

TRAINING CEN & CENELEC NEWLY APPOINTED TECHNICAL BODY OFFICERS

# Improving citation in the OJEU of harmonised standards

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CEN and CENELEC



# Agenda

1. Introduction
2. Why
3. What
4. How
5. Key take aways

# Glossary

- ▶ hEN: Harmonized European Standard
- ▶ TB: Technical Body
- ▶ TBO: Technical Body Officer
- ▶ CCMC: CEN and CENELEC Management Center
- ▶ QC: Quality Check
- ▶ LoC: Lack of compliance assessment
- ▶ EY: Ernst and Young, HAS contractor
- ▶ EC: European Commission
- ▶ ESO: European Standardization Organization
- ▶ WG: Working Group
- ▶ NWI: New Work Item
- ▶ VHK Consultants: Consultants for DG ENERGY (EcoDesign)

# Introduction

# Introduction

- ▶ Innovative process developed based on:
  - ▶ The outcomes of the ESOs-EC Task Force on Timely European Standards
  - ▶ Discussions within Strategy 2030 Project 1 'Timely citation'
  - ▶ Discussions within CEN-CLC/BTWG 12 'Harmonized standards and the European regulatory framework' and CEN-CLC/BTWG 14 'Rules & Processes'
  
- ▶ Innovative process applies to homegrown hENs
  - ▶ Will be applied to NWIs launched for approval as of 2023-10-01
  
- ▶ Under discussion with ISO/IEC for parallel work
  - ▶ Current HAS process applies for parallel work

BT,

– noting

- the persistent difficulties of having compliant assessments by the EC consultants on Harmonized standards (hENS) candidate for citation in the OJEU;
- the need to define an ad-hoc process for hENS subject to the EC consultants' assessment, since these hENS present challenges completely different from the development process of ordinary ENS;
- the outcomes of the ESOs-EC Task Force on Timely European Standards, which validated the Innovative process during its final meeting on 2023-07-07, and the discussions in S2030 P1 'Timely citation of hEN' team and CEN-CLC/BTWG 12 'Harmonized standards and the European regulatory framework';
- the principles, criteria and operational aspects of the Innovative process as in the Annexes to BT N 14488 and BT175/DG14002/DV;
- that the implementation of the changes to the necessary IT tools will not be completed by 1 October 2023, and that a two-step approach is necessary to allow the start of the new process as of 1 October 2023;
- the impact on the planning principles according to the Flexible standards process, as defined in BT 007/2021 & D167/006, and in particular the need to devote more time under Stage a (10.99-30.99):

- agreed with the principles, criteria and operational aspects of the innovative process for Homegrown hENs as defined in Annexes to BT N 14488 and BT175/DG14002/DV;
- decided that the process will be systematically applied to all homegrown NWIs for hENs (which are intended to be submitted to the EC consultants' assessment), which will be launched for approval as of 1 October 2023;
- invited CCMC to perform Quality Checks (QC) on Enquiry and Formal Vote drafts, on ongoing projects that did not reach stages 30.99 and 45.99, upon TBs request;
- awaiting the full implementation of necessary IT tools, recommended TBs to plan a duration of at least 50 weeks up to 30.99 (Stage a), and the remaining 18 weeks under Stage e, taking into account that a 9-month tolerance is still possible under Stage e;
- requested CCMC to initiate the necessary IT developments, organise, in due time, the necessary trainings to the Technical Bodies Officers and update BOSS pages accordingly;
- invited Members to instruct accordingly their Technical Bodies Officers as well as their national experts and delegates to ensure the successful implementation of the new process.

# It applies to



# It applies to

## Homegrown hENs

- ▶ **which are intended to be submitted to the EC consultants' assessment, ie. HAS consultants (DG GROW) and VHK consultants managed by DG ENERGY (ie. Eco-design)**
- ▶ and launched for NWI approval as of 1 October 2023;

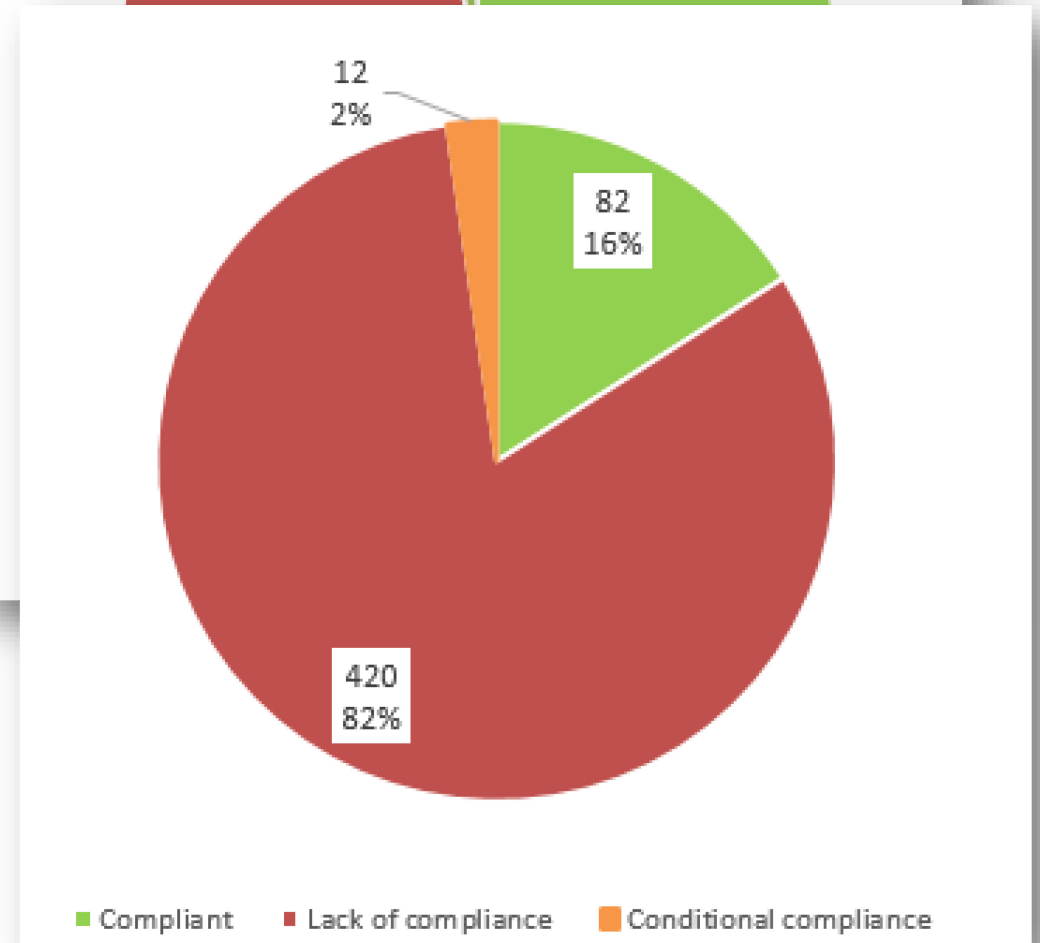
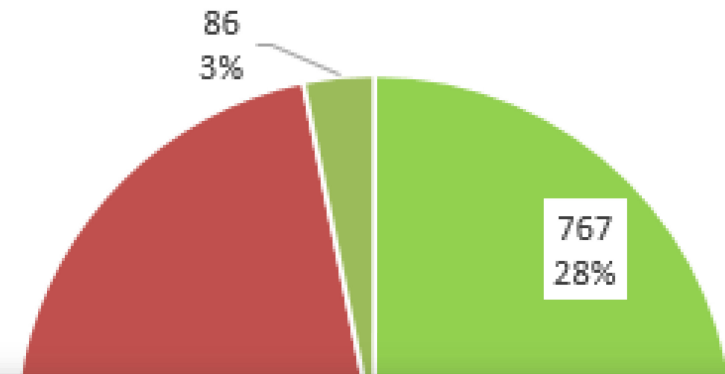
## It does not apply to:

- ▶ any homegrown hEN, for which the NWIP was approved before 1 October 2023
- ▶ any homegrown hEN which is NOT intended for submission to the consultants

# Why?

# Why the innovative process?

- ▶ Challenging to get a compliant assessment
- ▶ During previous HAS contract: average around 30% 'compliant outcome' for all stages
- ▶ Since January 2023 under the new HAS contract: average of 16% 'compliant outcome' for all stages
- ▶ Substantial change needed



# EY critical findings (August 2022 to May 2023)

AR ref.	Critical findings (CEN/CLC only)	Frequency of finding	% of finding	Total # of Assessments (n)
A- 1.2.1.	Terminology	25	7%	354
A- 1.2.2.	Foreword	22	6%	354
A- 1.2.3.	Scope covers products not considered by the relevant legal requirements	17	5%	354
A- 1.2.4.	The Scope sets requirements or covers aspects which cannot be subject to harmonised standards	7	2%	354
A- 1.2.5.	Scope excludes products or aspects that are expected to be covered by the standard	27	8%	354
A- 1.2.6.	Normative references that are essential for the assessment of harmonised elements are not available	28	8%	354
A- 1.2.7.	Document contains undated normative references without proper justification	77	22%	354
A- 1.2.8.	Too long chains of normative references	9	3%	354
A- 1.2.9.	Normative references need updating or reconsideration	71	20%	354
A- 1.2.10.	Technical content of the document contains requirements that do not align with or contradict relevant EU legislation	102	29%	354
A- 1.2.11.	Technical content of the document unsuitably repeats legal requirements as part of its normative requirements	33	9%	354
A- 1.2.12.	Absence of reproducible tests or assessment methods	64	18%	354
A- 1.2.13.	Neutrality principle is not respected: the document contains clauses imposing requirements or obligations on or between certain economic operators	32	9%	354
A- 1.2.14.	Neutrality principle is not respected in requirements for verifications, sampling and testing	34	10%	354
A- 1.2.15.	Risk assessment or identification of relevant risks is missing or not complete	33	9%	354
A- 1.2.16.	The Annex Z is not sufficiently detailed	71	20%	354
A- 1.2.17.	The Annex Z does not properly refer to the relevant legal requirements	119	34%	354
A- 1.2.18.	The document is not aligned with the guidance documents or checklist	23	6%	354
A- 1.2.19.	Other comments	118	33%	354

# Why?

- ▶ The objective of the innovative process is to improve the timely delivery of compliant harmonized Standards by
  - ▶ shifting the focus and the efforts at the beginning of the development process, i.e. introducing the concept of “Mature draft” and “Pre-FV assessment”
  - ▶ introducing the new CCMC Quality Check (QC).
- ▶ Again: this innovative process applies only to hEN which are submitted to the EC consultants’ assessment.

# What?

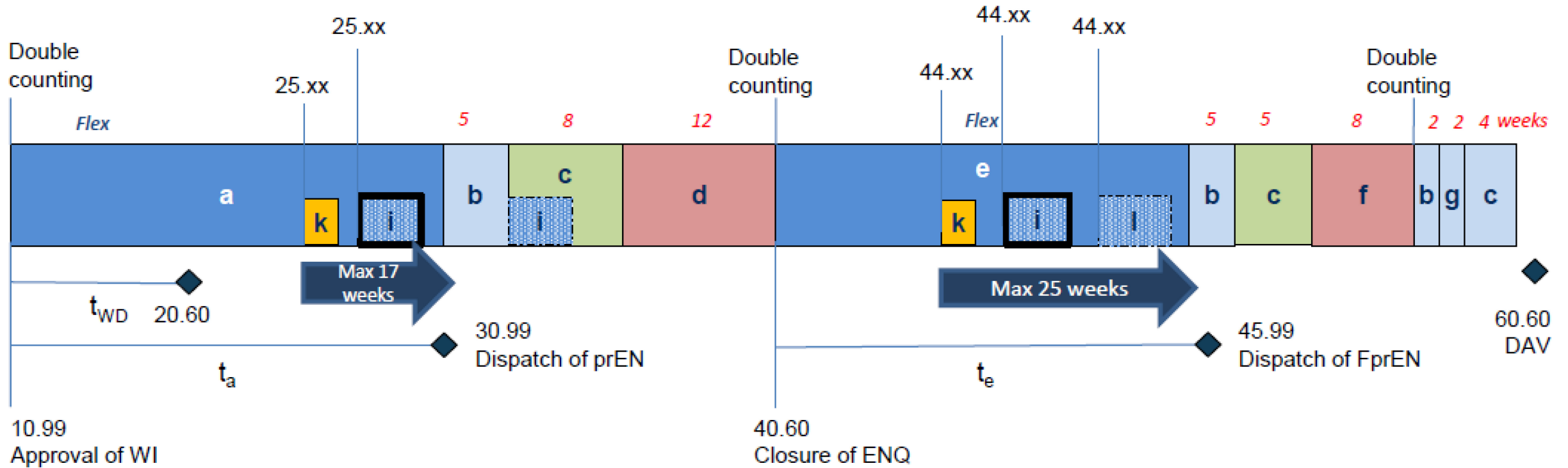
# What?

Innovative process based on 2 main pillars:

- ▶ Mature draft concept
  - ▶ Draft ready for ENQ
  - ▶ Mature draft assessment mandatory
  - ▶ Optional FWD assessment **not possible** anymore (while FWD circulation still possible)
- ▶ CCMC Quality Check
  - ▶ help Technical Bodies identify elements in the draft, or the related Annexes, that could potentially lead to a lack of compliance assessment
  - ▶ Will use Common checklist as support document
    - ▶ Replaces “Harmonized Standards checklist”

# What?

## Homegrown candidate hEN for citation





# What?

## Mature draft

- Quality check: **3 weeks**
- TC to consider and revise: 4 weeks (6 weeks in holiday period)
- CCMC to submit the draft to HAS assessment
- HAS assessment: **5 weeks**
- TC to consider and revise: 5 weeks

Total up to 17 weeks = Less than 4 months

## Pre-FV draft

- Quality check: **3 weeks**
- TC to consider and revise: 4 weeks (6 weeks in holiday period)
- CCMC to submit the draft to HAS assessment
- HAS assessment: **5 weeks**
- TC to consider and revise: 5 weeks (5 same as today)

Total 17 weeks = Less than 4 months

## LCA draft








- CCMC to submit the draft to HAS assessment
- HAS assessment: **5 weeks**
- TC to consider and revise: 3 weeks (4 weeks in holiday period)

Total 8 weeks = Less than 2 months

Total up to 25 weeks = Less than 6 months

# What?

- a Drafting of prEN
- b Editing
- c Translation and preparation of national publication
- d Enquiry
- e Comments handling / preparation of FprEN
- f Formal Vote
- g TC proofing
- h Indicative Assessment (optional)
- i Assessment
- j solving negative assessment (if necessary)
- k CCMC Quality check
- L Last confirmatory assessment (LCA)

-  Editing
-  Technical work
-  Voting
-  Mandatory assessment
-  Confirmatory assessment Optional
-  Translation
-  CCMC Quality check



# How?

# How?

## Impact on planning (flex process)

# Creation of a Work Item - CEN

17. Please provide the target dates for the below key stages

Stage Code	Stage	Target date
10.99	Decision on WI Proposal	2020-03-04 + 17 weeks
20.60	Circulation of 1st WD	2020-07-01 + 17 weeks
30.99	Dispatch ENQ draft to CMC	2020-10-28  + 13 weeks
40.20	Submission to Enquiry	2021-01-27 + 12 weeks
40.60	Closure of Enquiry	2021-04-21 + 34 weeks
45.99	Dispatch FV draft to CMC	2021-12-15  + 8 weeks
50.20	Submission to Formal Vote	2022-02-09 + 8 weeks
50.60	Closure of Formal Vote	2022-04-06 + 4 weeks
60.55	DOR/Ratification	2022-05-04 + 4 weeks
60.60	DAV/Definitive text available	2022-06-01

Project start date:  

Please enter the start date of the project and push on the button 'Calculate target' dates to committee plan.

Remark: the dates may still be manually changed after the simulation but cannot go beyond



 Editable

Default target dates are proposed by the system, but they can be edited.

 Editable

# Creation of a Work Item - CEN

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40.20	Submission to Enquiry	2021-01-27	+ 12 weeks
40.60	Closure of Enquiry	2021-04-21	+ 34 weeks
45.99	Dispatch FV draft to CMC	2021-12-15 	+ 8 weeks
50.20	Submission to Formal Vote	2022-02-09	+ 8 weeks
50.60	Closure of Formal Vote	2022-04-06	+ 4 weeks
60.55	DOR/Ratification	2022-05-04	+ 4 weeks
60.60	DAV/Definitive text available	2022-06-01	

Project start date:  

BT recommends to set 50 weeks for stage (a)  
+25  
+25

← Editable

Default target dates are proposed by the system, but they can be edited.

By default time for stage (e) will be +18

← Editable

## Express the target dates through a duration in the NWIP form:

- (1 WD\_TARGET: BT decision + N weeks)
- ENQ\_TARGET: BT decision + N weeks
- FV\_TARGET: ENQ + N weeks

Proposed target dates and corresponding duration in weeks:			
This section applies only to WIs for homegrown CLC standards (including homegrown amendments to IEC standards) and homegrown standards developed by a CEN-CLC/JTC with CLC lead.			
Project start date (10.99)	1 <sup>st</sup> WD (20.60)	ENQ (30.99)	FV (45.99)
<u>yyyy/mm/dd</u>	Date will be added by CCMC. It is half the number of weeks planned for ENQ (30.99)	<del>yyyy/mm/dd</del> 10.99 + 50 weeks	<del>yyyy/mm/dd</del> 40.60 + 18 weeks



Duration for 1WD is half of duration for 30.99. It could be indicated or will be deduced by 30.99

# Preparing New Work Item – CEN-CLC/JTCs



Express the target dates through a duration in the NWIP form:

<u>Project start date (10.99)</u>	<u>Dispatch of 1<sup>st</sup> WD (20.60)</u>	<u>Dispatch of ENQ (30.99)</u>	<u>Dispatch of FV draft (45.99)</u>
<u>yyyy-mm-dd</u>	It is half the number of weeks planned for ENQ (30.99)  For CEN/TC: automatically calculated via Working Area  For JTC: date will be added by CCMC	<u>yyyy-mm-dd</u>  For JTC only: to indicate the duration in weeks from <u>10.99</u> 10.99 + 50 weeks	<u>yyyy/mm/dd</u>  For JTC only: to indicate the duration in weeks from <u>40.60</u> <u>40.60 + 18</u> weeks

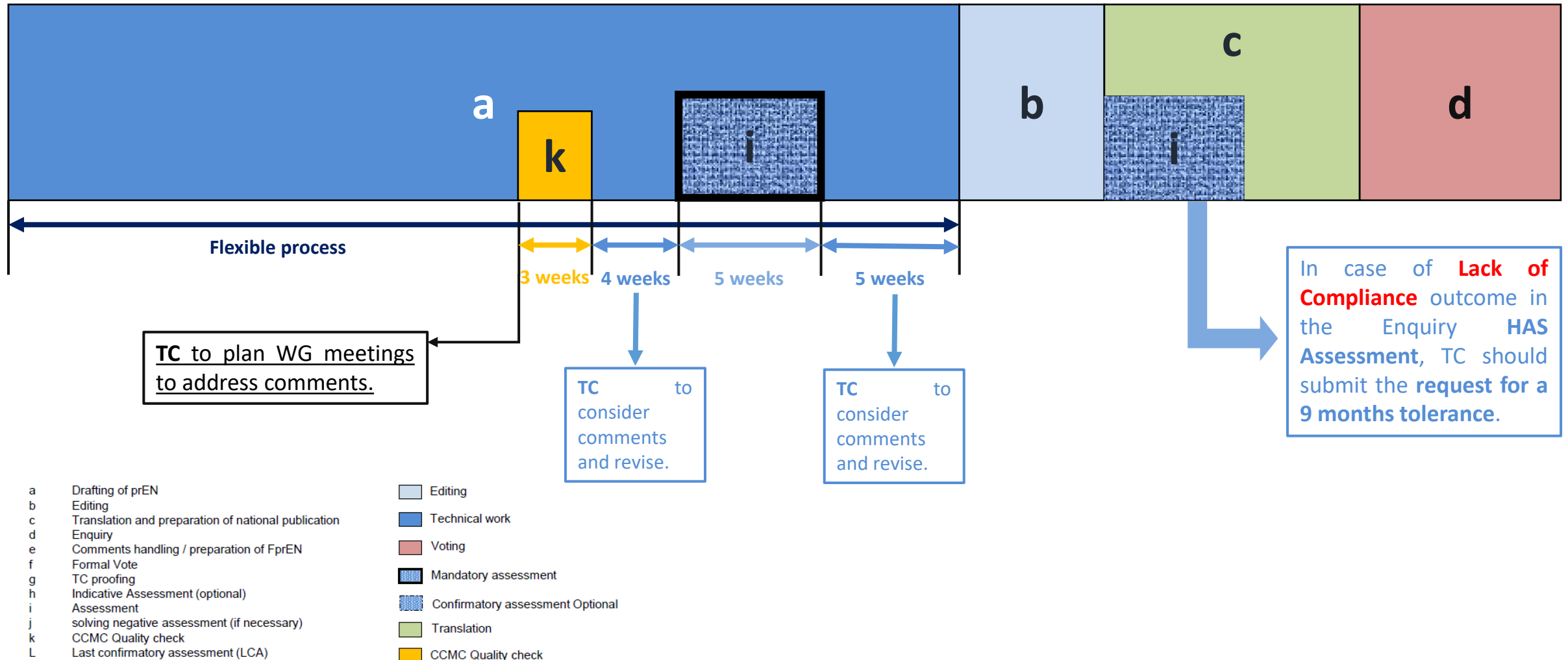
With CEN WI lead

With CENELEC WI lead

<b>Proposed target dates and corresponding duration in weeks:</b>			
This section applies only to WIs for homegrown CLC standards (including homegrown amendments to IEC standards) and homegrown standards developed by a CEN-CLC/JTC with CLC lead.			
<u>Project start date (10.99)</u>	<u>1<sup>st</sup> WD (20.60)</u>	<u>ENQ (30.99)</u>	<u>FV (45.99)</u>
<u>yyyy/mm/dd</u>	Date will be added by CCMC. It is half the number of weeks planned for ENQ (30.99)	<u>yyyy/mm/dd</u> 10.99 + <b>50</b> weeks	<u>yyyy/mm/dd</u> 40.60 + <b>18</b> weeks



# Innovative process impact on timeframe



**Reminder:** Completing in advance stage (a) will de facto extend the duration of stage (e) by the time saved before enquiry under stage (a).

## Options to review the planning:

- ▶ To change the planning by using the 'one change' option. It does not require a formal TC decision but an agreement between TC leadership and the WG Convenor; the TB will be informed on the change. Same applies for CEN-CLC JTCs.
- ▶ **To ask for a tolerance.** It requires a TC decision in CEN and only a TC secretary request in CENELEC, as current practice. For JTCs a decision is required that shall be taken via either CIV or CIB depending on the organization holding the secretariat, i.e. respectively, a CENELEC or CEN Member.

# How?

# New Common Checklist

# Checklist's goal

- ▶ **CEN-CENELEC/BT:**
  - ▶ Increase of 'lack of compliance' at Formal Vote and before Publication stages
  - ▶ Main reason for lack of compliance: issue with CEN-CLC Internal Regulations Part 3 (IR3)
  
- ▶ Checklist for drafting Harmonised Standards (hEN) introduced in 2021 (decision BT C089/2021 and D168/C108)
  
- ▶ **Goal:**
  - ▶ support Technical Bodies in drafting hEN
  - ▶ Increase HAS assessment 'Compliant'

# Checklist for hENs

- ▶ **Mandatory** as of October 2021 for **homegrown**
- ▶ Covers horizontal aspects for all sectors
  - ▶ Sectoral specific checklists were developed (e.g. Construction)
- ▶ Checklist to be completed and dispatched to CCMC for all stages/assessment requests
- ▶ Strongly recommended for drafting of hEN under VA and FA (with ISO or IEC lead)

# Checklist for hENs

## Checklist – Items to be considered when drafting standards answering a Standardisation Request and to be offered for citation in the OJEU

This checklist was prepared following the format of Internal Regulations CEN/CENELEC Part 3 – Annex A “Checklist for writers and editors of document”. All CEN/CENELEC standards and deliverables shall follow the provisions of IR 3.

This checklist is applicable for all sectors, except construction.

This checklist shall be fulfilled before dispatch for:

1. the First Working Draft for optional assessment (if any),
2. the draft for Enquiry,
3. the final draft for Formal vote,
4. In case of lack of compliance assessment, a new optional assessment after Formal vote (PUB assessment).

The Technical Committee secretary in CEN and the Technical body secretary / Reporting Secretariat in CENELEC are responsible for ensuring that the checklist below is filled out and submitted to CCMC with the draft candidate harmonized standards and their supporting documents/justifications where relevant. In CEN, the matrix of responsibilities shall be followed (see decision BT C081/2018).

It is strongly recommended to use of the checklist for the drafting of harmonized standards in support of EU Legislation under VA and FA (with ISO or IEC lead).



	<b>Check the following questions – if you answer yes to all the questions, the draft is probably ready for submission to CCMC (and HAS Consultant assessment).</b>	Check
<b>General</b>	<p>Is this draft standard listed in a Standardisation Request / covered by a Mandate?</p> <p>Is this reflected in Projex-online database?</p> <p><i>NB: This information is normally already provided in the NWIP form.</i></p> <p><i>NB: If not, contact the TC secretariat. A possible way forward is to propose to the European Commission to add this work item in a (revised) Standardisation Request. This is not applicable if the standard is covered by an open Mandate (e.g. M/396 Machinery)</i></p>	<input type="checkbox"/> <input type="checkbox"/>

	<p>If the HAS assessment was performed (i.e. optional assessment at First Working Draft (FWD) stage or assessment at Enquiry stage), has the WG answered <u>all</u> comments from the HAS Consultant(s)?</p> <p><i>NB: The last column of the HAS Assessment Report ('Observations of the secretariat') at previous stage shall be filled in with the information on how the comments have been addressed.</i></p>	<input type="checkbox"/>
	<p>If the text deals with requirements that are not linked to essential requirements of EU legislation, are these requirements in separate clauses, so that in Annex Z only the clauses covering essential requirements are identified?</p>	<input type="checkbox"/>
<b>European foreword</b>	<p>If the standard is a revision, are the significant changes with respect to the previous edition precisely defined?</p> <p><i>NB: The list of the significant changes with respect to the previous edition is an important element of the useful information to the standard users. It should not be too vague.</i></p> <p><i>NB: When the list of significant technical changes is extensive, it may be included in an informative annex. A reference to that annex shall be included in the foreword, preferably after the generic sentence that refers to the superseded document.</i></p>	<input type="checkbox"/>
	<p>Does it include the following sentences “The standard has been prepared under a standardisation request given to CEN/CENELEC by the European Commission and the European Free Trade Association and support essential requirements of EU Directive / Regulation. For relationship with EU Directive / Regulation, see informative Annex Z, which is an integral part of this document.”?</p> <p><i>NB: Annex ZA in CEN and Annex ZZ in CENELEC.</i></p>	<input type="checkbox"/>
<b>Scope</b>	<p>Is the scope concise and clear? Is it worded as a series of statements of fact?</p> <p>Are the title, <u>s</u>cope and annex Z consistent regarding exclusion / content covered by the standard?</p> <p><i>NB: The scope of the standard could be broader than the relationship between this standard and the requirements of the EU legislation.</i></p> <p><i>NB: The scope shall not include requirements, <u>p</u>ermission or recommendation (in line with IR 3).</i></p>	<input type="checkbox"/> <input type="checkbox"/>
<b>Normative reference</b>	<p>Are the standards listed in the Normative references Clause 2 normatively referenced within the text (i.e. are they cited in the text in such a way that some or all of their content constitutes requirements of the document, for instance with a “shall”).</p> <p><i>NB: See IR 3 with the preferred verbal form to be used to express a requirement.</i></p>	<input type="checkbox"/>
	<p>Are the normative references dated in Clause 2 and in all clauses of the draft standard?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No

# New EC-ESOs Common Checklist



- ▶ Approved by CEN-CLC/BT
- ▶ Goal:
  - ▶ Have a common checklist used by ESOs and EC/HAS
  - ▶ TBs will use same document as HAS consultants
- ▶ Optional as of 2023-07-01, **mandatory** as of 2023-10-01
- ▶ Mandatory for homegrown draft hEN
- ▶ Strongly recommended for drafting of hEN under VA and FA (with ISO or IEC lead)
- ▶ [CEN BOSS](#) – [CENELEC BOSS](#)

# Checklist for hENs: ENQ/FV process (CEN)



**WG**

- ▶ WG drafts hENs
- ▶ WG Qualified support checks that the draft hEN fulfils requirements to be cited
- ▶ WG Qualified support ensures that checklist is filled out
- ▶ WG Qualified support/convenor submits to TC secretary:
  - 1) **Draft hEN**
  - 2) **Checklist filled out**
  - 3) **ENQ HAS assessment report with last column filled on how consultant comments were addressed** (applicable for FV only)

**TC secretary**

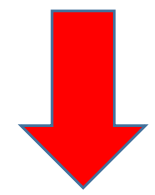
- ▶ Checks that checklist is filled out
- ▶ Submits the draft hEN and checklist to CCMC for ENQ/FV procedure

hEN + checklist submitted?



ENQ/FV procedure could start

Checklist not submitted?



CCMC will reject hEN submission



# Checklist for hENs: ENQ/FV process (CENELEC)

WG

- ▶ WG drafts hENs
- ▶ WG ensures that following docs are submitted to TC secretary:
  - 1) **Draft hEN**
  - 2) **Checklist filled out**
  - 3) **ENQ HAS assessment report with last column filled on how consultant comments were addressed** (applicable for FV only)

TC secretary

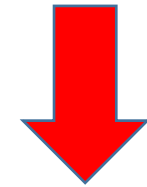
- ▶ Checks that checklist is filled out
- ▶ Submits the draft hEN and checklist to CCMC for ENQ/FV procedure

hEN + checklist submitted?



ENQ/FV procedure could start

Checklist not submitted?



CCMC will reject hEN submission

# How?

# CCMC Quality Check

# Quality Check Procedure

- ▶ Quality Check only performed at:
  - ▶ Mature Draft stage
  - ▶ Pre-Formal stage
  
- ▶ NEW Common Checklist for Harmonized Standards is the basis of the CCMC Quality Check
  
- ▶ Only Criteria linked to IR3, Normative References and Annex ZA/ZZ are checked

- ▶ New Common checklist elements checked by CCMC Quality Check:
  - ▶ Normative References
  - ▶ Annex ZA/ZZ
  - ▶ Foreword
  - ▶ Scope
  - ▶ Terminology
  - ▶ Neutrality Principle
  - ▶ Ambiguities within the text
  - ▶ Personal Data and Other

## ▶ Normative References

- ▶ They have a big impact in the outcome of the HAS Assessment
- ▶ To improve the chances of compliance the Normative References should be:
  - ▶ Dated
  - ▶ Active, Published and not subject to Formal objection
  - ▶ Normatively referred to within the text giving presumption of conformity (linked to the Annex ZA/ZZ)
  - ▶ Follow the rules of the [Guidance on Normative References in Harmonized Standards](#) and [CEN-CENELEC EC Internal Regulations – Part 3](#)

## ▶ Annex ZA/ZZ

- ▶ It has a big impact in the outcome of the HAS Assessment
- ▶ To improve the chances of compliance the Annex ZA/ZZ should:
  - ▶ Follow the correct template depending on each sector (for each Directive/Regulation covered by the Harmonized Standard one Annex ZA/ZZ should be stated)
  - ▶ Cover only clauses drafted as requirements, supporting the presumption of conformity
  - ▶ Follow best practices (e.g.: place in order the Essential Requirements from the Directive/Regulation)

## ▶ Foreword, Scope and Terminology

- ▶ To improve the chances of compliance both Foreword, Scope and Terminology should:
  - ▶ Be consistent with the relevant EU legislation
  - ▶ Not set requirements/recommendation/permission in their text

## ▶ Neutrality Principle

- ▶ To improve the chances of compliance the body of the text should:
  - ▶ Not contain clauses imposing requirements or obligations on/between certain economic operators
  - ▶ Not contain 1<sup>st</sup>, 2<sup>nd</sup> and 3<sup>rd</sup> – party testing obligations

# Quality Check Procedure

- ▶ Ambiguity, Personal Data, Other
  - ▶ To improve the chances of compliance the body of the text should:
    - ▶ Contain clear and unambiguous sentences
    - ▶ Not contain personal information (In case of doubts please contact [dataprivacy@cencenelec.eu](mailto:dataprivacy@cencenelec.eu))
    - ▶ Follow [CEN-CENELEC EC Internal Regulations – Part 3](#)



# How?

# The steps in detail

# How?

- ▶ 4 assessments possible per work item:
  1. Mature draft (mandatory)
  2. ENQ confirmatory (will take place only if the first assessment is LoC)
  3. Pre FV (mandatory, if the draft does not skip FV)
  4. Last Confirmatory Assessment (LCA, optional) - should become exceptional!

# How?

- ▶ Mature draft, together with filled-in Common Checklist and Annexes shall be sent to CCMC for QC: [hsc@cencenelec.eu](mailto:hsc@cencenelec.eu)
- ▶ CCMC QC shall be performed in 15 working days (3 weeks)
- ▶ CCMC shares by email the outcome of the QC with TBO
- ▶ TB has 4 weeks to consider CCMC QC comments, **shall address comments related to IR-3, Annex Z and Normative References (NR)**.
  - ▶ TB shall justify, through the QC checklist, the QC comments not addressed



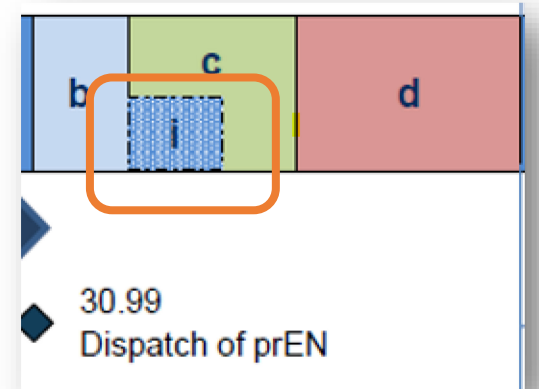
# How?

- ▶ TB sends to CCMC by email ([hsc@cencenelec.eu](mailto:hsc@cencenelec.eu)) updated draft and Annexes, together with filled-in Common Checklist, for Mature draft assessment request (AR).
- ▶ CCMC will request the Mature draft assessment to the HAS contractor.
- ▶ TB secretary will receive an email that includes the assessment report when the latter is available.



# How? → ENQ

- ▶ If Mature draft assessment is compliant:
  - ▶ TB delivers to CCMC the draft for ENQ through the **submission interface**
- ▶ If Mature draft lack of compliance (LoC):
  - ▶ TB can call a meeting with HAS consultant if deemed necessary
  - ▶ TB addresses comments from HAS assessment
  - ▶ TB delivers to CCMC through the **submission interface**:
    - ▶ Updated draft (and Annexes)
    - ▶ Filled-in Common Checklist
    - ▶ Filled-in table of comments from previous assessment
    - ▶ Supporting documents (Annexes, ...)
  - ▶ When launching translation, CCMC will request the **ENQ confirmatory assessment** to the HAS contractor.



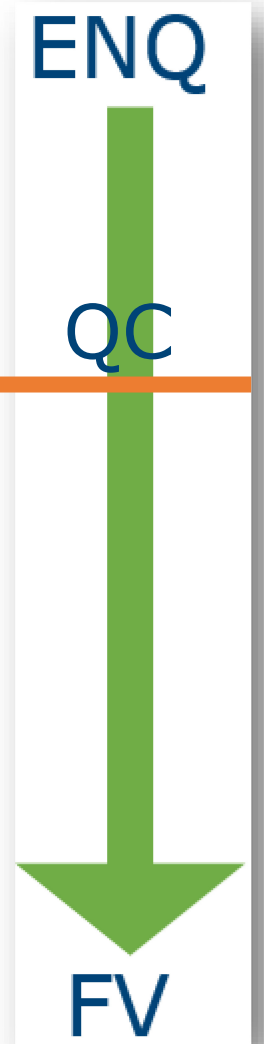
# How? → ENQ



- ▶ TB secretary will receive an email that includes the assessment report when the latter is available.
- ▶ ENQ won't be delayed in case of LoC at ENQ confirmatory assessment
  
- ▶ Possibility to skip FV if:
  - ▶ ENQ Vote positive
  - ▶ One of the previous assessments is 'Compliant' or 'Conditional compliance' (or the LoC at ENQ confirmatory assessment could be resolved)
  - ▶ No technical changes are made
  - ▶ TB decides by simple majority to skip the Formal Vote and proceed to publication.

# How? → FV

- ▶ After ENQ, TB will consider ENQ comments and HAS consultant report. The draft together with Annexes (pre FV draft) will be revised
- ▶ Pre FV draft, together with filled-in Common Checklist and Annexes shall be sent to CCMC for QC: [hsc@cencenelec.eu](mailto:hsc@cencenelec.eu)
- ▶ CCMC QC shall be performed in 15 working days (3 weeks)
- ▶ CCMC shares by email the outcome of the QC with TBO
- ▶ TB has 4 weeks to consider CCMC QC comments, **shall address comments related to IR-3, Annex Z and Normative References (NR)**.
  - ▶ TB shall justify, through the QC checklist, the QC comments not addressed



# How? → FV

- ▶ TB sends to CCMC by email ([hsc@cencenelec.eu](mailto:hsc@cencenelec.eu)) updated draft and Annexes, together with filled-in Common Checklist, for Pre FV draft assessment request (AR).
- ▶ CCMC will request the Pre FV draft assessment to the HAS contractor.
- ▶ TB secretary will receive an email that includes the assessment report when the latter is available.





# How? → FV



- ▶ If Pre FV draft assessment is compliant:
  - ▶ TB delivers to CCMC the draft for FV through the **submission interface**
  
- ▶ If Pre FV draft lack of compliance (LoC):
  - ▶ Standard development process **put on hold**
  - ▶ TB shall do its utmost to resolve any issues and ensure that the CCMC Project Manager/Editor is properly informed
  - ▶ TB can call a meeting with HAS consultant if deemed necessary
  
- ▶ Different options possible in case of LoC:
  - ▶ Within 7 weeks after reception of the assessment, the TB Secretariat informs CCMC by email on the chosen way forward

# Way forward following Pre FV LoC.

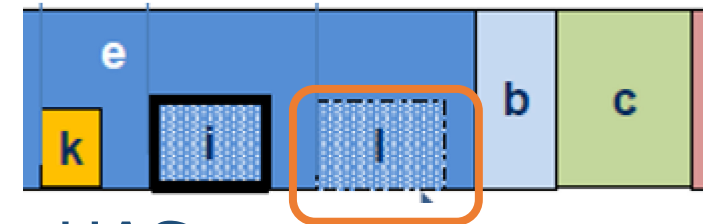
## Option 1: no LCA

- ▶ Given the nature of comments, TB can address them **without requesting LCA**
- ▶ TB will proceed to FV
- ▶ TB delivers to CCMC through the **submission interface**:
  - ▶ Re-worked draft in track changes showing the changes in comparison with the version of the Formal Vote draft which received a Lack of Compliance assessment.
  - ▶ Filled-in Common Checklist
  - ▶ Filled-in table of comments from previous assessment
  - ▶ Supporting documents (Annexes, ...)

# Way forward following Pre FV LoC.

## Option 2: LCA needed

- ▶ TB revises the draft and delivers to CCMC through the **submission interface**:
  - ▶ Re-worked draft in track changes showing the changes in comparison with the version of the Formal Vote draft which received a Lack of Compliance assessment.
  - ▶ Filled-in Common Checklist
  - ▶ Filled-in table of comments from previous assessment
  - ▶ Supporting documents (Annexes, ...)
- ▶ CCMC will request the last confirmatory assessment to HAS contractor
- ▶ If compliant assessment: FV ballot will resume
- ▶ If the LCA assessment outcome is 'Lack of compliance'
  - ▶ the TB needs to agree on the way forward, i.e. to
    - ▶ revise the FprEN to address the final comments of the HAS consultant,
    - ▶ or proceed with Option 3 or Option 4 (see below) within 7 weeks in total



# Way forward following Pre FV LoC. Option 3 (exceptional)



- ▶ Should the comments resolution meeting between the HAS Consultant and the TB not succeed to solve all the HAS Consultant's comments, a meeting between the HAS Consultant, EC and TB could be organized by CCMC (EC-HAS-TB 'Concerted Group')
- ▶ If remaining comments resolved, TB delivers to CCMC through the **submission interface** for FV:
  - ▶ Re-worked draft in track changes showing the changes in comparison with the version of the Formal Vote draft which received a Lack of Compliance assessment.
  - ▶ Supporting documents (Annexes, ...)
- ▶ If remaining comments not resolved, TB should proceed with Option 4

# Way forward following Pre FV LoC.

## Option 4



- ▶ When assessment issues could not be resolved by TB, a proposal on the way forward is circulated to BT for approval:
  - ▶ Option 4a: Unlink the EN temporarily from legislation, i.e. remove any link to legislation and Annex Z, and initiate an amendment or revision of the EN in order to resolve the lack of compliance assessment.
  - ▶ Option 4b: Unlink the EN permanently from legislation, i.e. remove any link to legislation and Annex Z. In this case, the EC will need to be informed.
  - ▶ Option 4c: Abandon the project. In this case, the EC will need to be informed.

# Measures for ongoing projects

- ▶ To have an impact on ongoing work, and thus to already improve the timely delivery of compliant hENs, **TBs are invited** to request a CCMC QC on ENQ and FV drafts before the projects are submitted to Enquiry (30.99) and FV (45.99).
- ▶ The request, together with the filled-in Common Checklist and all supporting documents, are to be sent **only by email** to [hsc@cencenelec.eu](mailto:hsc@cencenelec.eu)
- ▶ CCMC will perform Quality Checks (QC) within 15 working days (3 weeks)

# Key take aways



# Key take aways I/II

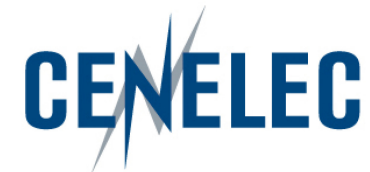
- ▶ Two different processes for homegrown EN and homegrown hENs
- ▶ Process mandatory for homegrown hENs, launched for approval as of 2023-10-01
- ▶ Process agreed with the EC (also DG Energy)
- ▶ Max 4 assessments, but different timing and purposes
- ▶ Quality check available before Mature draft & Pre-FV assessment

# Key take aways II/II

- ▶ Combination of CCMC QC and assessments at the right timing should help TBs to reach compliance
- ▶ Two-step approach: manual exchange of documents until IT tools are updated
- ▶ NWI form:
  - ▶ foresee enough time up to ENQ (50 weeks recommended)
  - ▶ use 39-week tolerance for time up to FV
- ▶ BTs will monitor the success of this new process
- ▶ New process for hENs in parallel with IEC and ISO currently under scrutiny

# Useful links

- ▶ Webinar drafting guidance: [CEN](#) – [CENELEC](#)
  
- ▶ Guidance document on normative references:
  - ▶ [CEN BOSS](#) – [CENELEC BOSS](#)
  
- ▶ [Webinar 'Presentation of the new EC/HAS ESOs Common checklist'](#)
  
- ▶ [Webinar 'Innovative process for homegrown hEns'](#)
  - ▶ Second webinar to come (18 December 2023): [register here](#).



INFORMATION FOR TECHNICAL BODY OFFICERS

# Thank you!

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