



# CEN-CENELEC GUIDE 23

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**Research Consortium Bridge-  
Addressing Research and  
Innovation in European  
Standardization activities and  
deliverables**

**Edition 3, October 2020**

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## **European foreword**

This document (CEN-CENELEC Guide 23:2020) has been initially prepared by the EC/EFTA funded project BRIDGIT2 (Bridge the Gap between Research, Innovation and Standardization Community). BRIDGIT2 was carried out between December 2017 and February 2020 by AFNOR (France), ASI (Austria), ASRO (Romania), BDS (Bulgaria), DS (Denmark), NEN (the Netherlands), NSAI (Ireland), UNE (Spain) and UNI (Italy) with the coordination of DIN (Germany) and support from CCMC. The draft from BRIDGIT2 was then processed by a group at the level of the CEN/CENELEC Technical Boards, the Secretariat of which was held by the Austrian Standards International.

This document has been drafted in accordance with the rules given in CEN-CENELEC Internal Regulations Part 3.

This third edition cancels and replaces the second edition (CEN-CENELEC Guide 23:2013), which has been completely revised.

This edition focuses on the role of the CEN/CENELEC Technical Bodies and national members in addressing Research and Innovation results in European Standards and other standardization deliverables.

**NOTE** When the expression CEN/CENELEC appears it refers according to the context to CEN or to CENELEC or to CEN and CENELEC jointly.

## Introduction

CEN and CENELEC developed this Guide to strengthen the competitiveness of European industry as well as Europe's society as a whole through a strong relationship between research, innovation and standardization. This follows the Innovation Plan which was approved by the General Assemblies of CEN and CENELEC during June 2018 in Bled. The Joint Initiative on Standardization under the EC Single Market Strategy reconfirms this link between research and innovation with standardization for the benefit of all<sup>1)</sup>. Already the definition of the term "Standard", as provided in CEN/CENELEC Internal Regulations Part 3 (Definition 3.1.2) and EN 45020:2006 (Definition 3.2), states that Standards should be based on the consolidated results of science, technology and experience, and aimed at the promotion of optimum community benefits.

European Framework Programmes like Horizon 2020 and Horizon Europe focus more and more on the impact of research and innovation in developing, supporting and implementing Union policies, and support the uptake of innovative solutions in industry and society to address global challenges. This strategic objective emphasizes the market relevance of standards when research and innovation are combined with standardization.

These Framework Programmes cover sectors that are very important for standardization. Many funding calls of these Framework Programmes already reference standardization and request projects to actively contribute to standardization. The reasons for this are for instance, that European Standards and standardization:

- disseminate research and innovation knowledge to industry, society and public administrations,
- facilitate market acceptance by enabling interoperability and compatibility of innovative solutions with existing products, services, systems and processes, especially within the Single Market,
- facilitate trade by diminishing technical barriers, being fundamental for the Single Market,
- facilitate technology transfer, i.e. enable businesses to adapt their products/services quicker as they receive information about existing and future standards,
- ease access to public procurement markets through tenders/calls,
- reassure customers and consumers through mitigating risks and ensure dependable performance (e.g. of new technologies),
- support networking between different stakeholders, including scientific and commercial collaborators,
- address the need to provide flexible and agile responses to an increasingly complex landscape of digital technologies, policies, structures and alliances,
- can be recognized simultaneously at international level due to Agreements between CEN, CENELEC and ISO, IEC.

To strengthen the link with research and innovation projects in general and with EU-funded projects in particular is an excellent opportunity for getting European Standardization Organizations and their national members involved in innovative fields, avoiding that new technologies would need to go through other paths to set common guidelines, standardized methodologies and specifications. It should be noted that projects of Framework Programmes are already feeding into European standardization activities, directly or indirectly, addressing evolving market needs identified in these research and innovation projects. It should also be recognized that, in such projects, partners come from research as well as from industry, which are the kind of stakeholders already participating in national, European and International standardization.

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1) [https://ec.europa.eu/growth/content/joint-initiative-standardisation-responding-changing-marketplace-0\\_en](https://ec.europa.eu/growth/content/joint-initiative-standardisation-responding-changing-marketplace-0_en)

## 1 Scope

This document provides guidance on addressing research and innovation (R&I) in European standardization activities and deliverables.

Secretaries and chairpersons of CEN/CENELEC Technical Bodies as well as CEN/CENELEC national members are encouraged to actively promote the application of this document.

## 2 Integration of R&I in standardization activities

### 2.1 General understanding how standards and standardization are addressed in R&I

Main R&I actors are basic and applied researchers in universities or research and technology organizations, innovators, start-ups or research, development and innovation departments in industry, including Small and Medium Sized Enterprises (SME).

When they engage in CEN-CENELEC standardization activities, this can be done through direct participation in national mirror committees (see 2.2) or by linking their specific projects to European standardization activities (see 2.3).

Most of the European efforts in R&I are driven by the European Union's multiannual Framework Programmes for funding, such as Horizon 2020 (2014-2020) or Horizon Europe (2021-2027). They imply a heavy public investment from the Member States and seek a strong impact in industry, market and society by addressing new technologies and innovative solutions to common challenges.

European R&I projects typically are multinational, collaborative projects involving a consortium with partners from different types of organizations (research institutes, universities, SMEs, large industries, NGOs, etc.) established through an agreement with the European Commission. The project duration is usually between two and four years and in this time, the project consortium needs to develop and provide the agreed-on project deliverables.

Many of the calls for European R&I projects in these programmes are requesting contribution to standardization (using existing standards or other standardization deliverables such as TS and/or contributing to generate new ones) as an expected impact. There are different ways in which standardization is addressed in such projects, for instance:

- Standardization Roadmap: In this project deliverable, the current status of standardization in a specific area is outlined following an extensive analysis of a topic regarding standardization. It includes future fields of activities and concrete recommendations.
- Standardization Strategy: In this project deliverable, standardization proposals in a specific area – not necessarily limited to the scope of one single CEN/CENELEC Technical Body – are usually summarized focusing on innovative and upcoming topics. This project deliverable is comparable to a Roadmap but less extensive.
- Contribution to existing and/or initiating new standards or other standardization deliverables: A proposal for changes to existing standards and/or for creating new standards is either part of a Standardization Roadmap, Standardization Strategy or a stand-alone project deliverable following an in-depth gap analysis during the project.

The work to be done in the project is divided in different thematic Work Packages (WP) which are integrated by several Tasks. The outcomes of these tasks are Deliverables, which can be reports, publications, prototypes, events, etc.

A typical basic structure for a R&I project could look like this:

- WP1 Project Management
- WP2 Initial requirements
- WP3 Technology development

- WP4 Validation – Demonstration
- WP5 Dissemination and Exploitation (including Standardization)

Tasks addressing standardization receive input from technology related tasks when the R&I project identifies the standards useful for the project development as well as the standardization needs and potentials.

The development of a new CEN/CENELEC deliverable is initiated or proposed, if a technical requirement is not yet described in CEN/CENELEC deliverables published or under development.

To channel the new inputs to the state of the art gained by the R&I projects, different links with the standardization system can be established (see 2.3 and 2.4).

## **2.2 Direct participation of individual R&I actors in CEN/CENELEC Technical Bodies**

Given the increasingly fast-paced evolution of new technologies, applications and approaches, the participation of research organizations like universities or technology institutes in CEN/CENELEC Technical Bodies – following the national delegation principle – has been usual and is more and more desirable to ensure the uptake of R&I results. In the same way, an increased involvement of innovation-related stakeholders like start-ups or Research, Development and Innovation Departments in Industry in existing or new Technical Bodies shall be promoted to link new developments in standardization with market needs.

Participants in Technical Bodies should promote and support this in their own organizations and networks, while CEN, CENELEC and their national members should raise awareness and encourage the engagement of these communities in standardization (see 3.1).

## **2.3 Partnership of R&I projects with CEN/CENELEC Technical Bodies**

The ‘Project Liaison’ is a way of collaboration covered by CEN-CENELEC Guide 25 (The concept of Partnership with European Organizations and other stakeholders). Following that Guide, a Liaison can also be valuable when collaboration between an existing CEN/CENELEC Technical Body and a funded European R&I project is envisaged. In such cases, the Liaison Organization status is limited to the duration of the R&I project.

The project in liaison is expected to provide high quality, added-value expertise in a defined technical field relevant for CEN and/or CENELEC Technical Bodies and to provide effective contributions through direct participation in their meetings. This collaboration can be focused on contributing to an ongoing work (drafting of EN, TS, TR), to the proposal of new ones or to the proposal for revising existing standardization deliverables.

The funded European R&I project requesting to participate in a CEN or CENELEC Body is granted the status of Liaison Organization through the appropriate procedures in accordance with the CEN/CENELEC Internal Regulations Part 2.

## **2.4 Interaction with R&I projects funded under European Framework Programmes**

### **2.4.1 Information for projects**

R&I projects increasingly contact Technical Bodies or other relevant CEN/CENELEC groups such as Sector Fora, Focus Groups and Coordination Groups, looking for feedback that can align their R&I works with the standardization workplans and needs.

Typical contributions from the Technical Bodies or aforementioned groups can be:

- the provision of written feedback (e.g. on the relation of the R&I topic with the Technical Body's workplan or the interest of the topic for future standardization works),
- inviting the project to a meeting, to get a more detailed information on the topic and discuss on the interest/potential for standardization, and/or
- the selective participation in events, workshops or round tables organized by the projects, or a longer-term participation in the Advisory Board of a project. This is typically suited to Chairpersons or Working Group Conveners, for instance.

## **2.4.2 Contributions to ongoing standards development**

R&I projects should be aware of ongoing standardization works and can be interested in contributing to these works to include some of their project outcomes or avoid possible unexpected barriers.

Typical ways of contributing can be:

- Commenting or proposing contents for the draft standardization deliverable
- Application for a Project Liaison with a CEN/CENELEC Technical Body (see 2.3)
- Participation of project representatives through national mirror committees (see 2.2)

## **2.4.3 New standards development**

R&I projects should be seen as a means of getting some necessary pre-normative research funded. This is especially obvious in the metrology sector, where specific standardization needs related to metrology expressed by CEN and CENELEC Technical Bodies are used for new projects calls (EMPIR programme).

Other R&I projects can justifiably recommend a Technical Body to start a new standard or modify an existing standard. These recommendations should be adequately recorded and taken into consideration when there is a valid reason that can fit the Technical Body's work programme.

On the other hand, before starting new work items or revision of existing standards, Technical Bodies should include in their market analysis a monitoring of existing R&I projects on the topic and, if deemed beneficial, proactively engage with them.

R&I projects can, in particular via the partner CEN/CENELEC national member, propose the development of new CEN/CENELEC deliverables (see CEN/CENELEC Internal Regulations – Part 2), e.g.:

- Technical Specification (TS) or Technical Report (TR). This shall be undertaken under approval of the Technical Body concerned. It is recommended to accelerate the processes as much as possible to approach the R&I project schedules, which are generally tight.
- CEN/CENELEC Workshop Agreement (CWA). This offers some advantages to R&I projects due to time constraints and because it is designed with a focus on R&I outcomes (see CEN-CENELEC Guide 29). When there is a related Technical Body, it can also be a suitable solution to pre-standardize a new topic. The CWA is not a full standard and shall not conflict with a European Standard. There will be also the possibility for the Technical Bodies to participate in the Workshop or be kept informed about the progress. Once published, if the topic shows to be market relevant, the CWA can be the source for a future standard. Therefore, the existence of a related Technical Body is not a justification to stop a CEN/CENELEC Workshop.

A specific type of European R&I project named Coordination and Support Action (CSA) can be requested by the European Commission to study needs for standardization in a new sector or topic or can include among their outcomes some recommendations for future standardization (standardization roadmaps). This information can be valuable for existing Technical Bodies or for the creation of new ones. In many cases, CEN/CENELEC national members or individuals involved in Technical Bodies' work are part of the project consortium or are linked to its Advisory Board. Collaboration of the Technical Bodies with this kind of projects is recommended to get a mutual benefit.

# **3 Support from CEN/CENELEC national members**

## **3.1 Raising awareness**

Some R&I actors may have some lack of knowledge or misunderstandings about standardization, not identifying it as the open, consensus-based process that the national, European, International system reflects. In other cases, they are only familiar with some sectoral or private specification-setting organizations. Therefore, CEN/CENELEC national members shall raise awareness among R&I actors.

According to the CEN and CENELEC Innovation Action Plan, national members are the ones mainly responsible for promoting the benefits of standards and standardization towards the R&I community. Some activities that can be undertaken to interact with this community can be e.g.:

- Creating and maintaining a dedicated webpage
- Organizing dedicated events
- Attendance to events with presentations, booths, etc.
- Spread information to national technical committees
- Join actively existing networks
- Establish collaborations with key stakeholders, e.g. Framework Programmes' National Contact Points (NCPs), start-up hubs, universities, research institutions or related public authorities; a list of points to be included in agreements with research organizations is provided in Annex A.
- Provide training/education

NOTE Information and material for guidance and training are available on <https://www.standardsplusinnovation.eu/>.

### 3.2 Monitoring new topics in which standardization shall be relevant

CEN/CENELEC national members are, and shall be, always looking for new topics or sectors of standardization activity, either at national, European or international level. Information provided by Technical Bodies in their fields of activity is important for this, but other sources shall also be taken into account on a longer term, such as governmental, industrial or scientific foresight studies. In Europe, R&I Framework Programmes are a good source of information about new topics.

With this starting information, CEN/CENELEC national members shall promote networking, discussion and organization of new fields. Considering R&I stakeholders in these discussions is crucial.

### 3.3 Participation in R&I projects

CEN and CENELEC national members can be partners in European R&I projects or be subcontracted to cover standardization-related activities. This is the best way to engage the R&I community and to help them to get positive standardization results, attracting them to longer-term standardization participation.

Possible standardization related activities carried out in R&I projects can be:

- Analysis of existing standards;
- Identification of standardization potential of project outcomes;
- Development of standardization roadmaps and/or strategies;
- Support the development of new standardization activities, and especially carry the CEN-CENELEC Workshop secretariats for the development of CWA(s).

## 4 Recognition of R&I contributions

Due to the specific characteristics of the R&I community, recognition of contributions is especially relevant for them. European Standards do not include the list of participants, but other aspects that can be taken into consideration in Technical Bodies' deliverables can be:

- Mentioning the R&I project in the Introduction of an EN, TS or TR, when its contribution has been relevant for the elaboration or the proposal of the document.
- Include references to relevant scientific publications in the bibliography of an EN, TS or TR when necessary.
- The list of participants can be included in CEN/CENELEC Workshop Agreements (CWA).

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Apart from these initiatives, other means for recognition to R&I contributions can be issuing recognition sheets (examples are provided in Annex B), the CEN/CENELEC or national Standardization Awards. CEN and CENELEC are granting the awards on a yearly basis and all CEN/CENELEC national members are recommended to follow this approach. Some National Award Development Guidelines are provided in Annex C.

## **Annex A** (informative)

### **Points that can be addressed in agreements with research organizations**

#### **A.1 Background**

The CEN-CENELEC Innovation Plan has a broad aim to strengthen the engagement with researchers and innovators. To achieve this objective, Action 1 of the CEN-CENELEC Innovation Plan envisaged the development of agreements between CEN/CENELEC national members and research-intensive organizations having a strong and visible “footprint” in standardization.

Agreements with research organizations such as universities, research and transfer organizations or research departments can be very beneficial for CEN/CENELEC national members to foster the collaboration between the CEN/CENELEC national members and the local R&I community. When these collaborations are established, general rules for the strategic partnership need to be stipulated in agreements. In addition to the general contract items, such as term of the collaboration, contractual penalties, liability, underlying law and other national requirements, the following points can be included in order to specify the collaboration. The points just give an example of topics to be included in agreements with research organizations but have no claim about completeness.

#### **A.2 Introducing the partners**

In the beginning of the agreement for a strategic partnership between CEN/CENELEC national members and research organizations, the partners should introduce themselves shortly and clarify their background needed for the collaboration. For the CEN/CENELEC national members, the expertise in standardization and connection within the national, European and international standardization framework should be mentioned here.

#### **A.3 Defining the aim of the strategic partnership**

The aim of the partnership should be also addressed at the beginning of the agreement. It is important for the CEN/CENELEC national member that the role of standardization should be more addressed to research organizations and disseminated. Specific research areas (e.g. AI, Circular Economy) covered within this partnership can be emphasized.

#### **A.4 Organization of the collaboration**

It is necessary to mention that specific details are covered by additional specific project agreements as the strategic partnership only focusses on the general collaboration. These project agreements include in particular time and work schedules, selection of employees in a project, detailed use of equipment and materials, financing and regulation on rights to research results.

#### **A.5 Cooperation on teaching about standardization**

For the CEN/CENELEC national member, it is important to include standardization in the course catalog of the research organization, which should be addressed in such an agreement. General lectures about the basics of standardization open to all students and employees of the research organization should be the minimum. More specific lectures covering all areas of standardization and their benefits for the economy and society should be included. If possible, the establishment of degree programs on standardization should be also considered. Within the agreement the possibility for the CEN/CENELEC national member’s employees to participate in lectures of the research organization can be described which can be used to their further education.

#### **A.6 Use of public funds**

This part indicates that the use of other, third party funds (e.g. Horizon 2020) can only be used for the funded project. Mandatory provisions of the respective donor take precedence over the regulations of the agreement.

## **A.7 Personal connection**

The exchange of employees between the CEN/CENELEC national member and the research organization needs to be specified in such an agreement. This can contain areas such as teaching, participation in research exchanges or supporting each other in research projects. The preparation of theses (e.g. Bachelor, Master or PhD) of research organization's members within the CEN/CENELEC national member can be foreseen. If useful, the exchange of employees or own experts in committees of the partner (e.g. advisory boards) should be considered.

## **A.8 Sharing resources**

The partners should agree on providing access to specific resources (e.g. rooms, databases, libraries) and specify the rules for the exchange.

## **A.9 Intellectual Property Rights (IPR)**

An agreement of strategic partnership should cover procedures on how to deal with IPRs generated within the collaboration. Mandatory provisions of the respective donor (e.g. Horizon 2020) take precedence over the regulations of the agreement when third party funding has been used.

## **A.10 Confidentiality**

The partners agree on certain rules regarding confidentiality and should describe the general rules covered by the agreement.

## **A.11 Common publication**

The partners agree on certain rules regarding common publications and should describe the general rules covered by the agreement.

## **A.12 Common promotion activities**

Mutual promotion activities should be foreseen to make use of the partner's network and should be described in the agreement. The implementation of common events can be foreseen in such agreements.

## **A.13 Exchange of information**

General rules regarding the exchange of information (e.g. which information, how to exchange the information) should also be included in the agreement. Regular meetings between the partners to update each other and evaluate the progress of their collaboration can be addressed here.

## Annex B (informative)

### Examples for recognition sheets

To whom it may concern

**or**

Name of the addressee

#### TEXT EXAMPLE 1

We **<Name of the NSB>**, hereby declare that **Dr/Mrs/Mr Name Last Name** participated in the standardization activities carried out by the following **national/European/International** body/bodies starting from **DATE** to **DATE**:

NATIONAL/TC <number and title>

CEN/TC <number and title>

CEN/WG <number and title>

CEN/WS <number and title>

ISO/SC <number and title>

#### TEXT EXAMPLE 2

We **<Name of the NSB>**, declare that **Dr/Mrs/Mr Name Last Name** has been contributing since **DATE** to the standardization activities carried out by the following **national/European/International** body/bodies

NATIONAL/TC <number and title>

CEN/WG <number and title> as expert

CEN/WG <number and title> as Convenor

ISO/TC <number and title> as chairperson .....

#### TEXT EXAMPLE 3

We **<Name of the NSB>**, declare that **Dr/Mrs/Mr Name Last Name** contributed to the standardization activities carried out to develop the following document(s):

National Standard <number and title>

EN <number and title>

CWA <number and title>

ISO <number and title>

CEN/TS <number and title>

ISOTS <number and title>

#### TEXT EXAMPLE 4

We **<Name of the NSB>**, hereby declare that **Dr/Mrs/Mr Name Last Name** contributed as **Chairman/Vice-Chairman/Convenor** to the standardization activities carried out by the following **national/European/International** body/bodies starting from **DATE** to **DATE**:

NATIONAL/TC <number and title>

CEN/TC <number and title>

CEN/WG <number and title>

CEN/WS <number and title>

ISO/SC <number and title>

Signature of the person responsible (Standardization Director, Secretary of the TC/WG/etc.)

## Annex C (informative)

### National award development guidelines

#### C.1 Background

The CEN-CENELEC Innovation Plan has a broad aim to strengthen the engagement with researchers and innovators. To achieve this objective, Action 3 of the Plan envisages the development at national level of annual awards to recognize contribution to standardization from individual researchers, innovators and start-ups. In 2019, CEN-CENELEC launched the first edition of the European Standards+Innovation Award. The launch of the European Award should encourage the development of further awards at national level.

The current experience developed within the CEN-CENELEC system should be used to support CEN/CENELEC national members to develop their own award. For this purpose, this Annex presents current experiences and national best practices developed.

This Annex addressed the following key elements to consider when developing an award:

- Motivation for the award
- Award categories
- Nomination process
- Evaluation including criteria
- Award ceremony

#### C.2 Key elements of an award

**Motivation for the award:** Developing an own innovation award can bring several benefits to the CEN/CENELEC national member among which:

- disseminating knowledge about standardization,
- demonstrating how standardization and innovation are linked,
- finding success stories about the application and development of standards,
- showcasing examples of innovative standardization projects, and by doing so, inspiring the initiation of further projects with a similar innovation potential,
- establishing and reinforcing links with researchers and innovators.

**Award categories:** Award categories can be organized in term of type of awardee (e.g. start-up, research project, individual researcher, student, etc.) or can be based on thematic objectives and areas of contribution. There can be one winner for each category or there can be multiple winners for each category.

**Nomination process:** The nomination process can follow an internal process with a list of nominees proposed by internal members of the CEN/CENELEC national member. Alternatively, the CEN/CENELEC national members may decide to have external submission of nominations. This solution will provide higher external visibility to the award. In that case, the CEN/CENELEC national member should set-up a landing page on its website containing information on the call and instructions for submitting nominations (nominations can be submitted through an online form, via email or via postal mail). In this stage the CEN/CENELEC national member will need to collect all the information that will be needed for the evaluation phase, as well as the contact details of the nominees.

The call for proposals should remain open for a specific timeframe and the deadline for application must be clearly stated. While the call remains open an active promotion is needed to reach target communities and to raise the awareness. Examples of active promotion includes newsletter, social media, mass mailing, press release, etc.

**Evaluation including criteria:** Once the call is closed, a jury should review all the submissions received. Members of the jury can include internal members of the CEN/CENELEC national member as well as representatives of other partner organizations.

The evaluation should be based on several criteria which should be established in advance. Members of the jury can attribute a score to each criterion, for example between 0 (lowest) and 5 (highest). The CEN/CENELEC national member should make sure that the information available will enable to give meaningful marks on all the proposed criteria.

The evaluation phase may include different steps, for example the CEN/CENELEC national member may decide to short-list the candidates before passing the list to the jury.

Once the evaluation phase has been concluded the CEN/CENELEC national member should communicate the jury's decision to all the nominees contacting them at the contact details mentioned in the application.

**Award ceremony:** The CEN/CENELEC national member should find the right occasion for presenting the awards, which can be either an important event that the CEN/CENELEC national member has already in place or a new ad-hoc event. The CEN/CENELEC national member will need to manage all the typical details of organizing an event (e.g. identifying the place and the date, sending invitations, catering, photographers and/or video makers, etc.).

The prize can be a physical award or can be a cash prize. The CEN/CENELEC national member may also consider granting additional advantages to the winners such as free attendance to e-learning sessions on standards, or free access to standardization committees. Additionally, winners should receive an award certificate during the ceremony.

The event should be promoted through communication actions under different media (websites, social networks, press release, etc.). It may be considered to invite journalists to the event to ensure a higher media coverage and visibility.

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