

CEN-CENELEC

GUIDE

22

**Guide on the organizational
structure and processes for the
assessment of the membership
criteria of CEN and CENELEC**

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1 Scope

This Guide complements, and is intended to be read in conjunction with, the membership criteria of CEN and CENELEC included in the CEN-CENELEC Internal Regulations Part 1 (IR1), Part 1D.

This Guide supersedes CEN-CENELEC Guide 22:2015 and Guide 22:2018, in line with the decisions of the CEN and CENELEC General Assemblies taken in June 2021 to review the organizational structure and processes for the assessment of the membership criteria of CEN and CENELEC.

This Guide aims to illustrate the organizational model implementing the management of the exercises of peer assessment, external assessment or self-assessment combined with EN ISO 9001 certification of the membership criteria laid down in IR1, Part 1D, as well as their reports and follow-up of actions.

The agreed organizational model aims at building trust and accountability of the CEN-CENELEC system, while ensuring efficient and effective management. Indeed, the implementation of such an assessment system replies to the ambitious goal of “excellence” embedded in the provisions of the membership criteria.

The assessment exercises are handled under the supervision of a recognized *super partes* body, and independent Chair and by competent assessors, be they independent from the Member assessed (e.g. in case of peer or external assessment) or within the same Member (self-assessment combined with EN ISO 9001 certification).

The blend of competence and independence of judgment of the Chair and assessors and the effective and efficient processes of follow-up actions will ensure the integrity of the CEN-CENELEC assessment system and the recognition of those CEN and CENELEC stakeholders closely linked to, and benefiting from, standardization.

2 Governance process

The three approved assessment models of “Self-assessment exercise integrated with the EN ISO 9001 certification”, “Peer assessment exercise” and “External assessment exercise” are built around the following organizational principles:

- the Presidential Committee leads the process, in full collaboration with the CEN and CENELEC General Assemblies (AGs) and the CEN and CENELEC Board (CAs) in the case of External assessment exercise;
- the Membership Relations and Monitoring Committee (MRMC) manages the process including assessment activities, reporting and follow-up actions with the Members;
- a channel of reporting from the MRMC to the AGs through the Presidential Committee raises awareness of good practices;
- the CEN and CENELEC Boards identify external assessors in case of External assessment;
- a standing team of peer assessors or Members’ internal assessors supports the assessment process.

3 Membership Relations and Monitoring Committee (MRMC)

3.1 Mandate

The MRMC is the core of the system.

The MRMC is mandated by the CEN and CENELEC General Assemblies to:

- a) manage the CEN-CENELEC assessment system and ensure the overall quality, coherence and fairness of the Self-assessment combined with EN ISO 9001 certification, Peer assessment or External assessment reporting;

- b) ensure a smooth and effective management of a coherent self-assessment combined with EN ISO 9001, Peer assessment or External assessment approach through appropriate processes, preparation and maintenance of the necessary documents and templates, as well as selection and training of qualified assessors;
- c) seek continuous improvement on the definitions of the criteria for membership based on the experience acquired;
- d) ensure the effective follow-up of the outcomes of the reports on the assessments made and coordinate and disseminate good practices to the CEN-CENELEC members with a view to facilitating the exchange of information among the Members through appropriate mechanisms;
- e) coordinate the assessment process of those organizations applying for membership in CEN and CENELEC;
- f) coordinate the assessment process in case of change of legal status of a Member of CEN and/or CENELEC.

The MRMC reports to the Presidential Committee and, at least once a year, to the General Assemblies.

The MRMC's main tasks, in accordance with the above mandate, are further detailed in its Terms of Reference (ToR) as approved by the CEN and CENELEC General Assemblies in October 2012 (CEN/AG Resolutions 31 and 32/2012 and CLC/AG53_CCMC_12_211/2012_RV).

3.2 Composition

The composition of MRMC is as follows:

- the Chair;
- two members appointed by CEN;
- two members appointed by CENELEC;
- the CEN-CENELEC Director General.

The Chair, who is an impartial person trusted by the whole community, is appointed by the CEN and CENELEC General Assemblies for a 4-year term and receives some financial compensation for the time they devote to this activity.

The other members of the Committee are appointed by the respective CEN and CENELEC Governing Bodies following a call for nomination. They are appointed for a 3-year term and re-eligible for an additional term of 3 years. They divest themselves from any representation of specific interests of the organization that nominated them.

The Director General attends the Committee meetings as an observer with an advisory role.

3.3 Decisions

The Committee decides by consensus. The Chair, the CEN and the CENELEC nominated members take decisions. The ToR specifies those cases of abstention from voting when, for instance, the MRMC's decisions concern the national organization from which the representative comes from.

3.4 Management

The MRMC works mainly by electronic means, holding online meetings as appropriate, but at least once a year holds a physical meeting.

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The working language of the Committee is English.

The MRMC Chair and members shall abide to specific confidentiality rules in order to ensure that the information in the assessment reports of CEN and CENELEC Members is managed with due care within the MRMC.

3.5 CCMC support

CCMC appoints a member of its staff to be in charge of ensuring the secretariat and the administration of the MRMC's work (meetings and flow of information) and assisting the Chair in specifically identified tasks related to the preparation and follow-up of MRMC meetings.

4 The assessment options

4.1 General

This clause describes the three identified options of assessment approved by the CEN and CENELEC General Assemblies with their distinctions underlined whenever necessary for the different types of CEN and CENELEC Members (Article 7.1 of the CEN Statutes and Article 7.2 of the CENELEC Statutes):

- **Blue-type Members**: NSB/NC from a European Economic Area State
- **Red-Type Members**: NSB/NC from an EFTA state (not Blue-type Members), or from States that are officially identified as candidate countries for accession to the EU
- **Yellow-Type Members**: NSB/NC from a State having an agreement with the EU and demonstrating regulatory convergence or compatibility with the essential regulations that support the Single Market in areas that are relevant to CEN and CENELEC activities.

4.2 Self-assessment exercise combined with EN ISO 9001 certification

4.2.1 General and time cycle of the assessment report

Under this option, CEN and CENELEC Members of Blue and Red types organize and conduct their self-assessment combined with EN ISO 9001 certification and report the findings to the MRMC. The time cycle of the assessment Report is every 3 years.

The following specific elements should be taken into account.

4.2.2 Certification EN ISO 9001

Members having chosen this option shall have a quality management system in place, which is EN ISO 9001 certified at their own cost, in addition, the following applies:

- Membership requirements shall be covered by the QMS system of the Member;
- The Member shall provide information to the external auditor about the scope and membership requirements as outlined in the relevant documents before completing the EN ISO 9001 audit;
- The assessment report and action plan for dealing with non-conformities to the membership criteria shall be agreed between the management and the external auditor before it is sent to MRMC;
- An annual monitoring during the internal audits within the exercise of EN ISO 9001 certification should be carried out by the internal assessor to ensure ongoing compliance.

It is the Member's responsibility to decide the most convenient organizational modalities regarding the involvement of the external auditor in the assessment of the membership criteria.

4.2.3 Internal assessors' team

The Members nominate their own internal team of assessors in line with the practices of the quality management system in place. Please also refer to Annexes B and F.

4.2.4 Membership Relations and Monitoring Committee

The MRMC is called to:

- agree on the yearly calendar of self-assessment combined with EN ISO 9001 certification exercises to be held by the concerned Members;
- monitor the execution of the scheduled self-assessment combined with EN ISO 9001 certification;
- receive, accept and handle the reports produced by the Members;
- benchmark the result of reports with a view to defining some good practices.

4.2.5 Main implementation steps of the self-assessment exercise combined with EN ISO 9001 certification and follow-up

a) Review and assessment by the CEN or CENELEC Member's internal assessors

The CEN or CENELEC Member's internal assessor(s) are expected to fully understand the relevant documents. If needed, they can request at any time additional information and clarification from the MRMC on matters related to the handling of the self-assessment and on the organization of this exercise.

b) Final Report and feedback

The Member sends the final report produced by its internal assessors to the MRMC, which will accept it following the review and recommendation of the Chair. The Committee handles the report with due confidentiality.

Where relevant in case of non-conformities, the MRMC provides specific recommendations and feedback to the Member on possible improvements (see Clause 5) and may also indicate good practices from other Members. The MRMC may also facilitate the exchange of information on good practices by inviting the Member to contact other relevant members on specific matters.

c) Review of the relevant parts of EN ISO 9001 certification by the internal assessors

In order to allow the MRMC to be able to compare the reports received from the Members, the assessors of each Member shall ensure that all relevant information of the EN ISO 9001 auditors' report is properly included in their self-assessment report respecting the given template. It is also important to underline two important aspects:

- not all parts of EN ISO 9001 audit reports are relevant for the membership criteria; and
- the assessment of the membership criteria is not entirely covered by the EN ISO 9001 audit.

In order to make sure that the MRMC only receives the relevant part of the Member's EN ISO 9001 report produced by the auditors, the Members' internal assessors should define:

- what information within their EN ISO 9001 exercise is relevant for the self-assessment reporting on the basis of the membership criteria;
- what are the additional specific assessment activities that are needed to fulfil the self-assessment reporting.

4.2.6 Working language

The working language in this option will be the language of the country of the Member. However, the report will be drafted in English.

4.3 Peer assessment exercise

4.3.1 General and time cycle of the peer assessment report

Under this option, CEN and CENELEC Members of the Blue, Red and Yellow types organize a peer assessment model based on independent and competent teams of assessors coming from the staff of the Members. For Blue and Red type Members, the time cycle of the peer assessment audit is 3 years. For Yellow-type Members, a peer assessment exercise must be delivered in the first two years after becoming a Member as well as an external assessment while applying for membership and then every following third year.

It should be noted that peer assessment exercises may be requested by the MRMC at any time in case of change of legal status of an existing CEN and/or CENELEC Member and in case of a new application for membership in CEN and CENELEC, as laid down in clause 3.2 of the CEN-CENELEC IR Part 1D.

4.3.2 Membership Relations and Monitoring Committee

In addition to the responsibilities of the MRMC already outlined, in the case of peer assessment the Committee will also be in charge of:

- a) the organization of the peer assessment processes;
- b) the selection, appointment and coordination of the peer assessors.

4.3.3 Chair of the Membership Relations and Monitoring Committee

The Chair is expected to ensure:

- a) the most appropriate composition of the peer assessment teams, taking into account the size and other specificities of each Member, including (if possible) the national language;
- b) the efficient management of the assessment visits held by the peer assessors.

The Chair will not act as a peer assessor in order to avoid a conflict of interests between the two positions.

4.3.4 The peer assessors

The assessments on the membership criteria under this option are made by individual peer assessors or teams of peer assessors, depending on the size of the Member.

The peer assessors are competent persons appointed to handle the assessment exercises and to report accordingly to the Membership Relations and Monitoring Committee. They commit to be independent in their judgment and behaviour.

The names of the peer assessors enabled to run peer assessments are included in a list that is made available to all Members.

4.3.5 Criteria for nomination and selection of peer assessors and remuneration

Each Member may nominate a candidate peer assessor. However, common CEN and CENELEC Members may nominate only one candidate peer assessor.

The call for nomination of the peer assessors is made through an open process based on objective criteria to be laid down in a separate document. Members are expected to nominate their own staff as candidates to become peer assessors. Candidates should demonstrate, at least:

- a good knowledge of English and, possibly, of other national language(s) spoken in the Member's country(ies);
- previous knowledge/work experience with quality audit exercises;
- knowledge on standardization development.

Following the deadline of the call, the MRMC evaluates the proposed curricula according to the agreed criteria and establishes a list of maximum 15 appointed assessors.

The peer assessors are expected to remain available in the shortlist for a period of 4 years.

Calls for peer assessors are normally handled once every 4 years.

Each time a peer assessor is called to handle an assessment exercise, the Member in which this assessor is employed receives a financial compensation for the time its employee spends on the assessment exercise. This is calculated for an amount of € 600 per day/assessor plus travel costs (reimbursed upon real flight expenses) and accommodation costs (reimbursed upon fixed daily allowance based on the EC official rates for European projects).

The same financial compensation and reimbursement of cost is applied to the CEN and/or CENELEC Member that changes its legal status requiring an assessment of compliance with the membership criteria. In case of the assessment following a new application for membership in CEN and CENELEC, the same financial conditions as above will apply, and the related cost will be charged directly to CEN and CENELEC and invoiced to CCMC.

4.3.6 Establishment of the peer assessors' team for the Member assessment

The Chair of the MRMC appoints the peer assessors to handle the assessment visits.

Confidence in the process is key to the relevance of the peer assessment process. Therefore, the Chair appoints the peer assessors in a dialogue with the Member to be assessed. A contact person in the Member's organization is to be nominated to this end.

Depending on the size of the Member to be assessed, the MRMC can agree to allow just one peer assessor to handle the exercise or to have a team of peer assessors composed of a lead assessor and one assessor.

The Chair appoints the peer assessors who have the qualifications required for the specific assessment, bearing in mind the profile of, and their independency from, the Member to be assessed.

The Member to be assessed has the right to reject a peer assessor, providing reasons for their non-acceptance.

In all cases, the team is appointed in agreement with the Member to be assessed.

4.3.7 Main implementation steps of the peer assessment and follow-up

- a) Desk review and preparation of the visit on location

Relevant documents are sent by the Member to the assessors' team in advance. The need for specific translations is discussed on a case-by-case basis.

The assessors' team studies the documents, requests additional information (if needed) and clarifies items as much as possible before the assessment on location.

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In order to ease the assessment visit, a preliminary short report and a proposed assessment schedule (topics, persons, documents, and timetable) are sent to the Member for comments and agreement.

b) Visit by the Assessors to the Member

The visit and assessment are organized on the basis of good audit practices. At the end, a first oral summary of findings, results and recommendations will be given to the Member's management by the assessors' team.

c) Draft report

The draft report is sent to the Member for comments within a given timeframe. If the Member does not agree with the findings in the assessors' report, further clarifications to find consensus are possible.

The Chair of the MRMC may intervene to facilitate the exchange of information between the assessors and the Member.

If consensus is not possible, the Member sends its written comments or clarifications to the MRMC. The diverging positions between the assessors and the Member are quoted in the final Report (see also Clause 5).

d) *Final report and feedback*

The assessors' final report is sent to the Member concerned and to CCMC for processing to the MRMC, which handles it with due confidentiality. The MRMC may also provide specific feedback to the assessed Member on possible remedies and improvements. It also indicates good practices of other Members and facilitates the exchange of information on these by inviting contact to be made with other relevant Members on specific matters.

e) *Non-conformities*

Should non-conformities be revealed, a reasonable timeframe for reaching compliance is agreed with the Member concerned. In case of persistent failure of compliance, MRMC will engage in an escalation process as defined under Clause 5.

4.3.8 Working language

The choice of the assessors will also take into account their language skills, so as to facilitate the reading and use of the Member's documents. However, it may be required that at least the main documents are translated into English. The peer assessment report will be drafted in English.

4.3.9 Other complaints on peer assessors

The Member may put forward formal complaints to the MRMC about the assessors' work and/or behaviour. Any complaint must be accompanied by the relevant evidence.

4.4 External assessment exercise

4.4.1 General and time cycle of the external assessment report

CEN and CENELEC Yellow-type Members shall undergo an external assessment focusing on regulatory compatibility when applying for membership and then every third year after becoming a Member. The external assessment model is based on a team of independent and competent assessors appointed by the CEN and CENELEC Administrative Boards upon recommendation of the Presidential Committee.

In particular, the external assessment shall include all agreements with the EU and documents that certify compliance with regulatory convergence or compatibility with the essential regulations that support the Single market in the areas that are relevant to CEN and/or CENELEC.

4.4.2 Membership Relations and Monitoring Committee

In addition to its above-mentioned responsibilities, in the case of an external assessment the MRMC is in charge of:

- a) the organization of the external assessment process;
- b) advising the Presidential Committee on the identification and composition of the teams of external assessors.

4.4.3 The external assessors

The external assessors are competent persons appointed to handle the assessment exercises and to report accordingly to the Membership Relations and Monitoring Committee. They commit to be independent in their judgment and behaviour.

4.4.4 Establishment of the external assessors' team and remuneration

The composition and the size of the team are decided by the Administrative Boards upon recommendation of the Presidential Committee. The Presidential Committee shall consult the MRMC for the identification of the assessors.

The Administrative Boards appoint external assessors who have the qualifications required for the specific assessment, bearing in mind the profile of, and their independency from, the Member to be assessed.

The Administrative Boards, upon recommendation of the Presidential Committee, appoints a leader among the external assessors responsible for assigning specific roles and tasks, for the coordination of the team and for the final drafting and delivery of the assessment report.

The assessment costs shall be covered by the assessed organization. The overall calculated costs for work and accommodation are the same as those indicated for the peer assessment exercise under clause 4.3.5. The assessed Member does not have the right to reject an assessor appointed by the Boards.

4.4.5 Main implementation steps of the external assessment and follow-up

- a) Desk review and preparation of the visit on location

Relevant documentation, including extensive legal evidence establishing compliance with the membership criteria for Yellow type Members are sent by the Member to the external assessors' team in advance. The need for specific translations is discussed on a case-by-case basis.

The assessors review the documents, request additional information (if needed) and clarify items as much as possible before the assessment on location.

In order to facilitate the assessment visit, a short preliminary report and a proposed assessment schedule (listing topics, persons to meet with, documents to access and timetable) are sent to the Member for comments and agreement. Additional meetings to define the needs and objectives of the assessment exercise may also be proposed.

- b) Visit by the Assessors to the Member

The visit and assessment are organized on the basis of good audit practices. At the end, a first oral summary of findings, results and recommendations will be given to the Member's management by the assessors' team.

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c) Draft report

The draft report is sent to the Member for comments within a given timeframe. If the Member does not agree with the findings in the assessors' report, further clarifications to find consensus are possible. The Member does not have the right to object the findings and recommendations provided in the draft report.

The Chair of the MRMC may intervene to facilitate the exchange of information between the assessors and the Member.

If consensus is not possible, the Member sends its written comments or clarifications to the MRMC. The diverging positions between the assessors and the Member are quoted in the final Report

d) *Final report and feedback*

The external assessors' final report is sent to the Member concerned and to CCMC for processing to the MRMC, which handles it with due confidentiality.

The MRMC may provide specific feedback to the assessed Member on possible remedies and improvements. It also indicates goals and practises of other Members and facilitates the exchange of information on these by inviting contacts to be made with other relevant Members on specific matters.

Based on the final report, the MRMC provides a detailed recommendation to the Presidential Committee, which may contain specific feedback on possible remedies to non-conformities and possible improvements. It also underlines good practices and other supporting evidence and information.

e) *Non-conformities*

Should non-conformities be revealed, the PC asks the MRMC to manage the follow-up process. A reasonable timeframe for reaching compliance is agreed with the Member concerned. In case of persistent failure of compliance, MRMC provides the PC with a negative feedback on the Member's Membership status.

f) *Recommendations of the Presidential Committee*

Based on the feedback of the MRMC, the Presidential Committee provides further recommendation to the Administrative Boards.

g) *Recommendations of the Administrative Boards*

The Administrative Boards analyse the recommendations provided by the PC and deliver final recommendations on Membership status to the General Assemblies.

h) *Final Decision of the General Assemblies*

The General Assemblies decide on the Membership status of the assessed Member during their common session.

4.4.6 Working language

The criteria established under clause 4.3.8 applies.

5 Conformity and non-conformities

5.1 Degree of conformities

The degrees from Full Conformity to Serious Non-Conformity are described as follows:

GRADE	DEFINITION
Full conformity	The Member meets all obligations in full. Flawless in terms of attention to specifics and showing original insight.
Conformity with comments	The Member meets all obligations but lacks specific evidence. Attention to specific requirements with room for improvement is needed. The evaluated Member is encouraged to respond to comments and an Action Plan for further development near flawless is needed.
Conformity with concern	The Member meets all obligations at present, but attention to specific requirements is needed as the Member's practice may develop into a non-conformity. The evaluated Member is expected to respond to a Concern by providing the MRMC with an appropriate Action Plan and time schedule for implementation. The response shall include an analysis of the root cause and extent and include a corrective action plan.
Low Non-Conformity	The Member does not meet a membership requirement under one or more criteria. An immediate corrective action is needed and evidence of its implementation is provided to the MRMC. The assessed Member is expected to respond to a Low Non-Conformity by taking immediate corrective action. The response shall include, within an appropriate Action Plan, an analysis of root cause and extent and explanation of corrective and preventative actions and objective evidence of implementation.
Medium or Serious Non-Conformity	The Member does not meet a membership requirement under one or more criteria. However, the MRMC can decide that several low rated non-conformities may amount to a "Medium" or "Serious" non-conformity as it may indicate a systemic problem.

5.2 Escalation process in case of non-conformities (peer assessment)

In case of non-conformities, the indicative process will be as follows:

Event	Indicative timeframe		Impact/consequence
	time: T0	cumulated time: T0	
Peer and external assessment: in case of diverging positions between the Member and the peer assessors on the non-conformities in the assessment report			The Member may send its separate written comments or clarifications to the MRMC for consideration when assessing the related report

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Event	Indicative timeframe		Impact/consequence
	time: T0	cumulated time: T0	
MRMC receive a report including one or more non-conformity with the criteria for membership and the Member has already indicated in the report how it intends to address the non-compliance.	0	4 weeks MRMC Chair report + MRMC meeting	The MRMC assess the possible “low”, “average” or “serious” impact of the non-conformity with the criteria for membership and the proposed remedy and timeframe. The MRMC approve the remedy actions and timeframe.
<u>Comment</u> At the agreed deadline, the Member has not taken the remedy action	deadline	1 week	Member to explain the reason of the delay and to indicate a new deadline.
CCMC to inform the MRMC at the next meeting	1 week	MRMC meeting	MRMC possible formal <i>reminder</i>
<u>Concern</u> At the agreed deadline, the Member has not taken the remedy action	deadline	1 week	Member to explain the reason of the delay and to indicate a new deadline.
CCMC Review with the Member and CCMC to inform the MRMC	2 weeks	3 weeks	MRMC possible formal <i>warning</i>
<u>Non-Conformity</u> At the agreed deadline, the Member has not taken the remedy action	deadline	1 week	Member to explain the reason of the delay and to indicate a new deadline.
MRMC Chair to have preliminary discussion with the Member (with support CCMC) and inform the MRMC	+ 2 weeks	3 weeks	Chair to decide if to call for an ad hoc meeting + possible formal <i>warning</i>
MRMC to send written questions to the Member.	+ 1 weeks	4 weeks	-
Answers from the Member	+ 2 weeks		-
MRMC consider the answers and, if not satisfactory, refers the situation to PC. CCMC informs the Members accordingly.	+ 2 weeks	8 weeks	All Members are aware of a potential problem with one Member of CEN CENELEC.
PC considers the situation and decides sending a peer assessor to the Member to investigate on site and any other support action (including further legal advice) to be handled by MRMC and CCMC	+ 4 weeks	12 weeks	-
Visit of the assessor on site and preparation of an assessment report	+ 4 weeks	16 weeks	-

Event	Indicative timeframe		Impact/consequence
	time: T0	cumulated time: T0	
MRMC review of the assessor's report	+ 2 weeks	18 weeks	
<u>The report is positive:</u> MRMC inform the PC CCMC inform all Members	+ 1 week	21 weeks	All Members are informed of the positive outcome of the process
<u>The report is negative:</u> MRMC inform the PC The President calls for the General Assembly meeting to decide on further actions including a possible site visit	+ 1 week	21 weeks	-
Upon consideration of the report of the assessor, the General Assembly(ies) require urgent remedy actions and reduce the rights of the Member	+ 4 weeks	23 weeks	Ad hoc suspension of certain membership rights and obligations ie: the Member no longer enjoys full rights, for instance its nominated CA member would be suspended, if applicable, and AG or BT voting rights are suspended...) Experts nominated by the NSB/NCs in working groups are suspended. TC secretariats held by NSB/NC are considered by the BT(s) for reassignment.
In the absence of effective and demonstrated remedy actions (within 3 months), the CA recommend the AG to exclude the Member	+ 12 weeks	35 weeks	-
By resolution of the AG(s) by correspondence, the Member is excluded (qualified majority vote according to the relevant statutory provisions)	+ 4 weeks	39 weeks	Loss of the status of Member with CEN CENELEC. National votes are rejected. National delegations in TCs are no longer accepted. Experts nominated by the NSB/NCs in working groups are excluded. TC secretariats held by NSB/NC are offered by the BT(s) for reassignment.
CEN and/or CENELEC communicate the situation to the European Commission under art. 24–1 e) of Regulation 1025/2012	0		-
The situation is referred to in the agenda of the Committee of Standards under art. 23 of Regulation 1025/2012	+ 3 months	1 year	-

Event	Indicative timeframe		Impact/consequence
	time: T0	cumulated time: T0	
Possible notification of another body by the Member State under art. 27 of Regulation 1025/2012	-	-	Possible loss of the status of Member of the NSB/NC with its Member state and with the European Union.
Consideration by CEN and CENELEC of the candidature of a replacement body as the new Member	-	-	-

6 Processing of requests from CEN and/or CENELEC Members who change legal status¹

The fulfilment of the CEN-CENELEC Membership Criteria is to be considered as a requirement that all CEN and CENELEC Members, present and future, have to respect at all times. A current CEN and/or CENELEC Member may decide - or be requested by its national Public Authorities - to change its legal status or, alternatively, be replaced by a new legal entity in the domain of standardization at national level. All those cases may lead *de jure* and *de facto* to a new legal entity. Consequently, an assessment made by independent assessors under the coordination of the MRMC may be needed. In this case, the process of assessment of compliance with the membership criteria is as follows:

- the Member notifies CEN and/or CENELEC with official letter the new situation at national level, including the relevant evidence (such as: new Statutes, organizational chart, administrative acts and national law translated in English).
- On receipt of the letter, the Director General, in consultation with the CEN and/or CENELEC President and Vice-Presidents, informs the Chair of the MRMC.
- The MRMC assess whether the change of legal status is such to require the organization of the assessment of the criteria for membership by independent assessors. If so, CCMC assists the MRMC on the organizational aspects.
- If the new legal status further entails a change in the Membership type, a new assessment of the necessary requirements for membership will be needed.

7 Processing of applications for membership to CEN and CENELEC²

The acceptance of a new Member by the CEN and/or CENELEC General Assemblies has to be based on the evidence of the ability by the applicant organization to abide to the membership criteria, as a result of the assessment made by independent experts under the coordination of the MRMC.

The process for application for membership in CEN and CENELEC is as follows:

- An official letter of application is to be addressed to CEN and/or CENELEC. This letter must provide evidence, and a supporting file regarding the items developed in this document is to be annexed (notably demonstrating compliance with the above criteria).
- On receipt of the letter, the Director General, in consultation with the CEN and/or CENELEC President and Vice-Presidents, informs the Chair of the MRMC.

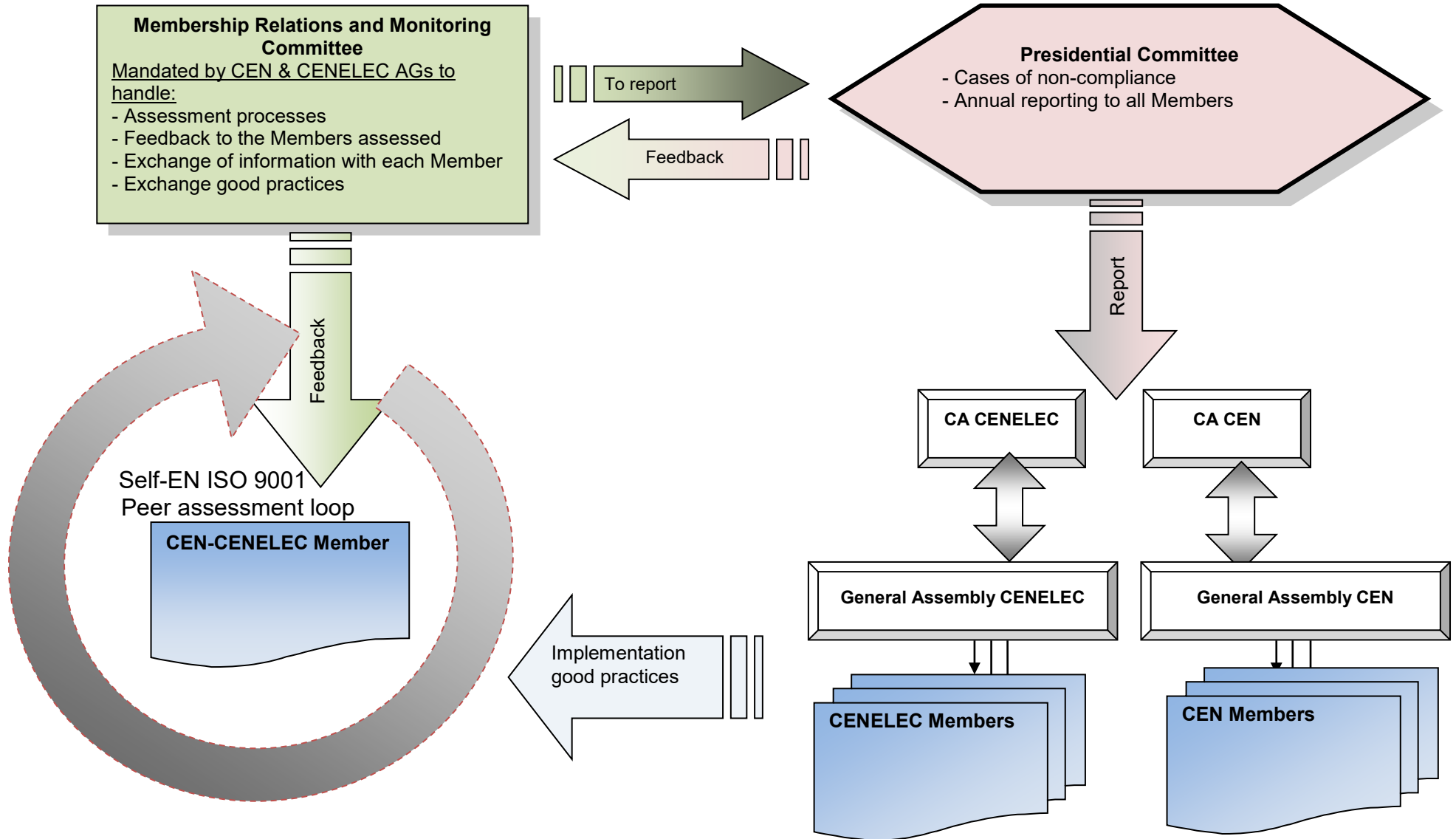
¹ Please also refer to CEN-CENELEC IR Part 1, Part D, Clause 7.

² Please also refer to CEN-CENELEC IR Part 1, Part D, Clause 8.

- The MRMC organizes the assessment of the criteria for membership set by the Internal Regulations Part 1D, by independent assessors. If the applicant is applying for a Yellow-type membership, an external assessment process as defined under clause 4.4 is organized and CCMC assists the assessors on the organizational aspects.
- The assessment is handled following the same organizational rules and costs as of the peer assessment exercises.
- A consultation with the European Commission and EFTA Secretariat is arranged.
- A consultation with the other ESOs is arranged (notably on the weighted voting).
- On the basis of the outcome of the above steps, negotiations start between CCMC on behalf of CEN and CENELEC and the candidate organization on the terms of accession to membership and, in particular, with respect to the calendar and the weighted vote to be granted.
- The completed file, including the MRMC Report on the outcome of the assessment, is transmitted to CEN and/or CENELEC Board for recommendation and from this to the CEN and/or CENELEC General Assembly for decision.
- The General Assembly of CEN votes in accordance with Article 12 of the CEN Statutes.
- The General Assembly of CENELEC votes in accordance with Article 12 of the CENELEC Statutes.

Annex A

Summary of the organizational model



Annex B

Tips for internal assessors on how to get the most from the self-assessment combined with EN ISO 9001 certification

- Investigate with your management the possibility to:
 - o present this as a corporate project to the whole organization;
 - o include the conformity of your NSB/NC to the membership requirements as a Quality Objective or part of your Quality Policy, in order to facilitate the integrated monitoring of the 6 criteria for your NSB/NC.
- Check if all requirements are covered by the scope of your QMS that has been certified (including information in the report).
- Keep a matrix of requirements and in which departments/units/processes these are covered and can be audited (attach to the report).
- Set up an assessment programme, defining the processes/functions to be assessed and the audit and assessment teams (included in the report).
- Check your Quality Management System (QMS) documentation to see if the procedures that are required by the guidance documents are available (statement to include in the report / "what's in or what's not").
- Composition of the assessors teams should be: one management Member, one or two EN ISO 9001 internal auditors or internal assessors.
- Internal assessors should follow a workshop on CEN and CENELEC membership criteria, including Guide 22, as well as periodic refreshment and feedback.
- Internal auditors shall check that the QMS procedures in place are compliant to requirements of the membership criteria.
- Both peer and internal assessors should use the checklist in Annex C as a tool to help establish the level of compliance with the requirements.
- Use the checklist and report templates annexed to this Guide, and available on the Assessor's portal, as the basis for your audit report.
- If the application of certain documented procedures has already been checked during an internal audit (EN ISO 9001), then the checklist shall refer to the related audit reports.

NOTE EN ISO 9001 certification gives assurance that all documented QMS procedures are controlled, applied and audited.

- Identify and keep records of all evidences that show you comply to the various criteria.
- Include/refer in QMS procedures, methodologies to tackle and follow-up non-conformities (in line with CEN-CENELEC Guide 22 and relevant procedures).
- Include as an Annex the EN ISO 9001 certificate and, if relevant (e.g. in English), the quality manual to the report.

Remember the synergy between the assessment exercises and EU Regulation 1025/2012

- Regulation 1025/2012 Article 5 and Article 6 require CEN and CENELEC Members to 'encourage and facilitate' an appropriate representation of all relevant stakeholders, including societal (consumers, environmental and social organizations), as well as the access of SMEs to standards and to standards development processes.
- Remember that each CEN-CENELEC Member has to provide the relevant information on a yearly basis to CCMC, and that compliance with these topics is also part of the assessment of the criteria for membership, notably those on Transparency and Openness.
- Agree on the relevant information to be provided under this exercise with the contact person in your organization in charge of annual reporting under Regulation 1025.

Annex C

Checklist to be used by the assessors during their assessment of the criteria for membership

Checklist to be used by the assessors during their assessment of the Criteria to be fulfilled by all CEN-CENELEC Members

Please note that this checklist is a supporting assessment tool and does not intend to be exhaustive

Nr	TOPIC	ELEMENTS	OK	EVIDENCE ³	CONFIDENTIAL
	EN/ISO 9001	Valid 9001 certification in place	<input type="checkbox"/>		
1.1	Work Programme	Work Programme is updated at least once a year (<i>EU Regulation No 1025/2012</i>), art. 3(1)	<input type="checkbox"/>	1	<input type="checkbox"/>
		The work programme indicates, in respect of each standard deliverable: <ul style="list-style-type: none"> • the subject matter; • the stage attained in the development of the standards; • the references of any other (international) standards taken as a basis. (<i>EU Regulation No 1025/2012</i>), art. 3(2)	<input type="checkbox"/>	2	<input type="checkbox"/>
		Work Programme is published free via public website or other publicly accessible publication (<i>EU Regulation No 1025/2012</i>), art. 3(3)	<input type="checkbox"/>	3	<input type="checkbox"/>
		Notification of availability of each new yearly Work Programme is included in other NSB-NC publications (periodic bulletins and newsletters) (<i>EU Regulation No 1025/2012</i>), art. 3(3&4)	<input type="checkbox"/>	4	<input type="checkbox"/>
		Notification of availability of each new yearly Work Programme is made by the NSB-NC to	<input type="checkbox"/>	5	<input type="checkbox"/>

³ Please state the reference (if any), title and date of the evidence presented.

Nr	TOPIC	ELEMENTS	OK	EVIDENCE ³	CONFIDENTIAL
		CEN and CENELEC as appropriate (EU Regulation No 1025/2012), art. 33&4)			
		Other:	<input type="checkbox"/>	6	<input type="checkbox"/>
1.2	New Work Item (NWI)	A list of all NWI is made publicly available	<input type="checkbox"/>	7	<input type="checkbox"/>
		CENELEC: all NWI are notified according to the rules of the Vilamoura procedure, (Frankfurt Agreement), including information on matters related to standstill	<input type="checkbox"/>	8	<input type="checkbox"/>
		The notification process is included within systematic internal procedures	<input type="checkbox"/>	9	<input type="checkbox"/>
		Other:	<input type="checkbox"/>	10	<input type="checkbox"/>
1.3	Draft documents	Working documents (with full text accessible) are made available to all Members participating in the national technical bodies <u>via web platform / circulated in electronic format</u> (pdf, read-only, etc.).	<input type="checkbox"/>	11	<input type="checkbox"/>
		Working documents (and their related deliverables listed as normative references) are made available to all Members participating in the national technical bodies <u>free of charge</u>	<input type="checkbox"/>	12	<input type="checkbox"/>
		All Members participating in the national technical bodies are able to make comments and contributions to the working documents	<input type="checkbox"/>	13	<input type="checkbox"/>
		Upon request, other CEN-CENELEC Members are allowed to participate (actively or passively) in the planned/ongoing drafting activities (EU Regulation No 1025/2012), art. 4(4)	<input type="checkbox"/>	14	<input type="checkbox"/>
		Upon request, to ensure access to draft national standards to relevant parties established in other Member's countries (EU Regulation No 1025/2012), art. 4(4)	<input type="checkbox"/>	15	<input type="checkbox"/>

Nr	TOPIC	ELEMENTS	OK	EVIDENCE ³	CONFIDENTIAL
		Internal procedures are in place including information, reporting and monitoring procedures	<input type="checkbox"/>	16	<input type="checkbox"/>
		(For Blue-type Members) Ability to send to the European Commission a draft national standard, upon request, as stipulated in Article 4 of the European Regulation 1025/2012	<input type="checkbox"/>	17	<input type="checkbox"/>
		Other:	<input type="checkbox"/>	18	<input type="checkbox"/>
1.4	Published deliverables – Final documents	The following information is publicly available:			
		o up-to-date catalogues with title and scope of the published standards and other deliverables (EU Regulation No 1025/2012), art. 6(1)	<input type="checkbox"/>	19	<input type="checkbox"/>
		o Dates of withdrawal of conflicting national standards	<input type="checkbox"/>	20	<input type="checkbox"/>
		o Information on withdrawn standards	<input type="checkbox"/>	21	<input type="checkbox"/>
		o Information on how to obtain publications	<input type="checkbox"/>	22	<input type="checkbox"/>
		Published deliverables are made available in accordance with CEN-CENELEC Guide 10	<input type="checkbox"/>	23	<input type="checkbox"/>
		Records on implementation time to adopt ENs	<input type="checkbox"/>	24	<input type="checkbox"/>
		Other:	<input type="checkbox"/>	25	<input type="checkbox"/>

Nr	TOPIC	ELEMENTS	OK	EVIDENCE ³	CONFIDENTIAL
1.5	Public enquiry procedures	Free <i>accessibility</i> to draft deliverables in public enquiry stage to allow comments and contributions (<i>EU Regulation No 1025/2012</i> , <i>art. 4(a), 5(1) and art. 6(1)</i>)	<input type="checkbox"/>	26	<input type="checkbox"/>
		Procedures in place enabling systematic announcement and information on how to comment and time for comment on drafts submitted to public enquiry and national vote (<i>EU Regulation No 1025/2012</i> , <i>art. 4(a), 5(1) art. and art. 6(1)</i>)	<input type="checkbox"/>	27	<input type="checkbox"/>
○		Information related to this process is effectively disseminated	<input type="checkbox"/>	28	<input type="checkbox"/>
		Information on how to comment on the drafts submitted to public enquiry and national vote and time for comment	<input type="checkbox"/>	29	<input type="checkbox"/>
		Systematic handling of comments expressed during public enquiry and national votes is applied and monitored	<input type="checkbox"/>	30	<input type="checkbox"/>
		Comments from other NSB-NCs and the European Commission are replied to within 3 months (<i>EU Regulation No 1025/2012</i> , <i>art. 4(2)</i>)	<input type="checkbox"/>	31	<input type="checkbox"/>
		Record of the draft national standards sent to the other NSB-NCs or to the Commission upon their request (<i>EU Regulation No 1025/2012</i> , <i>art. 4(1)</i>)	<input type="checkbox"/>	32	<input type="checkbox"/>
		Procedure of consultation with CCMC (and the European Commission) in place to handle those cases when the NSB-NC receives comments indicating that the draft national standard would have a negative impact on the European internal market	<input type="checkbox"/>	33	<input type="checkbox"/>

Nr	TOPIC	ELEMENTS	OK	EVIDENCE ³	CONFIDENTIAL
		(EU Regulation No 1025/2012), art. 4(3)			
		Other:	<input type="checkbox"/>	34	<input type="checkbox"/>
1.6	Transparency of structures	Structural information publicly available on:			
		o Statutes or similar legal acts	<input type="checkbox"/>	35	<input type="checkbox"/>
		o National standardization law or similar acts	<input type="checkbox"/>	36	<input type="checkbox"/>
		o Current status of the legal entity or organization	<input type="checkbox"/>	37	<input type="checkbox"/>
		o Name of BT Members and description of the involvement of the NSB-NC in the technical activities of CEN and CENELEC (BTs, TCs, WGs and others)	<input type="checkbox"/>	38	<input type="checkbox"/>
		Information on the involvement as Chairpersons and Secretaries in CEN and CENELEC TCs	<input type="checkbox"/>	39	<input type="checkbox"/>
		List of national TCs and their relationship with European and international counterparts	<input type="checkbox"/>	40	<input type="checkbox"/>
	Other	<input type="checkbox"/>	41	<input type="checkbox"/>	

Additional Guidelines: The assessment may also include the internal availability of information on the insurance contract covering the NSB-NC liability risks arising from its standardization activities (e.g. staff liabilities or activity liabilities (i.e. case of defective standards))

<i>Regarding the Transparency criterion, the assessors have the following comments / suggestions / Good Practices:</i>	
1)	
2)	
3)	
4)	

Checklist to be used by the assessors during their assessment of the Criteria to be fulfilled by all CEN-CENELEC Members

Please note that this check list is a supporting assessment tool and it does not intend to be exhaustive

Nr	TOPIC	ELEMENTS	OK	EVIDENCE	CONFIDENTIAL
2.1	Principle of open participation	Rules and processes to allow participation of all stakeholders concerned on a non-discriminatory basis are made publicly available. These also include:	<input type="checkbox"/>	42	<input type="checkbox"/>
		o Non-discriminatory procedures of nomination of new experts in National Technical Bodies (NTBs)	<input type="checkbox"/>	43	<input type="checkbox"/>
		o Absence of discriminatory conditions for participation of experts (e.g. based on nationality, membership, participation fee, etc.)	<input type="checkbox"/>	44	<input type="checkbox"/>
		Equal access for all experts to IT tools and other means of communication of the relevant NTB	<input type="checkbox"/>	45	<input type="checkbox"/>
		Database listing the experts participating in each NTB (<i>EU Regulation No 1025/2012</i>), art. 24(1)	<input type="checkbox"/>	46	<input type="checkbox"/>
		Database classifying the stakeholders represented by each expert, including SMEs, societal stakeholders and national authorities (<i>EU Regulation No 1025/2012</i>), art. 24	<input type="checkbox"/>	47	<input type="checkbox"/>
		Information on % of composition of experts in NTBs according to the stakeholder representation (<i>EU Regulation No 1025/2012</i>), art. 24(1)	<input type="checkbox"/>	48	<input type="checkbox"/>
		Other.....	<input type="checkbox"/>	49	<input type="checkbox"/>

Nr	TOPIC	ELEMENTS	OK	EVIDENCE	CONFIDENTIAL
2.2	Principle of appropriate representation of the stakeholders' interests	List of represented stakeholders are made available to Chairs and Secretaries of the NTBs	<input type="checkbox"/>	50	<input type="checkbox"/>
		Process for the <u>identification and invitation</u> of the relevant category of stakeholder to be involved in an NTB in the development of a standard is in place (<i>EU Regulation No 1025/2012</i>),art. 5(1)	<input type="checkbox"/>	51	<input type="checkbox"/>
		Data on complaints from stakeholders about lack of appropriate representation in NTBs are logged	<input type="checkbox"/>	52	<input type="checkbox"/>
		Record of the actions undertaken to reply to the complaints from stakeholders about lack of appropriate representation in NTBs	<input type="checkbox"/>	53	<input type="checkbox"/>
		Rules to ensure adequate representation of categories of stakeholders in the relevant governing bodies.	<input type="checkbox"/>	54	<input type="checkbox"/>
		Other	<input type="checkbox"/>	55	<input type="checkbox"/>
2.3	National delegation' principle	System in place to consider the need to create a mirror NTB	<input type="checkbox"/>	56	<input type="checkbox"/>
		Established links between the mirror NTBs and the corresponding CEN-CENELEC TC	<input type="checkbox"/>	57	<input type="checkbox"/>
		Data on the experts/stakeholders of mirror NTBs attending the corresponding CEN-CENELEC TC are available	<input type="checkbox"/>	58	<input type="checkbox"/>
		Processes in place to convey a national position at European level.	<input type="checkbox"/>	59	<input type="checkbox"/>

Nr	TOPIC	ELEMENTS	OK	EVIDENCE	CONFIDENTIAL
		Rules to ensure the respect of the voting obligation on General Assemblies decisions notwithstanding the form of the decision (decisions taken in meetings or by correspondence) or means of participation in the meeting (remote participation or in person).	<input type="checkbox"/>	60	<input type="checkbox"/>
		Other.....	<input type="checkbox"/>	61	<input type="checkbox"/>
2.4	Sustainable Development	Initiatives to encourage participation of societal stakeholders and SMEs (such as promotional documents, information sessions, PR activities) (EU Regulation No 1025/2012), art. 5(1): <ul style="list-style-type: none"> o Initiatives undertaken in the past 2 years to facilitate the engagement of stakeholders and SMEs o Ongoing initiatives to facilitate the engagement of stakeholders and SMEs o Planned initiatives to facilitate the engagement of stakeholders and SMEs 	<input type="checkbox"/>	62	<input type="checkbox"/>
		Internal yearly statistics on participation of societal stakeholders and SMEs in NTBs (EU Regulation No 1025/2012), art. 5(1)	<input type="checkbox"/>	63	<input type="checkbox"/>
		NSB-NC policy to encourage and facilitate the access of SMEs and societal stakeholders to standards deliverables and standardization development process. (SMEs: EU Regulation No 1025/2012) art. 6(1)	<input type="checkbox"/>	64	<input type="checkbox"/>
		Other.....	<input type="checkbox"/>	65	<input type="checkbox"/>

Additional Guidelines: The assessment may also include:

- Commercial arrangements to promote standards distribution to academia
- Commercial arrangements to promote standards distribution to public/national libraries
- Commercial arrangements to promote standards distribution to public authorities
- Cooperation activities to support other NSBs/NCs in weaker countries

<i>Regarding the Openness and Development dimension criterion, the assessors have the following comments / suggestions / Good Practices:</i>	
1)	
2)	
3)	
4)	

**Checklist to be used by the assessors during their assessment of the
Criteria to be fulfilled by all CEN-CENELEC Members**

Please note that this check list is a supporting assessment tool and it does not intend to be exhaustive

Nr	TOPIC	ELEMENTS	OK	EVIDENCE	CONFIDENTIAL
3.1	Impartiality of process	Internal rules and established practices allowing all relevant stakeholders to express their views and positions in the National Technical Bodies (NTBs) (<i>EU Regulation No 1025/2012</i>), art. 5(1)	<input type="checkbox"/>	66	<input type="checkbox"/>
		Views and positions of all stakeholders are duly recorded in the reports of NTBs meetings	<input type="checkbox"/>	67	<input type="checkbox"/>
		Existence of a Code of Conduct on impartiality of Chairs of NTBs	<input type="checkbox"/>	68	<input type="checkbox"/>
		Existence of a Code of Conduct on impartiality of Secretaries of NTBs	<input type="checkbox"/>	69	<input type="checkbox"/>
		Rules for nominations of Chairs and Secretaries of NTBs	<input type="checkbox"/>	70	<input type="checkbox"/>
		Other	<input type="checkbox"/>	71	<input type="checkbox"/>
3.2	Consensus	Complaint and appeal mechanism in place	<input type="checkbox"/>	72	<input type="checkbox"/>
		Principle of consensus embedded in the Member's internal rules	<input type="checkbox"/>	73	<input type="checkbox"/>
		Other	<input type="checkbox"/>	74	<input type="checkbox"/>

Nr	TOPIC	ELEMENTS	OK	EVIDENCE	CONFIDENTIAL
3.3	Neutrality of interests, impartiality and independence of the Member's governance (No explicit requirements in WTO/TBT)	National law (or other similar act) reflects independence of the NSB-NC from any specific interest group	<input type="checkbox"/>	75	<input type="checkbox"/>
		The NSB-NC governance rules and their implementation do not give predominant position to any stakeholder in the decision-making process	<input type="checkbox"/>	76	<input type="checkbox"/>
		National legal framework for voluntary standardization is in place and fully operational	<input type="checkbox"/>	77	<input type="checkbox"/>
		Other	<input type="checkbox"/>	78	<input type="checkbox"/>

*Regarding the **Impartiality and Consensus criterion**, the assessors have the following comments / suggestions /Good Practices:*

1)	
2)	
3)	
4)	

Checklist to be used by the assessors during their assessment of the Criteria to be fulfilled by all CEN-CENELEC Members

Please note that this check list is a supporting assessment tool and it does not intend to be exhaustive

Nr	TOPIC	ELEMENTS	OK	EVIDENCE	CONFIDENTIAL
4.1	Activities to respond to market needs, scientific and technological developments, as well as societal and regulatory needs	There is an identified title and scope for each standardization project	<input type="checkbox"/>	79	<input type="checkbox"/>
		The feasibility of New Work Items (NWIs) is systematically assessed (experts availability, financial implications and secretariat support)	<input type="checkbox"/>	80	<input type="checkbox"/>
		A process of public enquiry for draft standards is in place	<input type="checkbox"/>	81	<input type="checkbox"/>
		Complaints against a standard (e.g. for unfair competition) and follow-up actions are recorded.	<input type="checkbox"/>	82	<input type="checkbox"/>
		Other.....	<input type="checkbox"/>	83	<input type="checkbox"/>
4.2	Standards that promote the functioning of a competitive market	Patent Policy (patent declarations based on FRAND conditions) is in line with CEN-CENELEC Guide 8, including availability of the declarations themselves; Copyright Policy is in line with CEN-CENELEC Guide 10	<input type="checkbox"/>	84	<input type="checkbox"/>
		Code of conduct regarding compliance with competition law requirements for participants in standardization activities (In line with CEN-CENELEC Guide 31);	<input type="checkbox"/>	85	<input type="checkbox"/>
		A process of periodic review of standards is in place	<input type="checkbox"/>	86	<input type="checkbox"/>
		Other.....	<input type="checkbox"/>	87	<input type="checkbox"/>

Nr	TOPIC	ELEMENTS	OK	EVIDENCE	CONFIDENTIAL
4.3	High quality standards publications are duly maintained and made easily available to customers	There is a quality procedure for editorial mistakes	<input type="checkbox"/>	88	<input type="checkbox"/>
		There is a quality procedure for translation of a standard that include verification and control of documents	<input type="checkbox"/>	89	<input type="checkbox"/>
		Record of complaints and process on editorial inaccuracies is available	<input type="checkbox"/>	90	<input type="checkbox"/>
		Internal procedures to identify and revise national developed standards (not EN implementation) that have become obsolete	<input type="checkbox"/>	91	<input type="checkbox"/>
		The abstract of standards is freely available (<i>EU Regulation No 1025/2012</i>), art. 6(1) (see also 1.4)	<input type="checkbox"/>	92	<input type="checkbox"/>
		Procedures are in place for integrating and controlling corrective actions and preventive actions	<input type="checkbox"/>	93	
		Reporting on activities to enhance SMEs participation to standardization and access to standards are made available on a yearly basis on the website of the NSB-NCs (<i>EU Regulation No 1025/2012</i>), art. 6(3)	<input type="checkbox"/>	94	<input type="checkbox"/>
		Other.....	<input type="checkbox"/>	95	<input type="checkbox"/>

Additional guidelines:

The Member may have in place a system to ensure systematic communication between the regulators (national administrations), the NSB-NCs and/or its National Technical Bodies (NTBs); elements thereto could be:

- the existence of periodic meetings;
- a platform for introducing and evaluating needs (*see also EU Regulation No 1025/2012*), art. 5(2).

The Member may have in place systematic communication between the professional industrial organizations, the NSB-NCs and/or its NTBs; elements thereto could be:

- the existence of periodic meetings;
- a platform for introducing and evaluating needs (*EU Regulation No 1025/2012*), art. 5(1), 6(1).

The Member may have in place a system to ensure systematic communication between research centres and universities, the NSB-NCs and/or its NTBs; elements thereto could be:

- the existence of periodic meetings
- a platform for introducing and evaluating needs

<i>Regarding the Effectiveness and Relevance criterion, the assessors have the following comments / suggestions / Good Practices:</i>	
1)	
2)	
3)	
4)	

**Checklist to be used by the assessors during their assessment of the
Criteria to be fulfilled by all CEN-CENELEC Members**



Please note that this check list a supporting assessment tool and it does not intend to be exhaustive

Nr	TOPIC	ELEMENTS	OK	EVIDENCE	CONFIDENTIAL
5.1	Avoid duplication and overlap with standardization at European level (CEN and CENELEC)	<p>There are rules and practices within the NSB-NCs process, stipulating adherence to the 'standstill policy' induced by the CEN-CLC IR Part 2 as well as in the EU Regulation No 1025/2012, art. 3(5) and art. 3(6)</p> <p><i>(i.e. during the preparation of a European Standard or after its approval, NSB-NCs shall not take any action which could prejudice the harmonization intended and, in particular, shall not publish in the field in question a new or revised national standard which is not completely in line with an existing European Standard or a European Standard under development)</i></p>	<input type="checkbox"/>	96	<input type="checkbox"/>
		<p>There is a process in place for the identification and withdrawal of national standards that are to be withdrawn following the publication of a European Standard.</p> <p><i>(see CEN-CLC IR Part 2 implementation requirement and the associated 'date of withdrawal - dow' as well as in the EU Regulation No 1025/2012 art. 3(6))</i></p>	<input type="checkbox"/>	97	<input type="checkbox"/>
		<p>Corresponding national standards are withdrawn before the 'dow'</p>	<input type="checkbox"/>	98	<input type="checkbox"/>
		<p>There is an effective practice in place about A-deviations</p>			

Nr	TOPIC	ELEMENTS	OK	EVIDENCE	CONFIDENTIAL
		o to identify national laws and regulations hampering harmonization	<input type="checkbox"/>	99	<input type="checkbox"/>
		o to notify these to the relevant CEN-CENELEC technical body (NTBs)	<input type="checkbox"/>	100	<input type="checkbox"/>
		o to notify these to the national authorities	<input type="checkbox"/>	101	<input type="checkbox"/>
		At least 90 % of the adopted CEN and CENELEC standards are implemented at national level	<input type="checkbox"/>	102	<input type="checkbox"/>
		CEN standards are implemented at national level within 6 months from the date of availability (dav)	<input type="checkbox"/>	103	<input type="checkbox"/>
		CENELEC “home-grown” standards are implemented at national level within 12 months from the date of ratification (dor)	<input type="checkbox"/>	104	<input type="checkbox"/>
		CENELEC standards developed in parallel with IEC (Frankfurt Agreement) are implemented at national level within 9 months from the date of ratification (dor)	<input type="checkbox"/>	105	<input type="checkbox"/>
		Process is in place to duly notify CEN and CENELEC of any derogation, in accordance with Internal Regulations Part 2	<input type="checkbox"/>	106	<input type="checkbox"/>
		Other.....	<input type="checkbox"/>	107	<input type="checkbox"/>
5.2	Avoid duplication and overlap with standardization at international level (ISO and IEC)	The NSB-NC is Member of ISO and/or IEC	<input type="checkbox"/>	108	<input type="checkbox"/>

Nr	TOPIC	ELEMENTS	OK	EVIDENCE	CONFIDENTIAL
		System is in place to avoid duplication or overlap of the standardization activities.	<input type="checkbox"/>	109	<input type="checkbox"/>
		Other.....	<input type="checkbox"/>	110	
5.3	Coherence of work in line with “one topic-one standard” rule /	The NSB-NC has a system in place to inform and invite the relevant public, including market surveillance authorities, to participate to the work of those NWI in support of the national legislation	<input type="checkbox"/>	111	<input type="checkbox"/>
5.4	Link with national legislation	For Yellow-type Members, process in place to respect the obligation to report twice a year to CEN and/or CENELEC on the national adoption of European standards that are recognized to support, directly or indirectly, their national legislation.	<input type="checkbox"/>	112	<input type="checkbox"/>
		For Yellow-type Members, report on new national standards aimed at supporting national legislation (standards providing presumption of conformity)	<input type="checkbox"/>	113	<input type="checkbox"/>

<i>Regarding the Coherence criterion, the assessors have the following comments / suggestions / Good Practices:</i>	
1)	
2)	
3)	
4)	

Checklist to be used by the assessors during their assessment of the Criteria to be fulfilled by all CEN-CENELEC Members

Please note that this checklist is a supporting assessment tool and it does not intend to be exhaustive

Nr	TOPIC	ELEMENTS	OK	EVIDENCE	CONFIDENTIAL
6.1	Financial viability	Unqualified Statutory Audit Report for the previous 3 financial years received	<input type="checkbox"/>	114	<input type="checkbox"/>
		Business Plan and budget for the previous, current and following financial year received	<input type="checkbox"/>	115	<input type="checkbox"/>
		For Yellow-type Members, capacity to respect the obligation to pay a top-up yearly financial contribution (part of the membership fees) based on the annual EU and EFTA Operating Grants amount for CEN and CENELEC combined with a weighting factor	<input type="checkbox"/>	116	<input type="checkbox"/>
		Other.....	<input type="checkbox"/>	117	<input type="checkbox"/>
6.2	National recognition	CEN NSB: national law (or other similar act) recognizing the NSB as the official standards body in its country competent for all areas in the field of competence of CEN	<input type="checkbox"/>	118	<input type="checkbox"/>
		CENELEC NC: national law (or other similar act) officially recognizing the NC as competent for all areas in the field of competence of CENELEC	<input type="checkbox"/>	119	<input type="checkbox"/>
		Other.....	<input type="checkbox"/>	120	<input type="checkbox"/>
6.3	Infrastructure and resources	Available IT resources for set-up, maintenance/upgrades and operation of IT infrastructure and IT tools, such as: <ul style="list-style-type: none"> • List of IT staff 	<input type="checkbox"/>	121	<input type="checkbox"/>

Nr	TOPIC	ELEMENTS	OK	EVIDENCE	CONFIDENTIAL
		<ul style="list-style-type: none"> Procedures for maintenance, back-up, project development, etc. List of outsourcing and sub-contracting staff and projects. 			
		Available IT infrastructure, including compatible software to interact with services provided by CEN and/or CENELEC (internet browsers, Word versions, etc.)	<input type="checkbox"/>	122	<input type="checkbox"/>
		Document and data security management system in place (local or hosted system) enabling to support high volume of document storage and compatible exchange in line with CEN and/or CENELEC requirements/processes, with regard: Governing bodies documents; Technical bodies documents and standards and draft standards	<input type="checkbox"/>	123	<input type="checkbox"/>
		Operational telecommunication (high speed internet, email system)	<input type="checkbox"/>	124	<input type="checkbox"/>
		On line Available public commenting for draft standards (see also 1.5)	<input type="checkbox"/>	125	<input type="checkbox"/>
		Up-to-date website	<input type="checkbox"/>	126	<input type="checkbox"/>
		Other.....	<input type="checkbox"/>	127	<input type="checkbox"/>
6.4	Stability: Protection of IPR (Copyright) and commercial policy	<p>The national government is signatory party of the following agreements of the World Intellectual Property Organization (WIPO):</p> <ul style="list-style-type: none"> The Madrid Protocol of 1989 for the international registration of marks; The Berne Convention for the Protection of Literary and Artistic Works. 	<input type="checkbox"/>	128	<input type="checkbox"/>

Nr	TOPIC	ELEMENTS	OK	EVIDENCE	CONFIDENTIAL
		A process of monitoring and notification to CCMC of European Standards that become compulsory at national level is in place. (NOTE: the implementation of this process may depend on resource available in the Member)	<input type="checkbox"/>	129	<input type="checkbox"/>
		Copyright protection: as a minimum, a system of watermarking of paper and electronic copies of standards is in place	<input type="checkbox"/>	130	<input type="checkbox"/>
		Patents: a system of patent declaration is in place in line with CEN-CENELEC Guide 8	<input type="checkbox"/>	131	<input type="checkbox"/>
		Patents: a list of declared essential patents for national standards is in place and publicly available	<input type="checkbox"/>	132	<input type="checkbox"/>
		Procedure is in place to inform CEN and CENELEC of an existing or newly proposed conflicting rule, provision or law at the national level	<input type="checkbox"/>	133	<input type="checkbox"/>
		Other.....	<input type="checkbox"/>	134	<input type="checkbox"/>

<i>Regarding the Viability and Stability criterion, the assessors have the following comments / suggestions / Good Practices:</i>	
1)	
2)	
3)	
4)	

**Additional checklist to be used by the assessors during their assessment of
a CEN-CENELEC Member who changes legal status**

Please note that this checklist is a supporting assessment tool and it does not intend to be exhaustive

Nr	TOPIC	ELEMENTS	OK	EVIDENCE	CONFIDENTIAL
7.1 & 7.2	Status of the organization successor of an existing Member	CEN NSB: national law (or other similar act) recognizing the new NSB as the official standards body in its country competent for all areas in the field of competence of CEN	<input type="checkbox"/>	135	<input type="checkbox"/>
		CENELEC NC: national law (or other similar act) officially recognizing the new NC as competent for all areas in the field of competence of CENELEC	<input type="checkbox"/>	136	<input type="checkbox"/>
		The statutory rules applied by the Member NSB-NC are fully compatible with the mode of organization of voluntary standardization as operated in CEN and/or CENELEC.	<input type="checkbox"/>	137	<input type="checkbox"/>
		The statutory rules applied by the Member NSB-NC are fully compatible with CEN and/or CENELEC statutory provisions and IRs.	<input type="checkbox"/>	138	<input type="checkbox"/>
		Other.....	<input type="checkbox"/>	139	<input type="checkbox"/>

**Additional checklist to be used by the assessors during their assessment of
Candidate Blue-type organization applying for membership to CEN and CENELEC**

Please note that this checklist is a supporting assessment tool and it does not intend to be exhaustive

Nr	TOPIC	ELEMENTS	OK	EVIDENCE	CONFIDENTIAL
8.1	Member of the EU/ EFTA	A National Standardization Body and/or a National Electrotechnical Committee in CENELEC, of a country Member of the European Economic Area (EEA) as established by the EEA Agreement (signed on 1992 and entered into force on 1994), commonly referred to as EEA EFTA countries.	<input type="checkbox"/>	140	<input type="checkbox"/>
		Other.....	<input type="checkbox"/>	141	<input type="checkbox"/>
8.2	Adequate legislative framework place in	A specific legislative framework for voluntary standardization is in place and fully operational	<input type="checkbox"/>	142	<input type="checkbox"/>
		Pre-existing technical legislation that would permit the adoption (or keeping in place) of technical rules which would contradict the ENs, (thus forcing the candidate Member either not to implement in full the ENs or to request systematic 'A' deviations), are removed as far as possible, or modified in such a way as to allow ENs to play the same role in the market as they play in the Internal Market.	<input type="checkbox"/>	143	<input type="checkbox"/>
		There is full application of EU Regulation No 1025/2012 in the country.	<input type="checkbox"/>	144	<input type="checkbox"/>
		The national legislation on protection of copyright does not conflict with the copyright ownership principles as set in the CEN-CENELEC Guide 10.	<input type="checkbox"/>	145	<input type="checkbox"/>

Nr	TOPIC	ELEMENTS	OK	EVIDENCE	CONFIDENTIAL
		The national legislation on Patents does not conflict with the principles as set in the CEN-CENELEC Guide 8	<input type="checkbox"/>	146	<input type="checkbox"/>
		The national government is signatory party of the following agreements of the World Intellectual Property Organization (WIPO): <ul style="list-style-type: none"> • The Madrid Protocol of 1989 for the international registration of marks; • The Berne Convention for the Protection of Literary and Artistic Works. 	<input type="checkbox"/>	147	<input type="checkbox"/>
		Other.....	<input type="checkbox"/>	148	<input type="checkbox"/>
8.3	Status of the Candidate Organization	CEN NSB: national law (or other similar act) recognizing the NSB as the official standards body in its country competent for all areas in the field of competence of CEN	<input type="checkbox"/>	149	<input type="checkbox"/>
		CENELEC NC: national law (or other similar act) officially recognizing the NC as competent for all areas in the field of competence of CENELEC	<input type="checkbox"/>	150	<input type="checkbox"/>
		The statutory rules applied by the candidate NSB-NC are fully compatible with the mode of organization of voluntary standardization as operated in CEN and/or CENELEC.	<input type="checkbox"/>	151	<input type="checkbox"/>
		The candidate organization is Member of ISO and/or IEC	<input type="checkbox"/>	152	<input type="checkbox"/>
		At least 80 % of the adopted CEN and CENELEC standards are implemented at national level and a plan is set to reach the totality in a reasonable timeframe	<input type="checkbox"/>	153	<input type="checkbox"/>
		Copyright and distribution policy is in line with CEN-CENELEC Guide 10	<input type="checkbox"/>	154	<input type="checkbox"/>

**Additional checklist to be used by the assessors during their assessment of
Candidate Red-type organization applying for membership to CEN and CENELEC**

Please note that this checklist is a supporting assessment tool and it does not intend to be exhaustive

Nr	TOPIC	ELEMENTS	OK	EVIDENCE	CONFIDENTIAL
9.1	EFTA Members which are not Blue-type Members or Member of a State that is identified by the EU institutions as Countries Candidates for accession to the EU	Existence of a “Europe Agreement” or equivalent between EU-EFTA and the candidate country, specifying a transitional period for accession to EU-EFTA.	<input type="checkbox"/>	155	<input type="checkbox"/>
		Other.....	<input type="checkbox"/>	156	<input type="checkbox"/>
9.2	Adequate legislative framework in place	A specific legislative framework for voluntary standardization is in place and fully operational	<input type="checkbox"/>	157	<input type="checkbox"/>
		Pre-existing technical legislation that would permit the adoption (or keeping in place) of technical rules contradicting the ENs are removed as much as possible or modified in such a way as to allow ENs to play the same role in the market as they play in the Internal Market.	<input type="checkbox"/>	158	<input type="checkbox"/>
		There is full application of EU Regulation No 1025/2012 in the country.	<input type="checkbox"/>	159	<input type="checkbox"/>
		The national legislation on protection of copyright does not conflict with the copyright ownership principles set in the CEN-CENELEC Guide 10.	<input type="checkbox"/>	160	<input type="checkbox"/>

Nr	TOPIC	ELEMENTS	OK	EVIDENCE	CONFIDENTIAL
		The national legislation on Patents does not conflict with the principles set in the CENELEC Guide 8	<input type="checkbox"/>	161	<input type="checkbox"/>
		<p>The country is a signatory of the following agreements of the World Intellectual Property Organization (WIPO):</p> <ul style="list-style-type: none"> • The Madrid Protocol of 1989 for the international registration of marks; • The Berne Convention for the Protection of Literary and Artistic Works. 	<input type="checkbox"/>	162	<input type="checkbox"/>
		Other.....	<input type="checkbox"/>	163	<input type="checkbox"/>
9.3	Status of the Candidate Organization	CEN NSB: national law (or other similar act) recognizing the NSB as the official standards body in its country competent for all areas in the field of competence of CEN	<input type="checkbox"/>	164	<input type="checkbox"/>
		CENELEC NC: national law (or other similar act) officially recognizing the NC as competent for all areas in the field of competence of CENELEC	<input type="checkbox"/>	165	<input type="checkbox"/>
		The statutory rules applied by the candidate NSB-NC are fully compatible with the mode of organization of voluntary standardization as operated in CEN and/or CENELEC.	<input type="checkbox"/>	166	<input type="checkbox"/>
		The candidate organization is Member of ISO and/or IEC	<input type="checkbox"/>	167	<input type="checkbox"/>
		At least 80 % of the adopted CEN and CENELEC standards are implemented at national level and a plan is set to reach the totality within a reasonable timeframe	<input type="checkbox"/>	168	<input type="checkbox"/>

**Additional checklist to be used by the assessors during their assessment of
Candidate Yellow-type organization applying for membership to CEN and CENELEC**

Please note that this checklist is a supporting assessment tool and it does not intend to be exhaustive

Nr	TOPIC	ELEMENTS	OK	EVIDENCE	CONFIDENTIAL
10.1	Candidate organization from a European State that does not fulfil the criteria to become a Blue-type or Red-type Member with demonstrated regulatory convergence or compatibility	Demonstrated regulatory convergence or compatibility: <ul style="list-style-type: none"> • A National Standardization Body or National Electrotechnical Committee of a European country able to demonstrate regulatory convergence or compatibility with the essential regulations that support the Single Market in areas that are relevant to CEN or CENELEC activities, including an Agreement with the EU, or • National laws recognize a presumption of conformity with legislation for the voluntary use of harmonized European standards, or • Any other element demonstrating an equivalent convergence towards European standards and standardization processes in that European state's legal order. 	<input type="checkbox"/>	169	<input type="checkbox"/>
		Other.....	<input type="checkbox"/>	170	<input type="checkbox"/>
10.2	Adequate legislative	A specific legislative framework for voluntary standardization is in place and fully operational	<input type="checkbox"/>	171	<input type="checkbox"/>

Nr	TOPIC	ELEMENTS	OK	EVIDENCE	CONFIDENTIAL
	Framework in place	Pre-existing technical legislation that would permit the adoption (or keeping in place) of technical rules contradicting the ENs are removed as much as possible or modified in such a way as to allow ENs to play the same role in the market as they play in the Internal Market.	<input type="checkbox"/>	172	<input type="checkbox"/>
		The national legislation on protection of copyright does not conflict with the copyright ownership principles set in the CEN-CENELEC Guide 10.	<input type="checkbox"/>	173	<input type="checkbox"/>
		The national legislation on Patents does not conflict with the principles set in the CEN-CENELEC Guide 8	<input type="checkbox"/>	174	<input type="checkbox"/>
		The country is a signatory of the following agreements of the World Intellectual Property Organization (WIPO): <ul style="list-style-type: none"> • The Madrid Protocol of 1989 for the international registration of marks; • The Berne Convention for the Protection of Literary and Artistic Works. 	<input type="checkbox"/>	175	<input type="checkbox"/>
		Other.....	<input type="checkbox"/>	176	<input type="checkbox"/>
10.3	Status of the Candidate Organization	CEN NSB: national law (or other similar act) recognizing the NSB as the official standards body in its country competent for all areas in the field of competence of CEN	<input type="checkbox"/>	177	<input type="checkbox"/>
		CENELEC NC: national law (or other similar act) officially recognizing the NC as competent for all areas in the field of competence of CENELEC	<input type="checkbox"/>	178	<input type="checkbox"/>

Nr	TOPIC	ELEMENTS	OK	EVIDENCE	CONFIDENTIAL
		The statutory rules applied by the candidate NSB-NC are fully compatible with the mode of organization of voluntary standardization as operated in CEN and/or CENELEC.	<input type="checkbox"/>	179	<input type="checkbox"/>
		The candidate organization is Member of ISO and/or IEC	<input type="checkbox"/>	180	<input type="checkbox"/>
		At least 80 % of the adopted CEN and CENELEC standards are implemented at national level and a plan is set to reach the totality within a reasonable timeframe	<input type="checkbox"/>	181	<input type="checkbox"/>

Peer assessment of 'NSB-NC' – Assessment plan					
Date: 21yy-mm-dd to 21yy-mm-dd				Duration: NN days	
Date	Time	Assessment criteria (reference)	Interviewed Unit	Name and function of interviewee	Peer assessors (names / NSB-NC)
21yy-mm-dd	hh.mm-hh.mm	Reference to criteria	Unit of interviewee	Name and Function	Names
21yy-mm-dd	hh.mm-hh.mm				
21yy-mm-dd					
	hh.mm-hh.mm	Summary of findings	Peer assessors (Names)		
21yy-mm-dd	hh.mm-hh.mm	Debriefing Management to	Name(s) and Function(s)		
21yy-mm-dd <i>To be decided with the Member</i>	N/A	Sending of draft assessment report	Peer assessors (Names)		

Annex D

Template
Member's Assessment Report
(peer, external or self in combination with EN ISO 9001)

[peer]; [external] or [self] in combination with EN ISO 9001]

ASSESSMENT REPORT

against criteria defined in CEN-CENELEC Guide 22:2021

Organization assessed:

Assessment date:

Assessment type:

- Initial assessment
- Follow-up assessment (Number: 1st, 2nd ...)
- Extraordinary assessment

Signatures of assessors:

SECTION 1 – General Information

1.1 Scope

The scope of the Assessment includes the activities of the < NSB-NC > in accordance with Internal Regulations Part 1 Annex D.

1.2 Extent

The Assessment covers the following Entity/site(s):

Entity/Site	Address	Postal code and city	Number of employees
Total number of employees:			

The Assessment covered the activities planned in the Assessment agenda with the following exceptions:

- Section ZZ of the **Criteria XX** was left out due to (e.g.: lack of time or insufficient information, etc.) and will be included in a later assessment;
- The missed information is to be provided by YYYY-MM-DD....

1.3 Assessment data

1.3.1 Assessment team

Name (lead assessor) :

Company :

Email :

Tel. :

Name :

Company :

Email :

Observer (if any) :

Company :

Email :

Observer (if any) :

Company :

Email :

1.3.2 Duration of the assessment

Number of days :

Number of m/days :

1.3.3 Contact persons within the organization

Name :
 Department :
 Function :
 Email :
 Tel. :
 Name :
 Department :
 Function :
 Email :
 Tel. :

1.3.4 Number of staff interviewed

Staff	Actual	Interviewed
Top management		
Management		
Others		
Total		

1.3.5 Reference documentation and records

During the Assessment, the reference documentation and records that were used are mentioned in the annexed checklist [Assessors to annex the checklist used during their assessment].

1.3.6 Other General Information

Number of persons participating in national TCs/SCs and WGs	
Sectors managed directly by the NSB-NC	
Sectors subcontracted by the NSB-NC	
Copy of the Organization chart, with some explanation of the functions and the number of staff	

SECTION 2 – Conclusions and Results

2.1 Executive summary

The assessment concluded that (tick as appropriate):

- The documentation/evidence shown during the Assessment is satisfactory, reliable and conforming with the requirements
- Good practices were identified (if any): <Number>
- The NSB-NC system is sufficiently effective to meet the defined criteria.
- Non-conformities were detected (if any): <Number>
- Areas for improvement were identified (if any): <Number>

2.2 Results and findings

2.2.1 Identification of good practices

The Assessment team identified the following good practices:

Nr	Table of good practices	
1	Criterion	
	Ref. of Element (Annex C)	
	Description of the practice	
	Ref. to related documentation (if any)	
2	Criterion	
	Ref. of Element (Annex C)	
	Description of the practice	
	Ref. to related documentation (if any)	

2.2.2 Overview per criterion

1. Transparency	Element(s)			
	Met in full	Met with comments	Met with concerns	Non-conformities
1.1 Work programme	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.2 New Work Items	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.3 Draft documents	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.4 Published deliverables - Final documents	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.5 Public enquiry procedures	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.6 Transparency of structures	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

2. Openness and Sustainable Development	Element(s)			
	Met In full	Met with comments	Met with concerns	Non-conformities
2.1 Principle of open participation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.2 Principle of appropriate representation of the stakeholders' interests	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.3 National delegation' principle	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.4 Sustainable development	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

3. Impartiality and consensus	Element(s)			
	Met in full	Met with comments	Met with concerns	Non-conformities
3.1 Impartiality of the standardization process	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.2 Consensus	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.3 Neutrality of interests, impartiality and independence of the Member's governance	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

4. Effectiveness and relevance	Element(s)			
	Met in full	Met with comments	Met with concerns	Non-conformities
4.2 Standards that promote the functioning of a competitive market	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.3 High quality standards publications are duly maintained and made easily available	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

5. Coherence	Element(s)			
	Met in full	Met with comments	Met with concerns	Non-conformities
5.1 Avoid duplication and overlap with standardization at International level (CEN and CENELEC)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.2 Avoid duplication and overlap with standardization at International level (ISO and IEC)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.3 Coherence of work in line with "one topic-one standard" rule	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.4 Link with national legislation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

6. Stability and viability	Element(s)			
	Met	Met with comments	Met with concerns	Non-conformities
6.1 Financial stability and viability	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.2 National recognition	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.3 Infrastructure and resources	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.4 Protection of IPR (Copyright) CEN and CENELEC legal interest and Intellectual Property Rights (IPR))	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

7. Additional principle for CEN and/or CENELEC Members who change legal status	Element(s)			
	Met	Met with comments	Met with concerns	Non-conformities
7.1 Status of the organization successor of an existing Member	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.2 Processing the assessment of the status of the new legal entity successor of an existing Members	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

8. Additional principle for organizations applying for membership to CEN and CENELEC (Blue-type)	Element(s)			
	Met	Met with comments	Met with concerns	Non-conformities
8.1 Member of EU or EFTA	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8.2 Adequate legislative framework in place	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8.3 Status of the Candidate Organization	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8.4 Processing of applications for membership	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

9. Additional principle for organizations applying for membership to CEN and CENELEC (Red-type)	Element(s)			
	Met	Met with comments	Met with concerns	Non-conformities
9.1 Member of the EU or EFTA or capability of the country to become a member of EU or EFTA	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9.2 Adequate legislative framework in place	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9.3 Status of the Candidate Organization	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9.4 Processing of applications for membership	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

10. Additional principle for organizations applying for membership to CEN and CENELEC (Yellow-type)	Element(s)			
	Met	Met with comments	Met with concerns	Non-conformities
10.1 Candidate organization that does not fulfil the criteria to become a Blue or Red-type Member with demonstrated regulatory convergence or compatibility	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10.2 Adequate legislative framework in place	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10.3 Status of the Candidate Organization	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10.4 Processing of applications for membership	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

2.2.3 Elements with Comment

The Assessment team identified the following elements with Comment:

Nr	Table of elements with Comment	
1	Criterion	e.g.: Transparency – 1.1 Work Programme
	Ref. of Element (Annex C)	e.g.: 1.1, § 2
	Comment	e.g.: The work programme is not accessible via the website
2	Criterion	
	Ref. of Element (Annex C)	
	Comment	

<NSB-NC> shall communicate the deadlines (using the action plan) by which the Comment will be dealt with. The comments will be followed-up in line with relevant MRMC decision.

2.2.4 Elements with Concern

The Assessment team noted some observations leading to the following elements with Concern:

Nr	Table of elements with Concern	
1	Criterion	
	Ref. of Element (Annex C)	
	Concern	
2	Criteria	
	Ref. of Element (Annex C)	
	Concern	

<NSB-NC> shall communicate the deadlines (using the action plan) by which the Concern will be dealt with. The comments will be followed-up in line with relevant MRMC decision.

2.2.5 Non-Conformities

The Assessment team noted some comments to the following Non-Conformities:

Nr	Table of element resulted as Non-Conformity	
1	Criterium	
	Ref. of Element (Annex C)	
	Non-Conformity	
2	Criterium	
	Ref. of Element (Annex C)	
	Non-Conformity	

<NSB-NC> shall communicate the deadlines (using the action plan) by which the Non-Conformity will be dealt with. The comments will be followed-up in line with relevant MRMC decision.

Any other comments:

--

SECTION 3 – Since last Assessment

Follow-up on observations revealed at previous Assessment

NOTE This includes follow-up of actions taken as a result of non-conformities or recommendations.

- < *Topic 1* >
- < *Topic 2* > ...

Changes in the company's activities

NOTE Main organizational changes (e.g. legal status, ownership, structure ...)

- < *Topic 1* >
- < *Topic 2* > ...

SECTION 4 – Next steps

Next Assessment < NSB-NC > is planned for YYYY-MM-DD.

It has been arranged that the following topics should be covered by the next Assessment:

- < *Topic 1* >
- < *Topic 2* > ...

Agenda of the [peer]; [external] or [self] in combination with EN ISO 9001] evaluation shall be forwarded in due time ahead of the Assessment planned.

Assessment of NYC-NC on CCYY-MM-DD – Action Plan and Follow-up						
Criteria	Non-Conformity	Corrective actions	Who	For when	Date realization	Evidence/ documentation
e.g. 5.2.1						
Criteria	Concern	Improvement actions	Who	For when	Date realization	Evidence/ documentation
Criteria	Comments	Improvement actions	Who	For when	Date realization	Evidence/ documentation
Name of Assessors:		Established by Name:		Action plan completed on:		
Date:		Date:		CCYY-MM-DD		
Signature:		Signature:			Action plan effective (all actions implemented) on:	
					CCYY-MM-DD	

Annex E

Template

MRMC Chair Assessment Report



MRMC Chair Assessment on Report from

Name: [NSB-NC]
Date:
Assessment: [peer]; [external] or [self] in combination with EN ISO 9001

Overall assessment on the Report

ASSESSMENT ON THE CONTENT OF THE REPORT

CONTENT	Excellent	Good	Average	Fair	Low
Coherence of findings and information in the report					
FORM					
Overall quality of the drafting of the report (e.g. Clarity of information)					

Chair's comments (including good practices if applicable):
--

Overview per criterion:

Transparency. Elements that:	<u>Comments</u>
Have been met in full	
Have been met with Comment	
Have been met with Concern	
Result in Non-Conformity	

Openness and Sustainable Development. <i>Elements that:</i>	<u>Comments</u>
Have been met in full	
Have been met with Comment	
Have been met with Concern	
Result in Non-Conformity	

Impartiality and consensus. <i>Elements that:</i>	<u>Comments</u>
Have been met in full	
Have been met with Comment	
Have been met with Concern	
Result in Non-Conformity	

Effectiveness and relevance. <i>Elements that:</i>	<u>Comments</u>
Have been met in full	
Have been met with Comment	
Have been met with Concern	
Result in Non-Conformity	

Coherence. <i>Elements that:</i>	<u>Comments</u>
Have been met in full	
Have been met with Comment	
Have been met with Concern	
Result in Non-Conformity	

Stability and viability. Elements that:	<u>Comments</u>
Have been met in full	
Have been met with Comment	
Have been met with Concern	
Result in Non-Conformity	

If relevant, Chair's comments on improvement made compared with the result of the previous assessment

MRMC Chair assessment conclusion

Based on the evidence I could identify in the Assessment Report of [.....] I can reasonably conclude that this organization has achieved the level:

[GRADE – see grading scale below]

GRADE	SHORT DEFINITION
Full conformity	Meeting all obligations in full. Flawless in terms of attention to specifics and showing original insight.
Conformity with comments	Meeting all obligations, but lacks specifics evidence. Attention to specific requirements with room for improvement is needed. Action Plan for further development near flawless is needed.
Conformity with Concern	Meeting all obligations at present but attention to specific requirements is required as the Member's practice may develop into a non-conformity. Action Plan to address the concern is needed.
Low Non-Conformity	Not meeting a membership requirement under one or more criteria. An immediate corrective action is needed and evidence of its implementation is provided to the MRMC. The response shall include an analysis of root cause and extent and explanation of remedial and corrective actions and objective evidence of implementation.
Medium or Serious Non-Conformity	Same as above. The MRMC may qualify at its own discretion that several low rated non-conformities may amount to a Medium or Serious non-conformity as it may indicate a systemic problem.

The MRMC Chair

Annex F

Procedure: “Members’ assessments exercise on membership criteria of CEN and CENELEC”

F.1 Purpose

This procedure aims to define the steps needed to organize effective self-assessment combined with EN ISO 9001, peer assessments and external assessments of CEN and CENELEC Members to ensure compliance with the CEN and CENELEC criteria of membership and to identify and share good practices.

F.2 Terms and definitions

Peer assessment:	Member's assessment carried out by independent and competent teams of assessors coming from the staff of peer Members or National Committees.
Self-assessment combined with EN ISO 9001:	Member's assessment carried out by an identified team of internal auditor(s) within the frame of EN ISO 9001 certification.
External assessment:	Member's assessment carried out by independent and competent teams of assessors appointed by the CEN and CENELEC Administrative Boards upon recommendation of the Presidential Committee.
Full Conformity	The Member meets all obligations in full. Flawless in terms of attention to specifics and showing original insight.
Conformity with Comment:	The Member meets all obligations but lacks specific evidence. Attention to specific requirements with room for improvement is needed. The evaluated Member is encouraged to respond to comments and an Action Plan for further development near flawless is needed.
Conformity with Concern:	The Member meets all obligations at present, but attention to specific requirements is needed as the Member's practice may develop into a non-conformity. The evaluated Member is expected to respond to a Concern by providing the MRMC with an appropriate Action Plan and time schedule for implementation. The response shall include an analysis of root cause and extent and a corrective action plan.
Non-conformity:	<p>The Member does not meet a membership requirement under one or more criteria. An immediate corrective action is needed and evidence of its implementation is provided to the MRMC. The assessed Member is expected to respond to a Low Non-Conformity by taking immediate corrective action. The response shall include, within an appropriate Action Plan, an analysis of root cause and extent and explanation of remedial and corrective actions and objective evidence of implementation.</p> <p>The MRMC may qualify a non-conformity as “low”, “average” and “serious” and may decide that several low rated non-conformities may amount to a serious non-conformity as it may indicate a systemic problem.</p>
Good practice:	<p>A method or technique that shows results superior to those achieved with other means, and that is used as a benchmark.</p> <p>NOTE In the frame of this exercise, a good practice may encompass any practice applied by and put forward by the assessed Member.</p>

F.3 Scope

This procedure covers all steps from the planning to the follow-up of assessments.

NOTE Assessments are part of a 3-year programme for Blue and Red- type Members. Each Blue and Red-type Member undergoes at least one assessment (self-assessment combined with EN ISO 9001 certification or peer assessment) once every 3 years.

Yellow-type Members need to undergo an external assessment from the moment of their application for membership and then every third year following it, in addition to a peer assessment the following first two years.

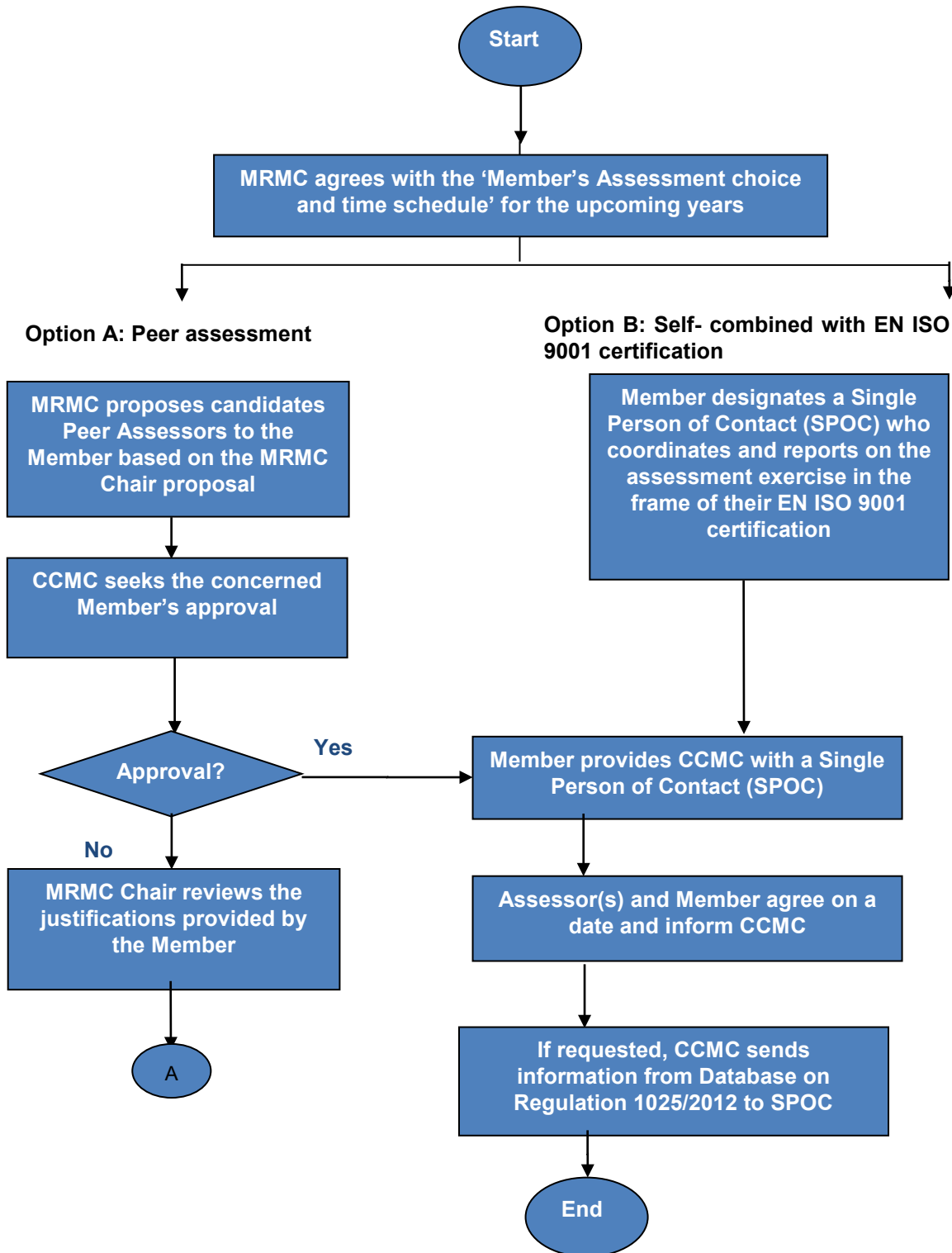
It covers self-assessment combined with EN ISO 9001 certification peer and external assessments, as referred to in CEN-CENELEC Guide 22 'Guide on the organizational structure and processes for the assessment of the membership criteria of CEN and CENELEC'. It applies to peer and external assessors and the persons nominated by the Member as responsible for coordinating self-assessment combined with EN ISO 9001 certification.

F.4 Responsibilities

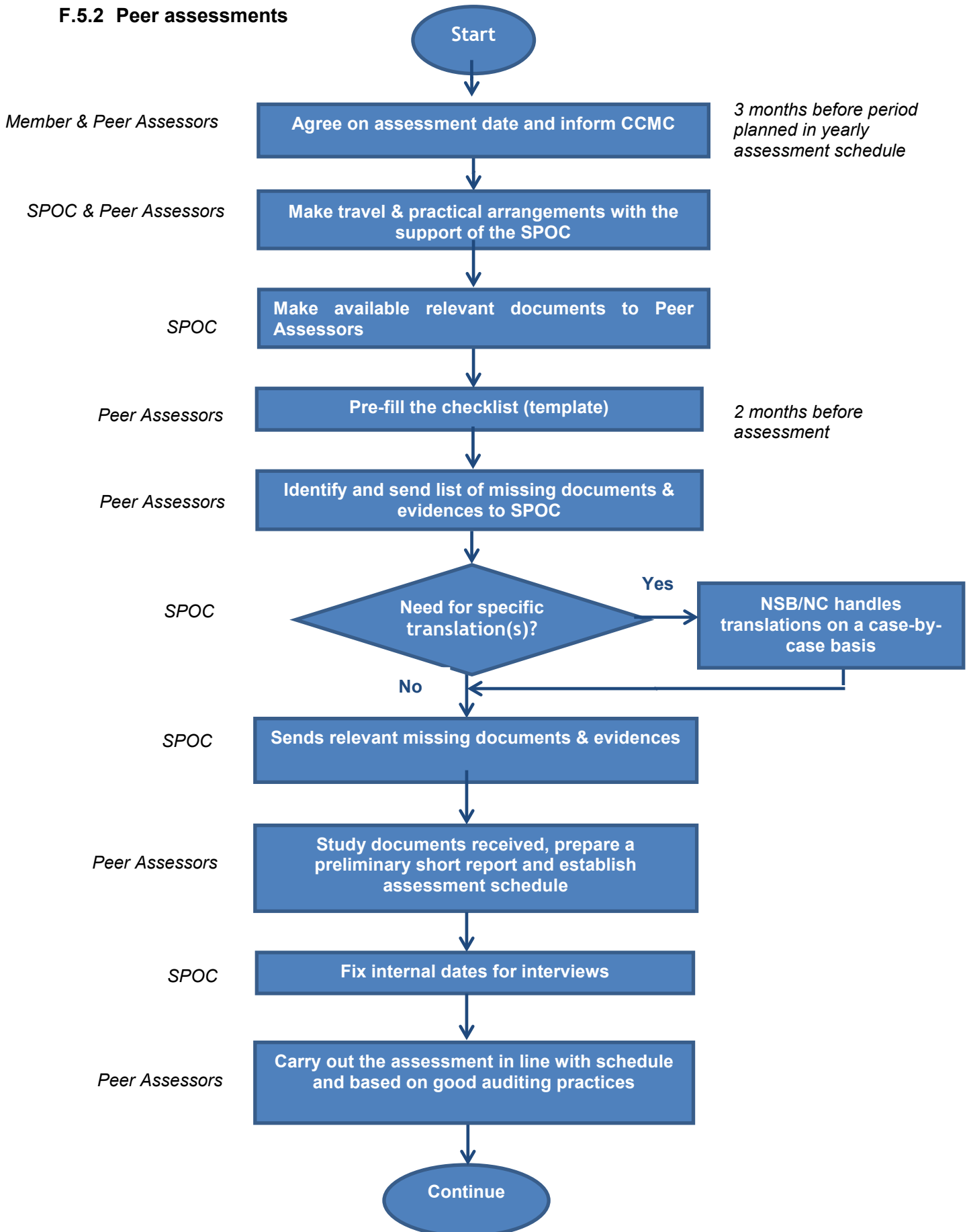
Membership Relations and Monitoring Committee (MRMC):	Manages the overall assessment system in line with CEN-CENELEC Guide 22.
MRMC Chair:	Ensures the most appropriate composition of the assessment team. Reviews the assessment reports and identifies the good practices.
Assessors:	Plan, schedule, conduct, and report on the assessment that is to be completed. Monitor the follow-up of performed assessments and send the reports to CCMC.
CCMC:	Coordinates and collects the assessment reports. Monitors the smooth running of the process and assists MRMC.
Single Point of Contact (SPOC):	Co-operates in scheduling and attending peer assessments when required as well as coordinating the prompt follow-up of any assessment findings.

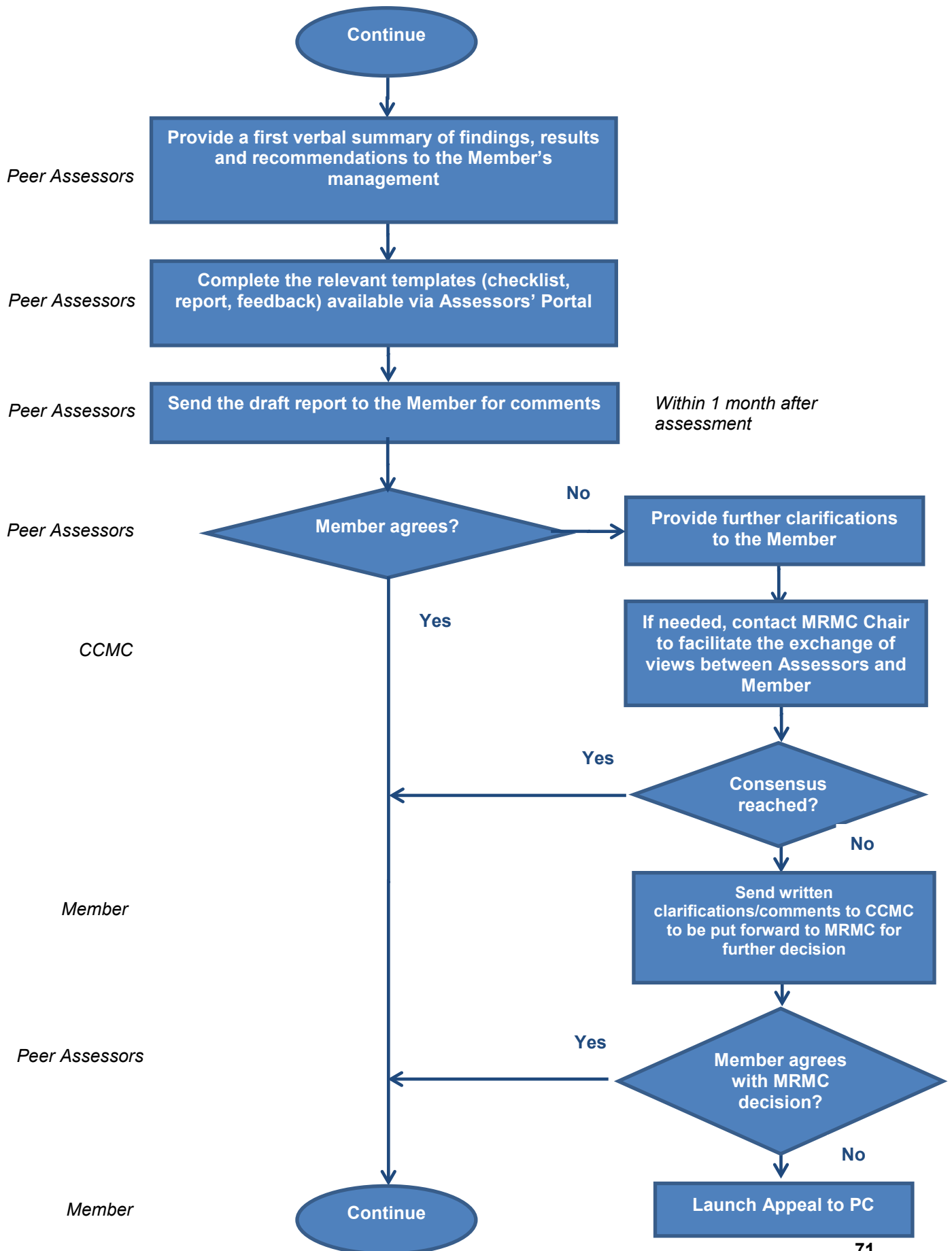
F.5 Description (flowcharts)

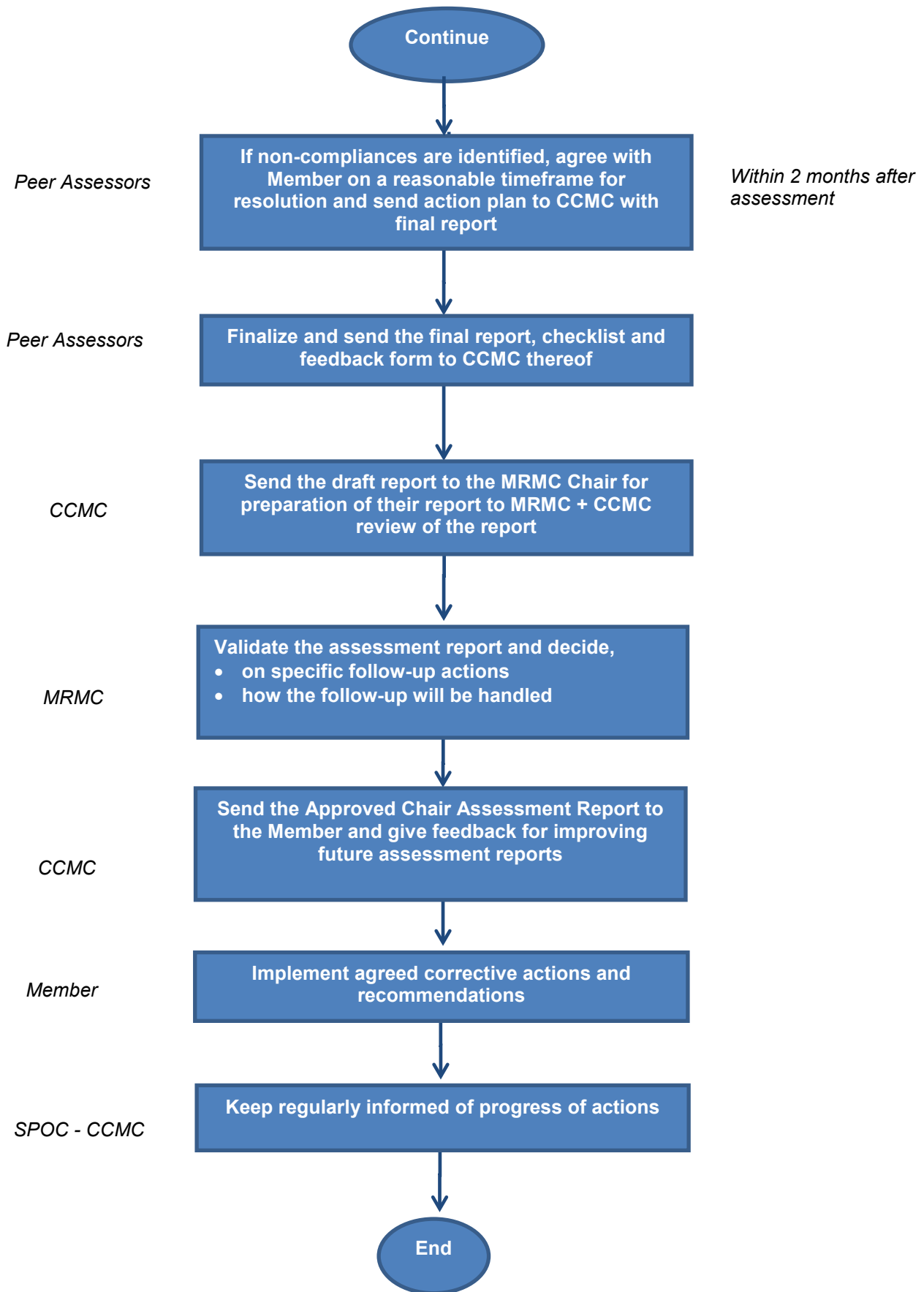
F.5.1 Overall assessment planning for Blue and Red-type Members (3-year programme). Peer assessments are the only available choice for Yellow-type Members for their annual assessment during the two years following the initial external assessment exercise.



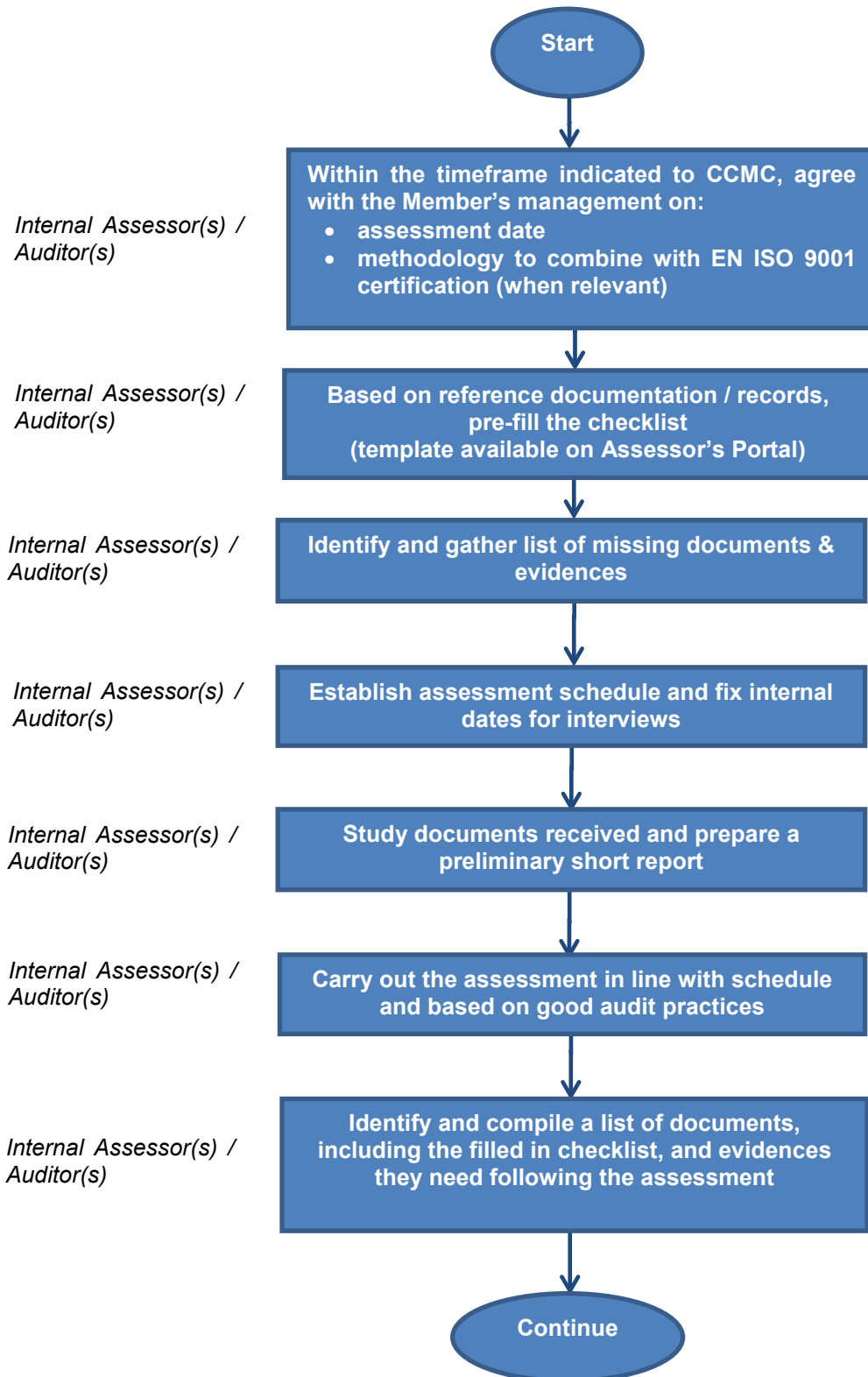
F.5.2 Peer assessments

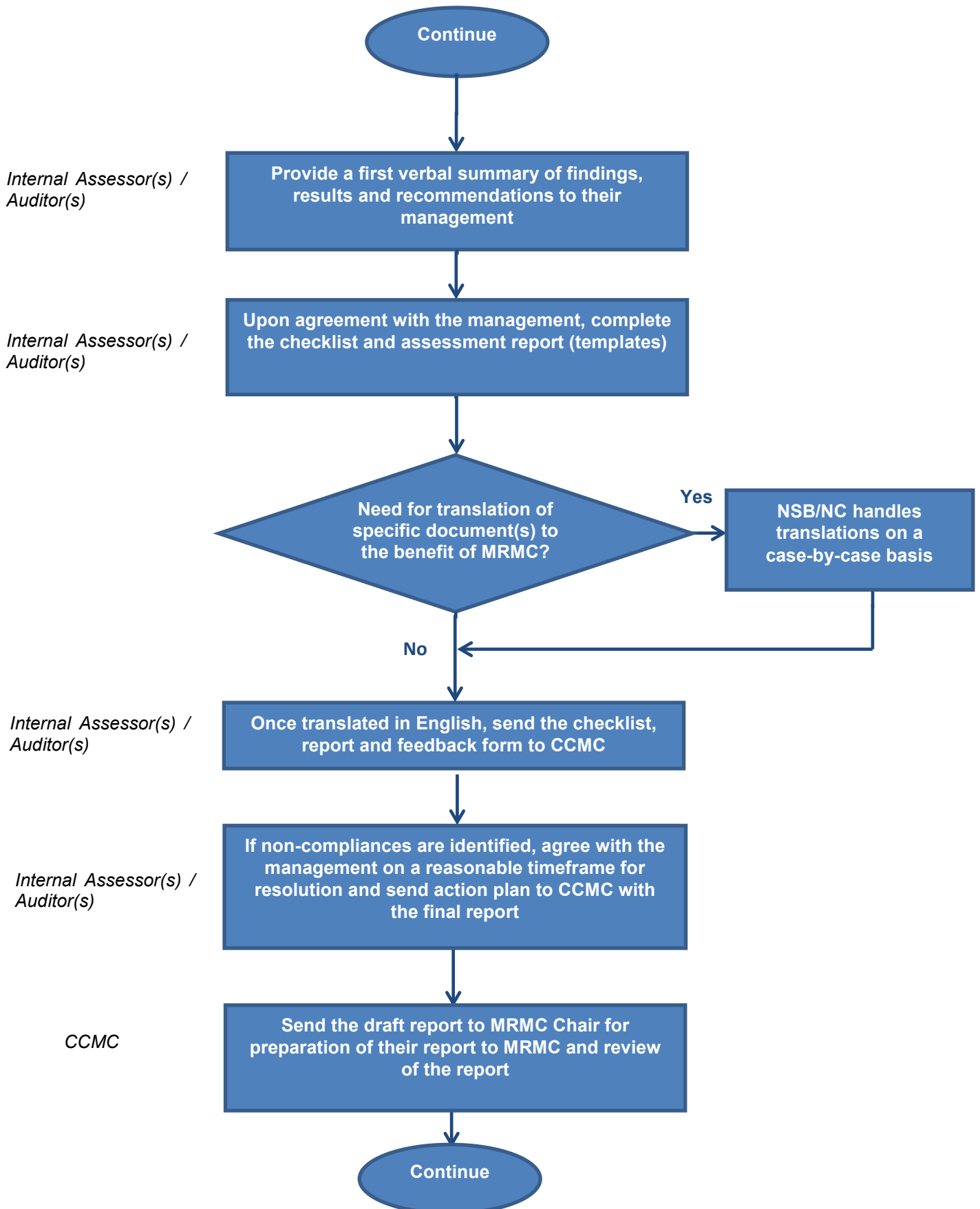


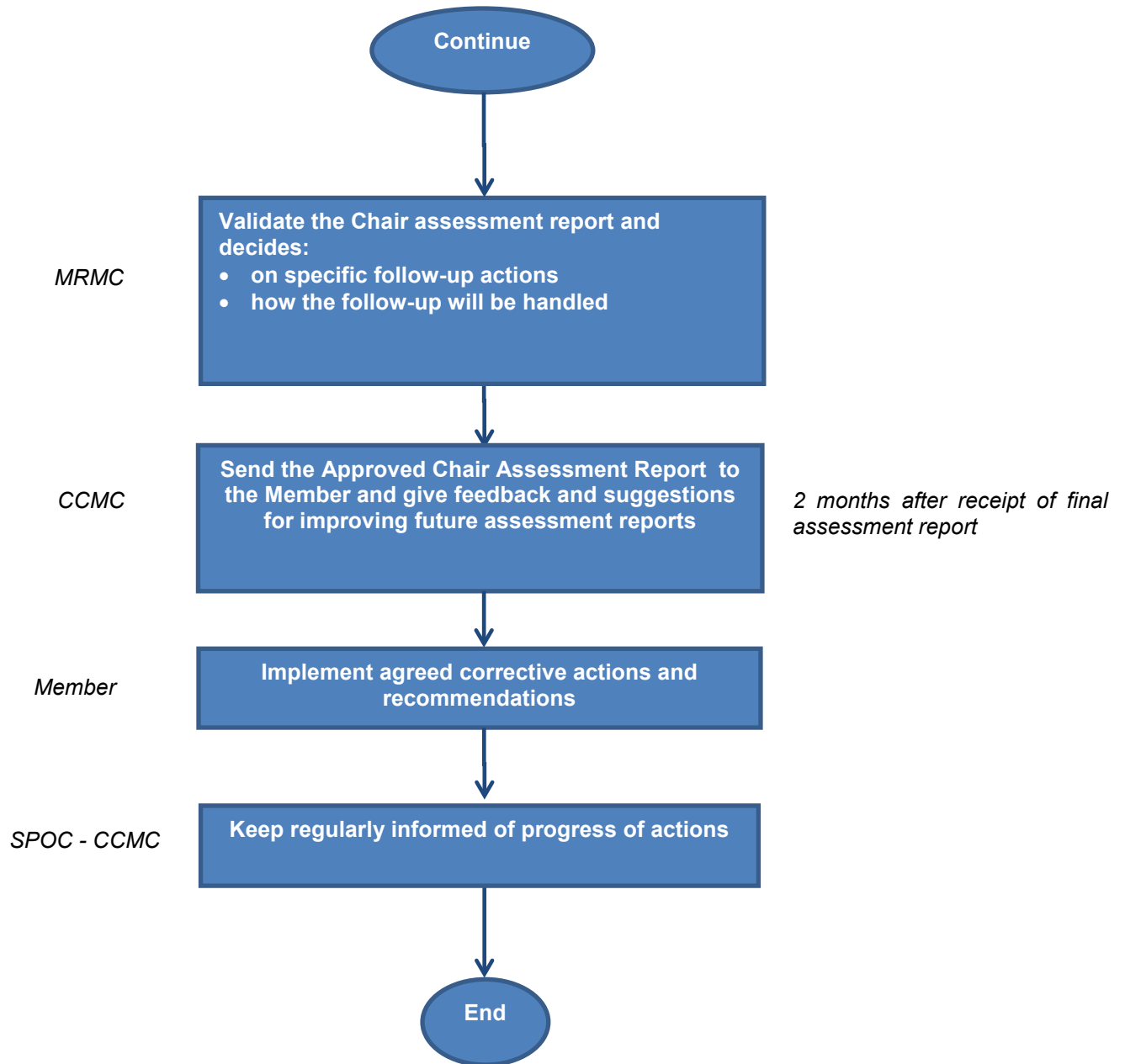




F.5.3 self-assessment combined with EN ISO 9001 certification







F.5.4 External assessments

