
Jackey Mayda, Fabrizio Rotundi, Michael Quinlan
On behalf of the Modernization Committee
Committee Members

- Jackey Mayda (Canada – Chair)
- Marie Creedon, Eilish O’Sullivan (Ireland)
- Milena Grassia, Antonio Ottaiano, Fabrizio Rotundi (Istat) and Prof. Alessandro Hinna (University of Rome, Tor Vergata)
- Carina Fransen, Wouter Jan van Muiswinkel (Netherlands)
- Ingvild M. Moller, Anne Trolie (Norway)
- Anna Borowska (Poland)
- Thana Chrissanthaki (Eurostat)
- Jonathan Challener (OECD)
- Tetyana Kolomiyets, Steven Vale (UNECE Secretariat)
Priority areas

- Risk management guidelines

- Human Resources Management and Training
  - Workshop
  - Guidelines for managers

- Organizational barriers to international collaboration

- Developing a Modernization Maturity Model (MMM) for the implementation of the HLG-MOS standards (GSBPM, GAMSO, GSIM and CSPA)

- Evaluation of the project cost benefit analysis methodology developed by Eurostat
Risk management

- Draft guidelines on risk management practices in statistical organizations drafted based upon 2 surveys

- A third questionnaire sent out to specific countries in order to get more detail on lessons learned (what was most successful, what was most difficult, what not to do when implementing risk management)

  - Positive feedback received, particularly from countries that are at a lower level of maturity of risk management implementation
  - A task team on risk management in the context of agile development created as a result of the workshop and will continue into 2017

- Final version of the guidelines presented for your approval
Guidelines on Risk Management practices in Statistical organisations

Modernisation Committee on the Organisational Framework and Evaluation - MCOFE

Genève, 22 November 2016
The overall project

**Defining the research framework**
- Designing the project
- Choosing the criteria for analyzing practices:
  - Rationalities
  - Uncertainty Experts
  - Technologies

**Providing the 3 surveys:**
1\(^{st}\) RM practices: 64 NSOs and 34 respondents;
2\(^{nd}\) RM In-depth: 14 NSOs and 11 respondents;
3\(^{rd}\) RM What(s): 27 NSOs and 15 respondents

**Integrating data** from the surveys
- Combining practices for the best practice
- Integrating Guidelines with case studies and comments

**Analyzing RM maturity**
- Integrating RM with Quality management
- Sharing common risks among NSOs focusing on statistical risks

**2014**
- **1. Specify needs**
- Sharing RM practices
- Identifying good/best practices
- Defining RM practices most fitting to statistical organizations
- Drafting RM Guidelines

**2015**
- **2. Design**
- Setting up 3 surveys:
  1. General
  2. In-depth
  3. Lessons learned
- Developing supporting tools
- Connecting variables and dimensions

**2016**
- **3. Build**
- **4. Collect data**
- **5. Process**
- **6. Analyze**
- **7. Disseminate**
- **8. Evaluate**
- 1\(^{st}\) general survey
- Selecting practices by:
  - Re-applicability
  - Coherency
  - Compliance
- 2\(^{nd}\) in-depth survey
- First draft (Workshop RM)
- Collecting comments
- 3\(^{rd}\) survey: Difficult, Successful, NOT to do
- Finalizing draft
- Workshop on Risk Management (4/16)
- Sharing and publishing the Guidelines
- Communicating RM results
- New workshop on RM in 2017?
1st First Survey on Risk Management practices

PROCESS MAPPING

Q38 In your organization, are identified risks a result of a previous process mapping?

Respondent 4 (EU): “Yes. Previous activities were the basis for identifying, understanding and solving risks”.

Respondent 5 (EU): “Yes. The process mapping concerns the whole organization”.

Respondent 6 (Non-EU) “Yes. There is a graphic presentation of a process showing the sequences of RM”.

Answered: 24 Skipped: 10

![Graph showing overall average by section]
Survey analysis: Defining *Parameters* and *Descriptors*

- **Items** represent consistent sets of significant features for analysis complying with the 3 Reading-keys (*Risk rationalities, Uncertainty experts, Technologies*) identified in the Survey design phase.
- **Parameters and Descriptors** allocates all countries among the levels **Low-Medium-High**.

<table>
<thead>
<tr>
<th>READING KEYS</th>
<th>ITEMS</th>
<th>ITEM PARAMETERS</th>
<th>DEVELOPMENT</th>
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<tbody>
<tr>
<td><strong>RISK RATIONALITIES</strong></td>
<td><strong>Risk Framework</strong></td>
<td><strong>Approach to RM</strong></td>
<td><strong>Low</strong></td>
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<tr>
<td>Previous organizational practice</td>
<td>International standards (ISO, COSO, ecc)</td>
<td>Customized model</td>
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<tr>
<th>UNCERTAINTY EXPERTS</th>
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<tbody>
<tr>
<td><strong>Human Resources</strong></td>
<td><strong>Human resource adequacy</strong></td>
<td><strong>HR are either not suitable or not yet evaluated</strong></td>
<td><strong>HR are quite suitable</strong></td>
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<td>ROMANIA</td>
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2nd Survey on Risk Management features

- 7 Countries have been selected to provide in-depth information about the RM practices that have turned out to be most fitting to some strategic features.
- 7 Countries have been selected to be submitted with tailored short questionnaires on specific items apparently well developed within those countries.
- 11 Respondent countries: respectively 6 for in-depth, and 5 for short.

**Process Mapping**

Q6: Process mapping in your Organization has involved:
(more than one choice is allowed)

Respondent 5 (EU):
“The process map describes staff, activities, responsibilities, sequence and links between the sub-processes and documentation”.

Respondent 4 (EU):
“For all areas (statistical, support, ICT), a list of activities was defined, linking objectives, processes, business units, accountabilities, deadlines and outputs.”

Respondent 6 (Non-EU):
“Process Mapping involved core processes, operational activities in detail, using the IDEF0 Model since 4 years”.

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**Fabrizio Rotundi**
Guidelines’ structure and contents

The Guidelines consists of:

A. **two sections** whose scheme complies with the Risk Management standard ISO:31000/2009:
   - *Risk Management system*;
   - *Risk management process*

B. **The Annex** providing a more practical approach showing:
   - **Focus points on Risk Management core topics**, to share practices able to substantiate "theoretical" contents;
   - **Case-studies, reporting the most significant experiences** to share the know-how gained from implementing Risk Management and highlight common elements

C. **The References** reporting the main sources of the Guidelines

D. **The Glossary** including definition of the main relevant terms of the Guidelines, arising from practices and international standards.
Section 1 - The Framework: Policy, Accountability and Integration

ISO 31000:09
- The risk management policy should clearly state the organization's objectives for, and commitment to, risk management.
- The organization should ensure that there is accountability, authority and appropriate competence for managing risk.

PRACTICES (from surveys)
- “The risk appetite will only tolerate High or Extreme risks when treatment measures are unable to reduce the level of inherent risk to an acceptable level”. “Better quality management practices has been endeavored through the risk mitigation strategy.”
- “The governance is provided by the Executive Management. Directors, Assistant Directors, Chiefs and Unit Heads are owners of Operational risk and Project risk registers. All Staff are responsible for identifying, documenting and managing operational and project risks.”

GUIDELINES
- Risk philosophy (strategy) and risk appetite (policy) should be always kept aligned.
- Risk management responsibilities belong to:
  A. The Chief Statistician for ensuring an effective RM
  B. The Risk Committee for validating: ..... 
  C. The Risk Manager for acting: ...
- Statistical risks (i.e. the possibility that one or more of the production process components fail to meet the quality standard) are managed at all levels (strategic, operational and project ones). Even when managed separately risks should be integrated into the same risk framework.
Section 2 - The Process: Risk Identification and Assessment

ISO 31000:09

- The organization should define criteria to evaluate the significance of risk
- The organization should identify sources of risks, areas of impacts, events (including changes in circumstances), causes and potential impacts.
- Risk evaluation assists in making decisions, based on the outcomes of risk analysis, about risk treatment and prioritization

PRACTICES (from surveys)

- “Risks are identified by accountable managers and then gathered in strategic categories (corporate risks), in order to be assessed, treated and monitored, based on: Monitoring risk treatments; Organizational sustainability; Cross-cutting activities; priority areas”.
- “3 levels of risks have been identified: 1. Risks associated to the ESS Vision 2020; 2. Portfolio management risks; 3. Project related risks”.
- “The RM matrix is a tool for identifying, analyzing, evaluating and treating risks”.

GUIDELINES

- The coordination of Risk Management process phases is centralized
- Three kinds of approach can be followed in identifying risks: Top-Down; Bottom-Up; Mixed.
- The RM framework includes a hierarchy of risks: A) Enterprise; B) Operational; C) Project.
- The risk weighting ensures that use of resources will be focused on the most important risks. A common approach to prioritize risks is to divide them into 3 bands: Upper; Middle; Lower.
3rd Survey - Lessons learned when implementing RM

Objective: highlighting the following aspects occurred in implementing Risk Management:

“WHAT WAS MOST SUCCESSFUL”;
“WHAT WAS MOST DIFFICULT”;
“WHAT NOT TO DO”

The Survey is made up of 6 questionnaires addressed to as many organizational areas:

1. Risk Management;
2. Statistical quality analysis;
3. Statistical production process management;
4. Organizational process management;
5. Internal control and/or internal auditing;
6. Services supporting statistical production.

As far as the contents are concerned, each questionnaire focuses on 4 main subject areas:

1) RISK MANAGEMENT FRAMEWORK
2) RISK MANAGEMENT PROCESS
3) OVERARCHING PROCESSES
4) ORGANIZATION RISK MATURITY
3rd Survey: Consistency analysis

- The topics were selected and analyzed with regard to their consistency both inherent and with the guidelines, through the evidences coming from RM, Quality management and Auditing practices.

- The results from the Survey have been grouped in 5 clusters:
  1) Mandate and policy; 2) procedure and role of RM office; 3) Integration with other functions; 4) RM process; 5) supporting process

<table>
<thead>
<tr>
<th>CLUSTER 3 - RISK MANAGEMENT PROCESS</th>
<th>Organizational Area</th>
<th>Statistical Production Area</th>
<th>Statistical Quality Area</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Risk Identification phase</strong></td>
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<tr>
<td>Successful</td>
<td>Ensuring risks align with other corporate strategies</td>
<td>Framing quality risks in an holistic manner to ensure the risks best reflected the totality of key stakeholder’s expectations around quality</td>
<td>Performing regular quality review of statistical surveys</td>
</tr>
<tr>
<td>Difficult</td>
<td>Determining risk owners when risks occur in different areas</td>
<td>Establishing relation/link between strategic and operational risks</td>
<td>Identifying emerging risks or planning for unanticipated risks</td>
</tr>
<tr>
<td>Not to do</td>
<td>Identifying too many risks and risks which aren't risks</td>
<td>Focus only on one dimension of risk (for example, cyclical risk) or on only a narrow view of quality</td>
<td>Identifying risks without necessary stakeholders in the discussion</td>
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</tbody>
</table>
The continuous cycle of Risk Management improvement

**Identifying Difficulties and Gaps**
- Lack of integration of RM into business processes
- Lack of responsibilities for managing key statistical risks
- Ineffectiveness of internal controls
- Human Resources inadequacy: expertise in a few people
- Lack in communicating and sharing risks policy
  - Misunderstanding risk appetite
  - Mismatching stakeholders’ expectations

**Escalating RM Maturity Level**
- Regularly reviewing RM Framework leading to RM in practice
- Increasing Staff Risk Awareness and periodically evaluating human resources adequacy
- Clearly detailing Risk appetite at operational level; ensuring coherent approach with statistical quality
- Periodically evaluating stakeholders’ needs

**Improving RM Practices**
- Developing Statistical RM Plans to improve RM approach at the operational level
- Changing RM culture by focusing on training, communicating and consulting; understanding and managing risks in common
  - Implementing RM tools aiming at standardizing RM procedures and controls
- Reviewing framework by consulting stakeholders

**Enhancing Capabilities**
- Integrating controls and Auditing by business units, managers and employees
- Communicating the Risk policy within the organization to strengthen staff sense of belonging
  - Managing quality of services and activities
  - Communicating the organization and strengthen citizens’ and users’ trust
Proposals for next Risk Management activities

1. MCOFE RM ACTIVITIES IN 2017
   - Developing Agile approach within the task team
   - Integrating Risk and Quality Management: “Business Case for organizing a Work Session on Implementing Efficiencies & Quality of output”

2. GUIDELINES FOLLOW-UP
   - Communicating Guidelines
   - Sharing common risks among NSOs
   - Focusing on Statistical and Quality Risks

3. ASSESSING RISK MANAGEMENT MATURITY
   1. RM Commitment and Strategy
   2. RM Dissemination: Benefits, Outcomes, Impacts
   3. RM Integration
   4. Roles & Responsibilities
   5. Stakeholders Relationship
   6. Risk Analysis
   7. Risk Treatment & Resources Adequacy
   8. RM Information System
Risk Management Maturity Model (Example from Guidelines)

To deeper understand RM, a multidimensional analysis is proposed based on different sources: actual cases of RM systems implementation among statistical organizations; selected case-studies, significant experiences of NSOs; maturity models from techniques and literature.

<table>
<thead>
<tr>
<th>READING KEYS</th>
<th>ITEMS / CORE AREAS</th>
<th>DESCRIPTORS</th>
</tr>
</thead>
<tbody>
<tr>
<td>RISK RATIONALITIES: RM FRAMEWORK AND PROCESSES</td>
<td>Risk Framework</td>
<td><strong>Attributes / Performance indicators</strong></td>
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<td></td>
<td></td>
<td><strong>STAGE (LEVEL) 1</strong></td>
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<tr>
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<td>No proactive thought: the organization is reacting to situations and risk issues after they occur and it is not able to distinguish between positive and negative risk</td>
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<td><strong>STAGE (LEVEL) 2</strong></td>
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<td>Risk is considered a static phenomenon instead of a dynamic one. Risk approach mainly focuses on past events</td>
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<td><strong>STAGE (LEVEL) 3</strong></td>
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<td>Opportunistic approach: a common and consistent definition of risk exists and is applied throughout the organization, but risk approach mainly focuses on avoiding unexpected large loss events</td>
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<td><strong>STAGE (LEVEL) 4</strong></td>
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<td></td>
<td>Open and proactive approach to risk that considers both threat and opportunity. Risk based approach to achieve goals is used at all levels</td>
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</tbody>
</table>

**UNCERTAINTY EXPERTS: PEOPLE, ROLES, STRUCTURES AND INTERACTIONS**

<table>
<thead>
<tr>
<th></th>
<th>Organizational chart</th>
<th><strong>RM function in the organization</strong></th>
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<tbody>
<tr>
<td></td>
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<td><strong>STAGE (LEVEL) 1</strong></td>
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<tr>
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<td>The board does not feel the need to manage risk and the related function is not included in the organization chart</td>
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<td><strong>STAGE (LEVEL) 2</strong></td>
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<td>Top management / senior managers take the lead to ensure that a not-formalized core group of people have the basic knowledge to manage risk. An experimental / pilot function is being introduced</td>
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<td><strong>STAGE (LEVEL) 3</strong></td>
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<td></td>
<td>RM function is formalized within the organization and a specific RM unit may be envisaged in the organization chart</td>
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<td><strong>STAGE (LEVEL) 4</strong></td>
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<tr>
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<td>An independent operational risk management function exists. Staff responsible for implementing the entity’s risk management framework are dedicated to RM, with a well developed understanding of the entity and its operations</td>
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</table>

**TECHNOLOGIES: SUPPORTING SYSTEMS**

<table>
<thead>
<tr>
<th></th>
<th>RM Information system</th>
<th><strong>Document management</strong></th>
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<tr>
<td></td>
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<td><strong>STAGE (LEVEL) 1</strong></td>
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<td>Record management supporting activities and decisions is focused on physical and financial assets. The organization does not document information about risk</td>
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<td><strong>STAGE (LEVEL) 2</strong></td>
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<td>A document management system, mainly focused on past events, may be envisaged: 1. to comply with legal and governance requirements; 2. to record information referring to stand-alone processes and treatments.</td>
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<td><strong>STAGE (LEVEL) 3</strong></td>
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<td>Organization identify resources in terms of document systems to support management in recording key and relevant process areas</td>
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<td><strong>STAGE (LEVEL) 4</strong></td>
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<tr>
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<td>Information about risks are recorded in a consistent and secure way, establishing the policies and procedures needed to access, use and transfer information, as part of a structured Information Management Plan.</td>
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Fabrizio ROTUNDI

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Experience makes the difference ...
Enhancing Risk Management with Agile Principles

Presented by Michael Quinlan, CSO Ireland, on behalf of the Task Team working to the UNECE Modernisation Committee on Organisational Framework and Evaluation (MCOFE) under the wider High-Level Group for the Modernisation of Official Statistics (HLG-MOS)
Introduction/ context

• Ongoing work at UNECE to strengthen R.M. in Stat organisations – e.g. **new draft guidelines** – significant initiative!

• Increasing use of project management leading to increased use of Agile practices

• During last workshop in April to discuss R.M. guidelines some tensions were highlighted between twin development of R.M. and Agile
Defining Agile

• An iterative approach to project management
• Roots in IT project management
• Promotes rapid and flexible response to change
• Common techniques (Scrum, Kanban, …)
• Focuses on the delivery of fit-for-purpose solutions early and often
Tensions highlighted

• Agile practitioners see explicit R.M. as unnecessary/ out of date
• R.M. practitioners think Agile is weak on assurance
• Short-term v. long-term planning - Agile adopts a more short-term (sprint) focus – needs to be fitted into longer-term strategic working of the organisation
Task team set up

To look at ways to minimise tensions and maximise synergies, i.e.

1. Ways to alleviate any potential tensions between R.M. and Agile project delivery

2. Ways to capitalise on opportunities inherent to Agile to support Stat. Organisations enhance their implementation of R.M.
Exploiting Agile to strengthen R.M. – 3 principles

• **Principle 1**: Define your appetite for risk, and make it real
• **Principle 2**: Identify threats *and* opportunities – shift focus from mitigating threats to exploiting opportunities
• **Principle 3**: Deal with threats and exploit opportunities at the most appropriate level but document and escalate if necessary
Conclusion

• “What we have shown is a reconciliation between R.M. and Agile to make sure R.M. is fundamentally about effective decision making, to take advantage of Agile delivery as a process which inherently reduces risk, and to exploit Agile practices for better R.M.”.
Next Steps

• Focus on practical application
• Further consideration of case studies and maturity model
• Supporting each other with implementation of the principles
• Follow-up workshop of wider community to consider such things as register of the highest common risks to statistical organisations
Members of Task Force

- Ben Whitestone and Rich Williams, ONS UK (Co-Chairs)
- Michael Quinlan, CSO Ireland
- Michael Goit and Sarah MacKinnon, Statistics Canada
- Phillip Wise, Carrollyn Wall and Patrick West ABS
- Fabrizio Rotundi and Marco Tozzi, Istat
- Alessandro Hinna and Federico Ceschel, University of Rome
- ArmandO Zuñiga, INEGI Mexico
- Anna Borowska and Agnieszka Komar-Morawska, CSO of Poland
- Olja Music, Statistical Office of the Republic of Serbia
- Alexander Sindram, Statistics Netherlands
- Alessandra Politi, Eurostat
- Steven Vale and Tetyana Kolomiyets, UNECE
Thank You

• Any questions / observations etc.
Human Resources and Training workshop

- Held in Krakow, Poland September 7-9
- 67 participants, representing 40 countries or intergovernmental organizations
- Theme: Developing capabilities for the future

Sessions included
- practical training and learning materials
- staff motivation and employee engagement
- managing human resources in the context of modernization
- best practices in capabilities development

Special session for the Eastern Europe, Caucasus and Central Asia (EECCA) countries
- focused on what could be implemented in these countries based upon discussions held at the HRMT workshop

Very positive feedback overall
Guidelines for managers including best practices

- English guidelines were published on the wiki last year

- In preparation for the Human Resources and Training Workshop and special session for EECCA countries, the Russian version of the guidelines was made available [http://www1.unece.org/stat/platform/pages/viewpage.action?pageId=123145021](http://www1.unece.org/stat/platform/pages/viewpage.action?pageId=123145021)
Organizational barriers to international collaboration

- Explore how international collaboration can be fully realised
- Sub-group members from OECD, Eurostat, the Netherlands, Istat and Canada
- Initially 12 barriers identified, then prioritised and narrowed down to 4 to be described in detail
Initial list of barriers

- Legal
  - Lack of coordination inside statistical offices
- External communication
  - Human and financial resources
- Burden on lead organisations
  - Stakeholder engagement
- Internal communication
  - Lack of coordination between organisations
- Internal vs. external barriers
- Selection of people involved
  - Work being done ‘on the corner of the desk’
- Mandate/vision
## Barriers of focus

<table>
<thead>
<tr>
<th>Legal</th>
<th>External communication</th>
<th>Burden on lead organisations</th>
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<tr>
<td>Lack of coordination inside statistical offices</td>
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<td>Selection of people involved</td>
<td>Work being done ‘on the corner of the desk’</td>
<td>Mandate/vision</td>
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Organizational barriers to international collaboration (cont’d)

- Documented the barriers, identified existing practices, and made recommendations on possible solutions and best practices

- Sought input of the HRMT workshop participants as well as other MCs
  - Many comments received, lots of interest in this topic

- [Organisational barriers to international collaboration_26102016.docx](https://example.com/organisational_barriers_to_international_collaboration_26102016.docx)

- Next step: dissemination on UNECE wiki
Evaluation - project cost benefit analysis methodology

- Methodology aimed at assessing the impact of the projects that will enable the implementation of the ESS Vision 2020

- Based on the work of the ESSnet on Standardisation and of the Eurostat Task Force Impact assessment of ESS.VIPs

- Relies on two types of assessments:
  - Qualitative assessment based on a SWOT analysis (Strengths, Weaknesses, Opportunities and Threats)
  - Quantitative assessment based on an estimation of current costs, development costs and future costs of production

- Group recommended this methodology as an evaluation tool for the activities under the HLG
Modernisation Maturity Model (MMM)

- Working in conjunction with the MC on Standards as part of the *Implementing Modernstats Standards* project

- MMM outlines the various **levels** of maturity of implementation of each of the HLG-MOS standards (from initial awareness to mature implementation), as well as the **dimensions** (business, methods, information, application, technology)

- Led the testing of the MMM in July and August

- Revised version of the MMM presented to the participants attending the Workshop on Implementing Standards held in Geneva Sept 21-23

- Revised MMM circulated to participants for review and will be presented later in the workshop
Next steps

- Work in the area of risk management in the context of agile development will continue

- Communication strategy for MMM and implementing standards roadmap

- Two activity templates propose new work to be undertaken by the committee in 2017
  - Organizing a Work Session on Implementing Efficiencies & Quality of output
  - Training and Capabilities development based upon GSBPM

- Further work on barriers to international collaboration?

- Revised MC structure
  - Will evolve to be part of the Capabilities and Outreach MC, which will combine the existing activities of the MCOFE and the Task Team on Communicating Modernisation.
Thank you for your attention!