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**ISO/TC 46/SC 9 N 308**

2002-04-30

To: Mr. Albert Simmonds, Convenor of ISO/TC 46/SC 9 Working Group 3  
Members of Working Group 3 (via ISTC-L)

cc. P-members of ISO/TC 46/SC 9  
C. Wischhoefer, ISO Central Secretariat  
M.-M. Guillabert, ISO/TC 46 Secretariat

**Subject: Nomination of the Registration Authority for ISO 21047,  
International Standard Text Code**

The purpose of this letter is to request a nomination from ISO TC46/SC9 Working Group 3 for the Registration Authority of the ISTC system that will be established by ISO 21047 (also referred to as the International ISTC Agency). This nomination was one of the tasks assigned to WG3 in its original terms of reference for the ISTC project.

The Registration Authority for ISO 21047 will oversee the implementation and ongoing management of the ISTC identifier system and will coordinate registration procedures to ensure the assignment of unique ISTC identifiers to textual works. The attached document outlines the required qualifications and responsibilities of the Registration Authority and the process for its appointment.

Working Group 3's recommendation, with supporting documentation describing the qualifications of the nominated organization, is requested by July 30, 2002. The nomination will be forwarded to the voting members of ISO TC46/SC9 for their endorsement and subsequently to ISO's Technical Management Board for final approval.

If you have any questions about the attached nomination criteria or the process for appointing the Registration Authority for ISO 21047, please do not hesitate to contact me.

With regards,

*[original signed by]*

Jane Thacker  
Secretary, ISO/TC 46/SC 9



## **Criteria for appointment of the Registration Authority for ISO 21047**

This document sets out the qualifications and selection criteria for the Registration Authority for the International Standard Text Code (ISTC) to be established by International Standard ISO 21047. ISO 21047 is currently being processed for voting as a Draft International Standard with a projected publication date of early 2003.

### **Purpose of the ISTC**

The ISTC will be an international system for the unique identification of textual works. An ISTC will uniquely distinguish one textual work from another and will function as an internationally recognised and permanent identifier for each textual work to which an ISTC is assigned. Use of the ISTC will facilitate the accurate exchange and processing of information between interested parties involved in the administration and use of textual works. When linked to product identifiers, such as the ISBN, the ISTC will provide a way to collocate information about the various manifestations of a textual work within the publication supply chain.

### **Nominated organization**

The organization nominated as the Registration Authority for ISO 21047 can be a commercial or non-commercial entity, a for-profit or non-profit organization.

The nominated organization will be expected to observe the ISO procedures for Registration Authorities (see Annex B, attached) and will be required to enter into a contractual agreement with the ISO for a minimum period of 5 years.

The nominated organization should be prepared to begin performing the functions of the Registration Authority in overseeing the establishment and implementation of the ISTC system as of December 2002.

### **Fees**

Registration fees: Subject to approval by ISO, the Registration Authority may charge fees for the registration and assignment of ISTC on a cost-recovery basis only. The nominated organization should describe the nature of any anticipated fees or other service charges directly related to the process of ISTC registration.

Other fees: The Registration Authority will have the right to exploit ISTC registration data about textual works for other business purposes and for fee-based products and services produced from the ISTC registration database (e.g. aggregates of ISTC data, directories, etc.).

## Required qualifications

The organization nominated as the Registration Authority for ISO 21047 must meet the following basic criteria:

1. The organization must be a **legal entity**;
2. The organization must have a **sound financial structure**;
3. The organization must have **technically competent staff and sufficient equipment resources and communications facilities** to support the work of the Registration Authority for the ISTC system;
4. The organization **must not require financial contributions from ISO** or ISO's member bodies;
5. The organization must commit to serving as the Registration Authority for a **minimum period of five years**;
6. The organization must be **internationally acceptable** and must agree to carry out its functions as Registration Authority in a **non-partisan** manner.

In addition to these basic qualifications, the nominated organization must be able to perform the functions specified in International Standard ISO 21047. Therefore, the nominated organization must also have the following specific qualifications:

7. The organization must have the **ability to oversee the design, establishment and maintenance of an international registration system** for textual works and associated metadata as specified in ISO 21047.
8. The organization must have the **ability to establish and coordinate a network of ISTC registration agencies** that may be appointed on a sectoral, geographic or language basis.
9. The organization must be **familiar with the needs and perspectives of potential user communities** for the ISTC (e.g. organizations involved in the administration of rights to textual works; organizations involved in managing the supply chain for products and other uses of textual works) and must have the **ability to work with relevant sectors of the content industry** at the international level.
10. The organization must have **sufficient financial resources and commitment to establish and provide ongoing support** for the ISTC Registration Authority.
11. The organization must have a **credible plan for the development of the ISTC system** during its start-up phase and first five years of operation.

*NOTE – The nominated organization should also describe the nature of any anticipated registration fees or other service charges directly related to the ISTC registration process.*

12. The organization must have the **ability to promote and market the use of ISTC to relevant user communities** in accordance with the specifications of ISO 21047.

## **Responsibilities of the Registration Authority**

The organization that is nominated as the Registration Authority for ISO 21047 must agree to perform the following functions in accordance with ISO 21047. It should be assisted by a Registration Management Group in matters relating to policies and governance of the ISTC system.

13. To **implement a registration procedure for the assignment of unique ISTC** in accordance with ISO 21047;
14. To **appoint appropriate organizations as ISTC registration agencies** and to revoke such appointments as necessary in order to ensure compliance with the specifications of ISO 21047;
15. To **establish a Registration Management Group** to assist the Registration Authority in matters of policy and governance and in the resolution of appeals or conflicting ISTC assignments.

*NOTE - The Registration Management Group must include members with full voting rights to represent the interests of ISTC registration agencies and should also include representation from international and/or regional organizations representing major users of the ISTC and the ISO. The voting procedures for the Registration Management Group must be specified in writing.*

16. To **establish system-wide policies, procedures and specifications** for ISTC registration agencies on matters such as the capture, maintenance and availability of ISTC registration data;
17. To **allocate unique registration agency elements** for use within the ISTC syntax and to **maintain accurate registers of assigned registration agency elements**;
18. To **ensure the maintenance of accurate registers of assigned ISTC and the associated ISTC metadata** and administrative metadata, either in a central database or through an authorized network of distributed databases held by designated ISTC agencies;
19. To develop, implement, monitor and enforce **policies and procedures governing the operations of ISTC registration agencies** and the process of ISTC registration by those agencies, including any fees associated with that process;
20. To develop, implement, monitor and enforce **policies and procedures regarding access to the ISTC registers** maintained by the ISTC registration agencies;
21. To facilitate the **review and resolution of duplicate applications for or registration of textual works**;

22. To **review and decide on appeals of decisions made by ISTC registration agencies**, as necessary, in such matters as the rejection of ISTC applications and disputes concerning the accuracy of ISTC metadata;
23. To promote, co-ordinate and **supervise the ISTC system in compliance with the specifications of ISO 21047**;
24. To **develop documentation for users** of the ISTC system;
25. To **report annually on its activities** as the Registration Authority for ISO 21047 to the Secretariats of ISO TC 46 and ISO TC 46/SC 9, or their designated representative(s).

## **Appointment process**

Working Group 3's nomination for the organization to become the Registration Authority for ISO 21047 should be **submitted in writing to the ISO TC 46/SC 9 Secretariat on or before July 30, 2002**.

The **nomination must be accompanied by documentation** demonstrating that the nominated organization meets the criteria outlined in items 1-12 above and agrees to perform the functions specified in items 13-25 above.

The ISO TC 46/SC 9 Secretariat will circulate WG 3's nomination to the voting members of SC 9 and its parent committee TC 46 in the form of a letter ballot asking for their endorsement of the nomination on the basis of the accompanying documentation. Approval of the nomination will require that a two-thirds majority of the voting members are in favour and not more than one-quarter of the voting members are opposed to the nomination. Abstentions will be excluded from the voting results.

Assuming that the majority of voting members endorse the nomination, it will then be forwarded to ISO's Technical Management Board for final approval of the Registration Authority for ISO 21047.

## **Timeframe for selection process**

- 2002-04-30: Request for nomination issued to WG 3 (N 308)
- 2002-07-30: WG 3's nomination for the Registration Authority submitted to the ISO TC46/SC9 Secretariat, accompanied by documentation outlining the qualifications of the nominated organization.
- 2002-08-30: Nomination circulated to the voting members of SC 9 and its parent committee TC 46 for endorsement by a letter ballot.

2002-11-30: Selection confirmed by the voting members and forwarded to ISO Technical Management Board for final approval. ISO and the nominated organization prepare the legal contract for appointment of the Registration Authority for ISO 21047.

2003-01: Formal appointment of the Registration Authority for ISO 21047.

Note – The timing of this appointment will depend on contractual discussions between ISO and the nominated organization as well as the schedule for ISO Technical Management Board meetings during this period.

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**Excerpt from the ISO/TC 46 Procedures for the Work**

*Note – In the following excerpt all references to ISO Maintenance Agencies have been removed as they do not apply in the case of ISO 21047 (ISTC). The original version of these procedures can be found in TC46 document N 1465.*

**ISO TC 46 Rules for Designation and Operation of Registration Authorities (RA)**

**B.1 IDENTIFICATION OF NEED**

At the time of submission of a NP [New Proposal], the need and justification for registration or maintenance should be identified if possible. This does not preclude the identification of such a need during development of the standard, but such identification should be made as early as possible and as soon as the need becomes apparent.

The SC [Subcommittee] developing a technical standard should make every effort to avoid the necessity for registration or maintenance. When this is not possible, a detailed justification shall be produced at an early stage of standard development.

When a standard requires registration or maintenance procedures, a working draft of these procedures should be available at the time of CD [Committee Draft] ballot.

**B.2 Appointment**

The following procedures will be followed for appointment of an ISO/TC 46 Registration Authority:

- nomination by a national body or Category A liaison of ISO/TC 46,
- nomination endorsed by ballot of the SC responsible for the technical standard (or for an independent WG [Working Group], by ballot of the TC [Technical Committee]),
- approval by ISO/TC 46,
- approval by the ISO [Technical Management Board].

**B.3 Qualifications**

To qualify for designation as an International RA [Registration Authority] an organization shall demonstrate that:

- it is a legal entity,
- it enjoys a sound financial structure,
- it has sufficient equipment resources and communications facilities,
- it has employees who are technically competent in the relevant subject of the standard at issue,
- it shall require no financial contribution from ISO or its members,
- it is committed to serving as an RA for a minimum of five years,
- it is internationally acceptable and able to carry out its functions as an RA in a non-partisan manner.

## **B.4 Duties**

The RA is responsible for registration activities in accordance with the following rules and those contained in the technical standard and its associated procedural standard or procedural annex.

### **B.4.1 Registration Authorities**

General responsibilities:

- handle all aspects of the registration process in accordance with good business practice,
- handle all business in English and/or French,
- indicate in operations (e.g. on letterhead) that it has been designated as an RA by ISO,
- produce practice and tutorial documents when applicable,
- provide an annual summary report on activity to the ISO/TC 46 Secretariat,
- provide advice on implementation and use of the technical standard, as needed.

New registrations:

- receive applications,
- review applications,
- assign identifiers when the relevant criteria are met,
- inform the applicant of the result of RA actions.

Maintenance of register:

- maintain an accurate register,
- process updates of information associated with previously registered objects,
- make register available as specified in the standard (or associated procedural standard or annex),
- safeguard any confidential information.

## **B.5 Contract**

A Registration Authority shall operate under contract to ISO.

## **B.6 Technical Review**

### **B.6.1 Review of Registrations**

Proposed changes, additions or deletions to the list of registered items are subject to review, as specified in the standard or the RA procedures document. Those documents should state the criteria for adding to, or changing the list (and whether the Registration Authority is charged with the technical review of changes or whether an Advisory Committee (RA-AC) is to be established to review registrations).

## **B.7 Documents Required**

### **B.7.1 Registration Authority**

For each Registration Authority, three items are required:

- a) Definition of items to be registered - contained in the technical IS [International Standard].



- b) Procedure for the RA - contained in the technical IS, an annex to the technical IS, a separate IS, or a separate RA procedure document.
- c) Contract with RA - contained in a contract between ISO/CS [Central Secretariat] and RA.

The procedures for the RA will contain specifications for the following, as required by the type of entities under registration:

- designation of a Registration Authority Advisory Committee (RA-AC) [or Registration Management Group], where applicable,
  - voting procedures of the RA-AC [or Registration Management Group],
  - responsibilities of the RA,
  - principles for making additions, deletions or changes to the list of registered items,
  - steps for disseminating information on changes to the item list.
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