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Annex 1

ESSnet on Standardisation
Report - Standardisation process

ESSnet on Standardisation - Final Report on Work Package 2 – Standardisation process
Work package leader: Hungary
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ESSNET ON STANDARDISATION

DESCRIPTION OF THE THE PROCESS OF ESS STANDARDISATION

The process of ESS standardisation describes the full procedure for the establishment, and revision or withdrawal of ESS standards, starting with the establishment of needs. The process consists of 5 stages and 18 activities as shown below on *Figure 1*.



Figure 1. – Process of ESS standardisation

Five stages of the process of ESS standardisation

A. Establishment of needs

All standardisation processes start with establishing a need, a motivation for the development and adoption of a normative document as an ESS standard. In this

stage, the various needs of different stakeholders are collected, an initial impact assessment aimed at strategic aspects is carried out and a proposal is compiled for the ESSC, as the standardisation authority in the ESS, to make the decision on starting the development of the proposed standard. In case of a positive decision, the necessary resources and responsibilities are allocated for the development.

B. Development

The standard and all the necessary supporting instruments, providing indispensable support for the implementation and use of the standard, are developed. There is a constant feedback on the draft standard until a satisfactory result is reached. Together with the standard, an implementation plan is also developed; it sets the basic rules and procedures for the dissemination, revision and maintenance of the standard. As final outcomes of development, the standard and a proposal for the ESSC are provided.

C. Adoption

In order to support the formal adoption of the developed standard, the products of development (the standard, its supporting instruments, the implementation plan and the proposal for the ESSC) are presented to the stakeholders and feedback is collected. Following stakeholder consultations, the proposal is formally sent to the ESSC for decision-making. In case of a positive decision, the standard is adopted as an ESS standard.

D. Dissemination & Support implementation

The ESS standard is disseminated with the developed supporting instruments, according to the implementation plan. Implementation at national and European level are monitored and supported.

E. Maintenance & Review

Based on the available feedback and periodic reviews, the ESS standard is constantly updated and modified to meet the needs of the stakeholders. When the ESS standard can no longer be modified or is no longer needed, a proposal for the ESSC is compiled to decide on the revision or the withdrawal of the standard. In case of a positive decision to revise, the ESS standard will be revised, starting a new establishment of needs stage; in the case of withdrawal, the ESS standard is withdrawn and no longer recognised as ESS standard.

Activities of the process of ESS standardisation

The following section is aimed at providing a brief description of the 18 activities in the standardisation process. A table describing the bodies involved, the connections to the inventory or normative documents, the outputs produced and connections to the impact assessment can be found at the end of this section.

A. ESTABLISHMENT OF NEEDS

A1. Specification of the initiative

- This is the starting point of the whole standardisation process; if there are needs for the establishment of a new standard in the ESS. This activity can also be a restarting activity for standards that are being revised.
- The professional body that suggests an initiative needs to define the aim of the standard (what is the purpose of the standard, the reason for its development). This definition of the aim is supported by the needs (why the standard is needed) expressed in the form of statement of user needs.
- The body responsible for suggesting an initiative needs to identify the main stakeholders who will be involved or affected in any way in the development, future use and implementation of the standard.
- The stakeholder analysis clearly provides guidance on what stakeholders should be involved actively in different future stages and what stakeholders need to be informed only. This activity will define the stakeholders and how to involve them in the whole process.
- The outcome of the stakeholder analysis is reviewed by the permanent body for the ESS standardisation and is the basis of their assigned status within the 'Development' and 'Adoption' phases. The permanent body for the ESS standardisation might suggest modifications, if needed.
- The body responsible for specifying the initiative needs to provide explanation of how the future standard will be able to satisfy the recognised and potential future needs.
- The body responsible for specifying the initiative needs to identify supporting instruments that are integral part of the future standard (necessary for its implementation and for further support). These supporting instruments need to be developed together with the standard.
- It is also an integral part of this activity to identify similar or related normative documents (check with what normative documents the future standard needs to work together, how they will be connected, etc.).
- This activity can be based on a top-down (example: derived from Vision 2020, decisions of Director Groups, etc.) or a bottom-up approach (example: based on Member State needs, starting from Working Group, Expert Group level, etc.).

A2. Initial impact assessment

- An impact assessment is carried out with the stakeholders, in accordance with the ESS methodology for impact assessment.

- This methodology includes the possibility that NSIs and Eurostat participate also on behalf of other stakeholders.
- It includes at least the strategic aspects of the initiative to support the decision-making of the standardisation authority on starting the development of the concerned normative document into an ESS standard.

A3. Proposal on development

- This activity is aimed at producing a detailed proposal for the ESSC to support it to make its decision on whether to start the development of the concerned standard.
- The proposal contains a detailed description of aim and user needs and a business case based on the impact assessment. It also lists the main stakeholders.
- The proposal covers the development of the standard and the absolutely necessary supporting instruments (those that are necessary for the use and implementation of the standard and further support).
- The proposal contains the governance for the development of the standard and the associated supporting instruments (body responsible for development, responsibilities, resources and source of resources).
- When finalised, the proposal is sent to the permanent body for the ESS standardisation and an iterative process between the permanent body for the ESS standardisation and the body responsible for the compilation of the proposal begins. As a result of the iterative process, if changes to the proposal are needed, they will be made.

A4. Approval of proposal on development

- The permanent body for the ESS standardisation sends the final proposal to the ESSC with its statement attached to the proposal confirming that the phase 'Establishment of needs' was carried out according to the standardisation principles.
- The ESSC discusses and decides on the proposal, including the governance for the development of the standard and the associated supporting instruments (body responsible for development, responsibilities, resources and source of resources).
- Member States and Eurostat have to express their willingness in the use of the future standard as foreseen in the business case and also the conditions and potential limiting factors to a future use and implementation.

B. DEVELOPMENT

B1. Drafting and testing

- The standard is drafted (developed) by the body responsible for the development as decided by the ESSC in A4.
- Continuous testing of the draft standard takes place to check if the draft works according to expectations. Lessons learned from testing are built in the draft version of the standard.
- Some stakeholders are constantly consulted throughout the development and their feedback is built into the draft version of the standard (the stakeholder analysis and impact assessment provide input on whom and how to involve in development). At least some potential users not involved in the development of the standard should be consulted about the development of the standard.
- Testing, consultation and modifications made to the draft represent an iterative process. This ends when satisfaction is reached that the standard has developed an adequate solution to the problem being addressed.
- Issues raised during testing, consultation and development are documented.
- A summary report is produced to record the main findings during development and highlight any issues from the testing phase along with the outcome of the feedback received from stakeholders during development.
- A quality assessment is carried out for the final product to ensure its completeness, fitness for purpose and consistency with other ESS standards (the quality assessment can be either internal or external). The quality assessment is an attachment to the summary report.

B2. Implementation plan

- The implementation plan includes a dissemination plan, the design and development of the supporting instruments identified during 'Establishment of needs' required for the implementation of the standard and further support and how the maintenance of the standard will be organised in the future.
 - The dissemination plan contains how the standard and its supporting instruments will be disseminated (what channels, when, etc.). This plan is the basis for the actual dissemination that follows adoption. The dissemination plan also contains a communication plan ensuring that the information about the adoption of the standard is disseminated as widely as possible, especially to stakeholders.
 - The development of the supporting instruments is done in consultation with some stakeholders. Feedback received is built into the draft version of supporting instruments. At least some potential users not involved in the development of the standard should be consulted about the

development of supporting instruments. A summary report about the development of supporting instruments is produced and attached to the summary report of the development of the standard.

- Plans for maintenance cover what maintenance activities are planned and what and how periodic reviews will be carried out in the future.
- The implementation plan also contains the ambitions, intentions and planning of the Member States and Eurostat concerning the future implementation of the standard, as compiled in A4.
- The body responsible for development produces the implementation plan and discusses it with the permanent body for the ESS standardisation. As a result of the iterative process, if changes to the implementation plan are needed, they will be made.

B3. Advanced impact assessment

- An impact assessment is carried out in accordance with the ESS methodology for impact assessment.
- Advanced impact assessment includes all aspects (strategic, qualitative and quantitative) of the initiative, based on the initial impact assessment done in A2, to support the decision-making of the standardisation authority on adopting the concerned normative document as an ESS standard.

B4. Proposal on adoption

- This activity is aimed at producing a detailed proposal for the ESSC to make its decision on the adoption of the developed standard.
- The proposal details all the main stages of development and includes all the main questions and issues raised during the process along with the planned resolutions. The results from the testing of standards and feedback from consultation with stakeholders are also described in the proposal. It also outlines any key milestones along with risks, issues, dependencies and contingencies.
- The proposal contains an updated business case based on the advanced impact assessment, according to the ESS methodology for impact assessment, a detailed business case of dissemination and maintenance of the standard and the associated supporting instruments.
- When finalised, the proposal is sent to the permanent body for the ESS standardisation and an iterative process between the permanent body for the ESS standardisation and the body responsible for the compilation of the proposal begins. As a result of the iterative process, if changes to the proposal are needed, they will be made.

- The proposal describes the authority responsible for governance (owner and maintainer of the standard) and the body responsible for dissemination and establishes their duties.

C. ADOPTION

C1. Stakeholder consultation

- The body responsible for development presents the proposal on adoption to the stakeholders (including the results of the advanced impact assessment as in B3) in the form of a structured stakeholder consultation. The stakeholder analysis done on 'Establishment of needs' defines which stakeholders need to be consulted and which are to be informed only.
- The proposed governance (owner of the standard) is also discussed with the stakeholders.
- The aim is to make sure that the consensus requirement for standards is fulfilled.
- The stakeholder consultation ends with a report summarising the outcome of the stakeholder consultation. This summary should cover the degree of support for the standard and general recognition that due process has been respected. This report is attached to the proposal on adoption. The permanent body for the ESS standardisation is responsible for this report.

C2. Ratification

- Following the stakeholder consultation, the proposal on adoption (with the summary of stakeholder consultation in an attachment) is sent to the permanent body for the ESS standardisation and an iterative process between the permanent body for the ESS standardisation and the body responsible for the compilation of the proposal begins. As a result of the iterative process, if changes to the proposal are needed, they will be made.
- The permanent body for the ESS standardisation sends the final proposal to the ESSC with its statement attached to the proposal confirming that the development of the standard and stakeholder consultation was carried out according to the standardisation principles.
- The ESSC discusses the proposal and decides on the adoption of the developed standard, including the owner of the standard.
- Member States and Eurostat have to express their willingness to use the standard as foreseen in the business case and also the conditions and potential limiting factors on future use and implementation (reflections on initial statements made in 'Establishment of needs' – explanations are needed if the standard is not intended to be used).

D. DISSEMINATION & SUPPORT IMPLEMENTATION

D1. Dissemination of the ESS standard

- The ESS standard is disseminated according to the implementation plan.
- The ESS standard itself is no longer changed (only editorial changes are made, if necessary).

D2. Provision of support

- Supporting instruments developed in 'Development' are provided to stakeholders.
- The concerned supporting instruments are disseminated according to the implementation plan compiled in stage 'Development'.

D3. Monitoring use and implementation

- The owner of the ESS standard oversees the implementation of the ESS standard at national and European level and the application of the ESS standard within the domains for which it was created.
- The main problems faced during use or implementation are recorded.

D4. Conformity assessment

- Conformity assessments are carried out to identify the conformity of implementation in areas where the standard is intended to be used, focusing on processes and products.
- Lessons learned from conformity assessments are documented (added to the document produced in D3).
- The permanent body for the ESS standardisation coordinates the conformity assessment.

E. MAINTENANCE & REVIEW

E1. Maintenance of the ESS standard

- Maintenance activities are carried out according to the implementation plan compiled in stage 'Development'.
- Based on the outcome of the 'monitoring use and implementation' and 'conformity assessment', improvement actions are formulated and developments are carried out by the owner of the ESS standard in the form of follow-up actions to solve the problems with the ESS standard identified in D3 and D4.
- Follow-up actions are documented and are made available before periodic reviews.

E2. Review of the ESS standard

- Periodic review of the ESS standard is undertaken, taking place at regular intervals according to the implementation plan compiled in stage 'Development'.
- The purpose of this review is to identify if amendments to the ESS standard can still be done. The review also provides help to identify the needs for new standards when the old standard cannot be improved further.
- Although the review does not comprise an impact assessment, it necessarily involves impact considerations.
- The findings of periodic reviews are documented.

E3. Proposal on revision or withdrawal

- This activity is aimed at producing a detailed proposal for the ESSC to make its decision on revision or withdrawal of the ESS standard.
- The proposal contains the outcome of the E1 and E2 activities as basis for decisions made on revision or withdrawal.
- When finalised, the proposal is sent to the permanent body for the ESS standardisation and an iterative process between the permanent body for the ESS standardisation and the owner of the standard begins. As a result of the iterative process, if changes to the proposal are needed, they will be made.

E4. Approval of proposal on revision or withdrawal

- The permanent body for the ESS standardisation sends the final proposal to the ESSC with its statement attached to the proposal confirming that the phases 'Dissemination & Support implementation' and 'Maintenance & Review' were carried out according to the standardisation principles.
- The ESSC discusses the proposal and decides on revision or withdrawal of the ESS standard.
- In case of revision, the stage 'Establishment of needs' starts again.

Activity	Body (who is doing what)	Inventory of normative documents as...		Output produced	Impact Assessment (IA) connections
		Input	Output (something recorded in it)		
A1. Specification of the initiative	<p>Any professional body (Director Groups, Working Groups) can be responsible for specifying the initiative.</p> <p>The permanent body for the ESS standardisation reviews the „project brief“ and the stakeholder analysis documents and suggests modifications, if needed.</p>	<p>Analyse the inventory (to find gaps) thus it provides input for the specification of the initiative.</p> <p>Analyse the inventory to identify owners of similar or related normative documents as they could be potential stakeholders.</p> <p>Analyse the inventory to identify similar and related normative documents.</p>	-	<p>A „project brief“ document describing current and future needs (as a statement), the aim of the standard and a description of how the standard will satisfy needs.</p> <p>A separate document identifying different types of stakeholders and their involvement in the whole process.</p>	The stakeholder analysis will feed into the IA.
A2. Initial impact assessment	The permanent body for the ESS standardisation is	-	-	The „project brief“ updated with the outcome of the	Execution of IA in accordance with the ESS IA

Activity	Body (who is doing what)	Inventory of normative documents as...		Output produced	Impact Assessment (IA) connections
		Input	Output (something recorded in it)		
	responsible for the initial IA, but interacts with the professional body who specified the initiative (as in A1).			impact assessment.	methodology.
A3. Proposal on development	<p>The same body as for A1 produces the proposal and sends it to the permanent body for the ESS standardisation.</p> <p>The permanent body for the ESS standardisation receives the proposal and consults with the body responsible for the compilation of the proposal (making changes to the proposal, if</p>	-	-	A formal document for the ESSC for decision-making on the development of the standard.	The business case incorporates the results of the IA.

Activity	Body (who is doing what)	Inventory of normative documents as...		Output produced	Impact Assessment (IA) connections
		Input	Output (something recorded in it)		
	necessary).				
A4. Approval of proposal on development	<p>The permanent body for the ESS standardisation sends the document to the ESSC with a statement confirming that the phase 'Establishment of needs' was carried out according to the standardisation principles.</p> <p>The ESSC receives and discusses the proposal. If in favour, then the decision on responsibilities and resources for the standard development is made.</p> <p>Member States and</p>	-	<p>When decision is made to start the development of a new standard, it is registered in the inventory as 'candidate ESS standard'.</p>	<p>A statement produced by the permanent body for the ESS standardisation stating that the phase 'Establishment of needs' was carried out according to the standardisation principles (attachment to the formal proposal).</p> <p>The decision of the ESSC is documented.</p> <p>Willingness of Member States and Eurostat to use the</p>	-

Activity	Body (who is doing what)	Inventory of normative documents as...		Output produced	Impact Assessment (IA) connections
		Input	Output (something recorded in it)		
	Eurostat express their willingness in the use of the future standard and also the conditions and potential limiting factors to future use and implementation.			future standard is documented (in the Exchange of Views).	
B1. Drafting and testing	The body appointed for the development of the standard develops the draft version of the standard and produces the summary report (including the quality assessment).	-	-	A summary report (the main findings during development and any issues from the testing phase along with the outcome of feedback received from stakeholders during development). A quality assessment (attachment to the	Use is made of the stakeholder analysis.

Activity	Body (who is doing what)	Inventory of normative documents as...		Output produced	Impact Assessment (IA) connections
		Input	Output (something recorded in it)		
				summary report).	
B2. Implementation plan	The body appointed for the development develops the supporting instruments and a dissemination plan, in collaboration with the permanent body for the ESS standardisation.	-	-	A summary of the development of supporting instruments (attached to the summary report of the development of the standard). A dissemination plan.	Use is made of the stakeholder analysis. The implementation plan also informs the advanced IA.
B3. Advanced impact assessment	The permanent body for the ESS standardisation in collaboration with the body mentioned at B1.	-	-	Documentation of the outcome of the impact assessment.	Execution of the advanced IA in accordance with the ESS IA methodology.
B4. Proposal on adoption	The permanent body for the ESS standardisation in collaboration with the body mentioned at	-	-	A formal document for the ESSC for decision-making on the adoption of the standard.	The proposal incorporates the results of the advanced IA.

Activity	Body (who is doing what)	Inventory of normative documents as...		Output produced	Impact Assessment (IA) connections
		Input	Output (something recorded in it)		
	B1.				
C1. Stakeholder consultation	The permanent body for the ESS standardisation carries out the stakeholder consultation and prepares a summary in collaboration with the body mentioned at B1.	-	-	A summary of stakeholder consultation (attached to the proposal on adoption).	Use of the results of the stakeholder analysis.
C2. Ratification	The body responsible for development sends the proposal on adoption to the permanent body for the ESS standardisation (with the summary of the stakeholder consultation in an attachment).	-	The inventory description is updated (status changed to 'ESS standard' (if adopted) and information on the standard (owner, etc.) and supporting instruments is added).	A statement produced by the permanent body for the ESS standardisation stating that the development of the standard and stakeholder consultation was carried out according to the	-

Activity	Body (who is doing what)	Inventory of normative documents as...		Output produced	Impact Assessment (IA) connections
		Input	Output (something recorded in it)		
	<p>The permanent body for the ESS standardisation receives the proposal and consults with the body responsible for the compilation of the proposal (making changes if necessary).</p> <p>The permanent body for the ESS standardisation sends the document to the ESSC with a statement confirming that the development of the standard and stakeholder consultation was carried out according to the standardisation principles.</p>			<p>standardisation principles (attachment to the formal proposal).</p> <p>The decision of the ESSC is documented.</p>	

Activity	Body (who is doing what)	Inventory of normative documents as...		Output produced	Impact Assessment (IA) connections
		Input	Output (something recorded in it)		
	<p>The ESSC receives, discusses and decides on the proposal.</p> <p>If in favour, the standard is accepted as an ESS standard; the owner of the standard is appointed with resources made available for dissemination and maintenance activities.</p>				
D1. Dissemination of the ESS standard	The owner of the ESS standard disseminates the ESS standard.	-	-	-	-
D2. Provision of support	The owner of the ESS standard provides supporting instruments to stakeholders.	-	Keep the list of supporting instruments up-to-date.	-	-

Activity	Body (who is doing what)	Inventory of normative documents as...		Output produced	Impact Assessment (IA) connections
		Input	Output (something recorded in it)		
D3. Monitoring use and implementation	<p>The owner of the ESS standard does the monitoring.</p> <p>Member States and Eurostat record information in the inventory about the use of the ESS standard.</p>	-	Information about the use of the ESS standard is provided in the inventory by Member States and Eurostat.	A document describing the problems faced during use or implementation of the ESS standard is created and made available.	This provides input to the later periodic review (E2).
D4. Conformity assessment	Member States and Eurostat carry out a conformity assessment with the use and implementation of the ESS standard in their processes. The permanent body for the ESS standardisation has a coordinating role.	-	-	Lessons learned from the conformity assessment are added to the document created in D3.	This provides input to the later periodic review (E2).
E1. Maintenance of	The owner of the ESS	-	-	A summary report	This provides input

Activity	Body (who is doing what)	Inventory of normative documents as...		Output produced	Impact Assessment (IA) connections
		Input	Output (something recorded in it)		
the ESS standard	standard carries out maintenance activities.			of the follow-up actions taken.	to the later periodic review (E2).
E2. Review of the ESS standard	The owner of the ESS standard undertakes periodic reviews.	-	-	A summary report of periodic reviews.	The review includes impact considerations.
E3. Proposal on revision or withdrawal	The owner of the ESS standard produces the proposal and sends it to the permanent body for the ESS standardisation. The permanent body for the ESS standardisation receives the proposal and consults with the owner of the ESS standard (making changes if necessary).	-	-	A formal document for the ESSC for decision-making on revision or withdrawal of the ESS standard.	A proposal to revise a standard will also inform the IA of A2.
E4. Approval of proposal on	The permanent body for the ESS	-	When the decision is taken,	A statement produced by the	-

Activity	Body (who is doing what)	Inventory of normative documents as...		Output produced	Impact Assessment (IA) connections
		Input	Output (something recorded in it)		
revision or withdrawal	<p>standardisation sends the document to the ESSC with a statement confirming that the phases 'Dissemination & Support implementation' and 'Maintenance & Review' were carried out according to the standardisation principles.</p> <p>The ESSC receives and discusses the proposal. If in favour, then the decision on revision or withdrawal is taken.</p>		the status of the ESS standard is changed to 'revised' or 'withdrawn'.	<p>permanent body for the ESS standardisation indicating that the phases 'Dissemination & Support implementation' and 'Maintenance & Review' were carried out according to the standardisation principles (attachment to the formal proposal).</p> <p>The decision of the ESSC is documented.</p>	