).

Following stages

For the following stages, WD, CD, CC, CDV, RVC, FDIS, RVD and publication, of the development of these ISO/IEC International Standards and Guides, the ISO/IEC Directives, Part 1 and ISO Supplement apply.

Maintenance

For the review and maintenance of existing ISO/IEC Standards and Guides, the ISO/IEC Directives, Part 1 and ISO Supplement apply.

The CASCO Road Map provides a five years view of the future with respect to the review and maintenance of existing ISO/IEC Standards and Guides.

4. IEC general indications

Procedures extraction from CABPUB/60/INF – 2012

1. All CASCO documents for comment or voting by IEC National Committees are made available on the General Server as documents named CABPUB/nnn/CD, CC, CDV, RVC, FDIS or RVD, and also on the Technical Server for the information of CAB members. NCs and experts are notified of the circulation of these documents by the same mechanisms (Newdocs, MyNewDocs etc.) which exist for TC working documents, and the same search facilities are available as for other standardization projects.

NOTE – The prefix CABPUB is derived from “future PUBlications in the domain of the CAB”.

2. The closing date for comment / voting by IEC National Committees is the same as the date specified by ISO, or as close as possible to that date.
3. In order to help each country to coordinate consultations between the National Committee and the IEC CA System experts in the country, the cover page of each CABPUB draft contains the following text:

National Committees are strongly encouraged to consult the IECEE, IECQ and IECEx communities in their country when developing their national position on this draft.

4. The National Committees use the existing automated commenting and voting facilities of the IEC web site for these documents, and the Central Office uses the corresponding vote counting and comment consolidation facilities.
5. Upon receipt of a CASCO document the CAB Secretariat normally requests the IEC coordinator on the relevant CASCO WG to provide a commentary on the CASCO document for the purpose of providing information and / or advice to NCs in their consideration of the document. If the commentary provides information only, the Secretariat will take steps to make it available on the General and CAB Technical Servers as a CABPUB document referring to the draft concerned. If the commentary includes advice to NCs, it will be circulated to CAB members for comment (via the Technical Server) before being made available on the General Server (amended if considered necessary by the CAB).

IEC Coordinator to CASCO WG

At the vote on NP stage, in order for the new project to be accepted by IEC, in addition to a majority vote, at least 5 National Committees (NCs) must each nominate at least one expert. Further experts can be nominated at a later stage by IEC NCs if necessary. The experts are nominated with the expectation that they attend CASCO WG meetings and participate in the development of the standard or guide. One of those experts will be nominated as the IEC Coordinator to the specific CASCO WG.

It is the responsibility of the Coordinator to report to the CAB on the activities and status of the CASCO WG's work, to notify the CAB in a timely manner of matters of concern, and to provide recommendations to CAB when and where appropriate.

If the Coordinator cannot attend a CASCO WG meeting, it is their responsibility to ensure that at least one other IEC representative will attend. Providing a report to CAB remains the responsibility of the Coordinator, although the action of writing the report can be delegated.

CAB Secretariat

It is the CAB Secretariat's responsibility to inform the CAB community and the IEC NCs about the activities of the ISO/CASCO WGs, through the circulation of documents under the CABPUB label, IEC Coordinator reports and reports to the CAB. See the section *Procedures extraction from CABPUB/60/INF – 2012*, above.

In addition, the CAB Secretariat shall assist the IEC Coordinators in their responsibilities by informing them, and when necessary reminding them, of up-coming meetings; by aiding their delegation of participation in CASCO WG meetings, if necessary; by follow-up on Coordinators reports from CASCO WG meetings, and so on.

5. Reference documents

CAB/457/DV - 2004

CABPUB/60/INF - 2012

QS-CAS-PROC-01

ISO/IEC Directives

ISO/IEC Directives, Part 1: Consolidated ISO Supplement – Procedures specific to ISO