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# ANNEXES

## ANNEX 1: Statement of the Resources Director

*I declare that in accordance with the Commission's communication on clarification of the responsibilities of the key actors in the domain of internal audit and internal control in the Commission<sup>1</sup>, I have reported my advice and recommendations to the Director-General on the overall state of internal control in the DG.*

*I hereby certify that the information provided in Section 2 of the present AAR and in its annexes is, to the best of my knowledge, accurate and exhaustive.*

Luxembourg, 29 March 2016

Signed

Pieter EVERAERS

Director

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<sup>1</sup> Communication to the Commission: Clarification of the responsibilities of the key actors in the domain of internal audit and internal control in the Commission; SEC(2003)59 of 21.01.2003.

## ANNEX 2: Human and financial resources

Human Resources by ABB activity				
Code ABB Activity	ABB Activity	Establishment Plan posts	External Personnel	Total
29 AWBL-01	Management of Eurostat	67	15	82
29 AWBL-02	Policy strategy and coordination for Eurostat	50	4	54
29 02	The European statistical programme	523	138	661
<b>Total</b>		<b>640</b>	<b>157</b>	<b>797</b>

General remark: the above data rely on the snapshot of Commission personnel actually employed in each DG/service as of 31 December of the reporting year. These data do not necessarily constitute full-time-equivalents throughout the year.

Financial Resources by ABB activity (EUR Million) implementation of Commitment Appropriations (CA)					
Code ABB Activity	ABB Activity	Operational expenditure*)	Administrative expenditure*)		Total
			(1)	(2)	
3403	Production of European Statistics	55.48	0.05	2.61	58.14
3480	Administrative support	0	3.44	0.25	3.69
3481	Policy strategy and coordination	0	0.02	0.00	0.02
Total		55.48	6.37		61.85

(1) Heading 5 appropriations managed by the DG (global envelope) 29 01 02

(2) BA lines (29 01 04) and, when relevant 29 01 05 and 29 01 06.

\*) Commitments L2 (sub-delegated and co-delegated excluded)

	Description	Appropriations (EUR)	Commitments (EUR)	Payments (EUR)	% Execution (on commitment appropriations)
29.010211.00	ESTAT	4.009			
29.010211.00.01.10	Missions	1.520.000	1.520.000	1.248.097	
29.010211.00.01.30	Representation costs	20.000	20.000	6.917	
29.010211.00.02.20	Meetings	1.500.000	1.500.000	1.168.858	
29.010211.00.02.40	Conferences	119.120	118.820	44.645	
29.010211.00.03	Committees	140.000	140.000	93.625	
29.010211.00.05	Development of management and information systems	-	-	-	
29.010211.00.06	trainings	214.234	209.443	61.786	
Total		3.517.363	3.508.263	2.623.928	99.74%

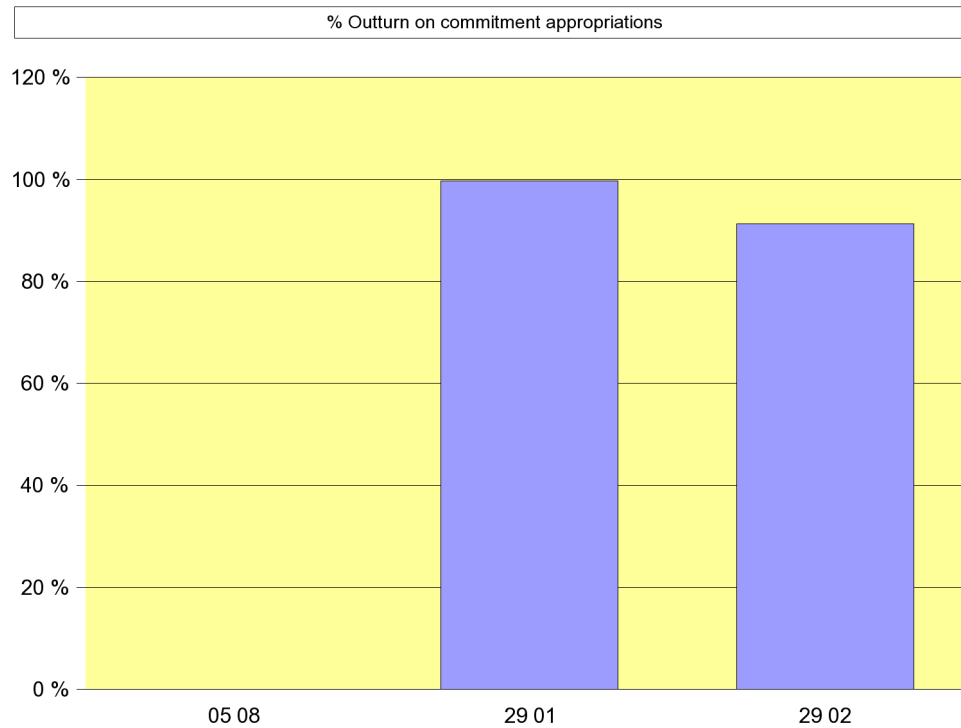
Remark: only C1 amounts.

**Annex 3 Financial Reports - DG ESTAT - Financial Year 2015****Table 1 : Commitments****Table 2 : Payments****Table 3 : Commitments to be settled****Table 4 : Balance Sheet****Table 5 : Statement of Financial Performance****Table 6 : Average Payment Times****Table 7 : Income****Table 8 : Recovery of undue Payments****Table 9 : Ageing Balance of Recovery Orders****Table 10 : Waivers of Recovery Orders****Table 11 : Negotiated Procedures (excluding Building Contracts)****Table 12 : Summary of Procedures (excluding Building Contracts)****Table 13 : Building Contracts****Table 14 : Contracts declared Secret**

**Additional comments**

TABLE 1: OUTTURN ON COMMITMENT APPROPRIATIONS IN 2015 (in Mio €)					
			Commitment appropriations authorised	Commitments made	%
			1	2	3=2/1
Title 29 Statistics					
29	29 01	Administrative expenditure of the 'Statistics' policy area	6,48	6,47	99,77 %
	29 02	The European statistical programme	63,96	58,38	91,28 %
<b>Total Title 29</b>			70,44	64,85	92,06%
<b>Total DG ESTAT</b>			70,44	64,85	92,06 %

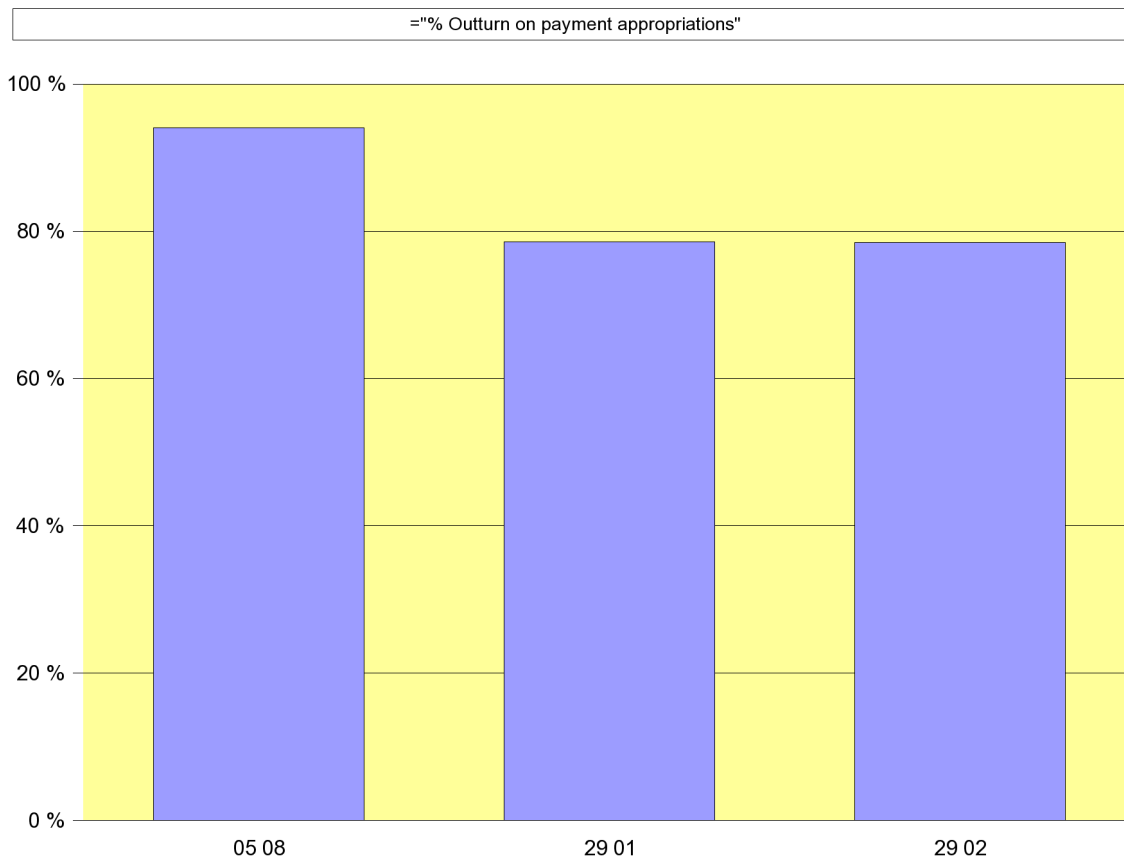
\* Commitment appropriations authorised include, in addition to the budget voted by the legislative authority, appropriations carried over from the previous exercise, budget amendments as well as miscellaneous commitment appropriations for the period (e.g. internal and external assigned revenue).



**TABLE 2: OUTTURN ON PAYMENT APPROPRIATIONS IN 2015 (in Mio €)**

Chapter		Payment appropriations authorised *	Payments made	%	
		1	2	3=2/1	
<b>Title 05 Agriculture and rural development</b>					
05	05 08	Policy strategy and coordination of the 'Agriculture and rural development' policy area	0,3	0,28	94,09 %
<b>Total Title 05</b>			0,3	0,28	94,09%
<b>Title 29 Statistics</b>					
29	29 01	Administrative expenditure of the 'Statistics' policy area	7,94	6,24	78,59 %
	29 02	The European statistical programme	53,92	42,32	78,47 %
<b>Total Title 29</b>			61,86	48,55	78,49%
<b>Total DG ESTAT</b>			62,16	48,84	78,56 %

\* Payment appropriations authorised include, in addition to the budget voted by the legislative authority, appropriations carried over from the previous exercise, budget amendments as well as miscellaneous payment appropriations for the period (e.g. internal and external assigned revenue).

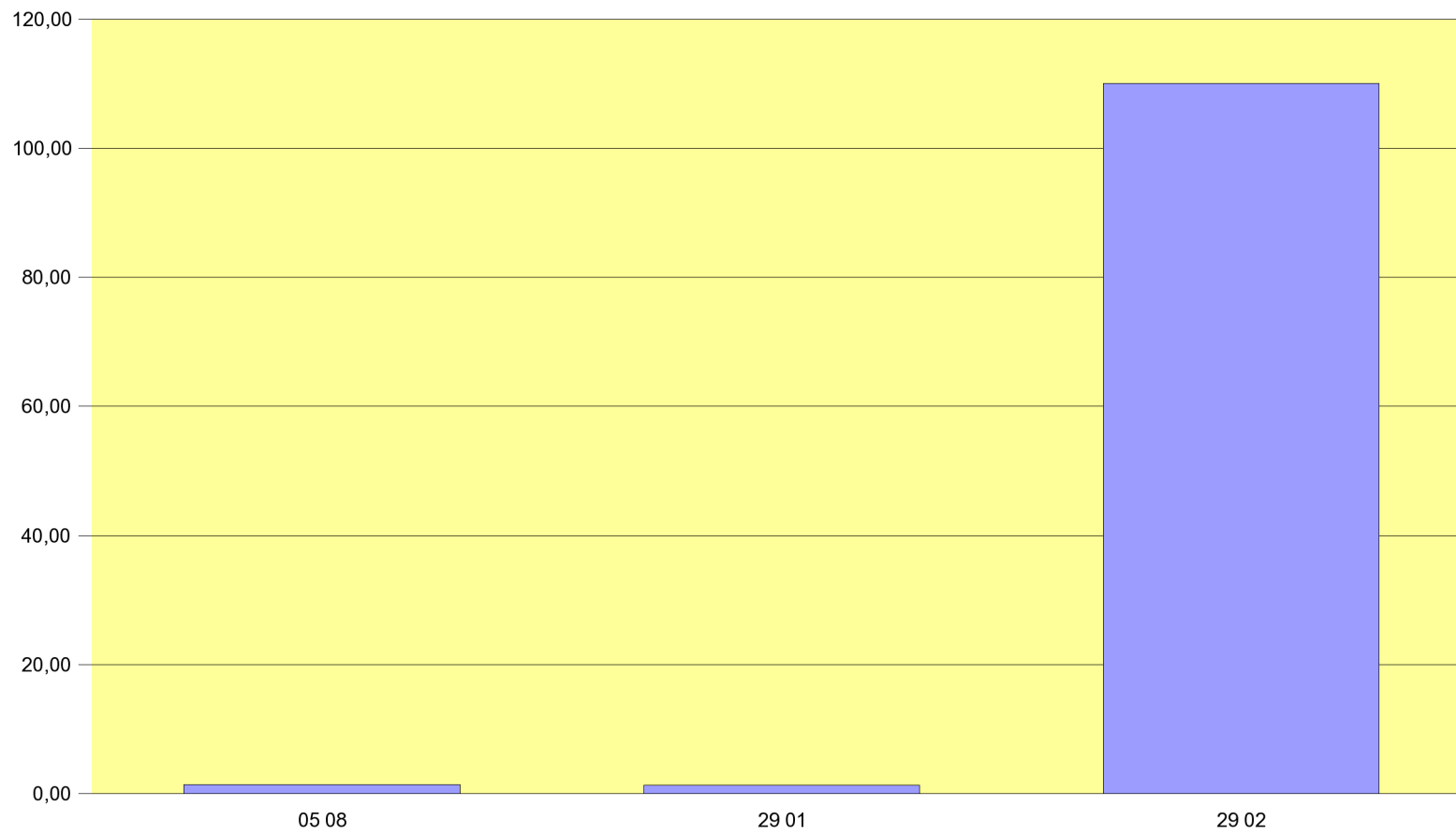


**TABLE 3 : BREAKDOWN OF COMMITMENTS TO BE SETTLED AT 31/12/2015 (in Mio €)**

Chapter			2015 Commitments to be settled				Commitments to be settled from financial years previous to 2015	Total of commitments to be settled at end of financial year 2015 (incl corrections)	Total of commitments to be settled at end of financial year 2014(incl. corrections)
			Commitments 2015	Payments 2015	RAL 2015	% to be settled			
			1	2	3=1-2	4=1-2/1	5	6=3+5	7
<b>Title 05 : Agriculture and rural development</b>									
05	05 08	Policy strategy and coordination of the 'Agriculture and rural development' policy area	0	0,00	0	#DIV/0	1,42	1,42	1,70
<b>Total Title 05</b>			0	0,00	0	#DIV/0	1,42	1,42	1,7
<b>Title 29 : Statistics</b>									
29	29 01	Administrative expenditure of the 'Statistics' policy area	6,45	5,15	1,3	20,10 %	0,00	1,30	1,45
	29 02	The European statistical programme	58,38	1,94	56,44	96,67 %	53,59	110,03	99,86
<b>Total Title 29</b>			64,83	7,10	57,74	89,06%	53,59	111,33	101,31
<b>Total DG ESTAT</b>			64,83	7,10	57,74	89,06 %	55,01	112,74	103,01

Note : The figures are those related to the provisional accounts and not yet audited by the Court of Auditors

= "Breakdown of Commitments remaining to be settled (in Mio EUR)"



Note : The figures are those related to the provisional accounts and not yet audited by the Court of Auditors

**TABLE 4 : BALANCE SHEET**

<b>BALANCE SHEET</b>	<b>2015</b>	<b>2014</b>
A.I. NON CURRENT ASSETS	0	
A.I.2. Property, plant and equipment	0,00	
A.II. CURRENT ASSETS	-3.707.364,39	-1.072.753,4
A.II.2. Current Pre-Financing	-3.712.259,59	-1.072.753,40
A.II.4. Exchange Receivables	-4.389,77	0,00
A.II.5. Non-Exchange Receivables	9.284,97	0,00
<b>ASSETS</b>	<b>-3.707.364,39</b>	<b>-1.072.753,4</b>
P.III. CURRENT LIABILITIES	-51.006.034,12	-50.191.581,26
P.III.4. Accounts Payable	-7.241.966,64	-6.427.513,78
P.III.5. Accrued charges and deferred income	-43.764.067,48	-43.764.067,48
<b>LIABILITIES</b>	<b>-51.006.034,12</b>	<b>-50.191.581,26</b>
<b>NET ASSETS (ASSETS less LIABILITIES)</b>	<b>-54.713.398,51</b>	<b>-51.264.334,66</b>
P.I.2. Accumulated Surplus / Deficit	136.621.544,25	70.087.154,77
Non-allocated central (surplus)/deficit*	-81.908.145,74	-18.822.820,11
<b>TOTAL</b>	<b>0,00</b>	<b>0,00</b>

It should be noted that the balance sheet and statement of financial performance presented in Annex 3 to this Annual Activity Report, represent only the assets, liabilities, expenses and revenues that are under the control of this Directorate General. Significant amounts such as own resource revenues and cash held in Commission bank accounts are not included in this Directorate General's accounts since they are managed centrally by DG Budget, on whose balance sheet and statement of financial performance they appear. Furthermore, since the accumulated result of the Commission is not split amongst the various Directorates General, it can be seen that the balance sheet presented here is not in equilibrium.

Additionally, the figures included in tables 4 and 5 are provisional since they are, at this date, still subject to audit by the Court of Auditors. It is thus possible that amounts included in these tables may have to be adjusted following this audit.

**TABLE 5 : STATEMENT OF FINANCIAL PERFORMANCE**

<b>STATEMENT OF FINANCIAL PERFORMANCE</b>	<b>2015</b>	<b>2014</b>
<b>II.1 REVENUES</b>	<b>-2.743.561,59</b>	<b>-3.188.889,81</b>
II.1.1. NON-EXCHANGE REVENUES	-3.902.058,23	-3.876.550,82
II.1.1.5. RECOVERY OF EXPENSES	-42.717,23	-2.207,82
II.1.1.6. OTHER NON-EXCHANGE REVEN	-3.859.341,00	-3.874.343,00
II.1.2. EXCHANGE REVENUES	1.158.496,64	687.661,01
II.1.2.2. OTHER EXCHANGE REVENUE	1.158.496,64	687.661,01
<b>II.2. EXPENSES</b>	<b>73.884.530,27</b>	<b>69.723.279,29</b>
II.2. EXPENSES	73.884.530,27	69.723.279,29
II.2.10. OTHER EXPENSES	15.451.087,62	20.268.850,79
II.2.2. EXP IMPL BY COMMISS&EX.AC	58.299.436,20	53.466.964,51
II.2.4. EXP IMPL BY 3RD CNTR & INT OR	133.186,51	368.635,55
II.2.6. STAFF AND PENSION COSTS		-4.381.615,00
II.2.8. FINANCE COSTS	819,94	443,44
<b>STATEMENT OF FINANCIAL PERFORMANCE</b>	<b>71.140.968,68</b>	<b>66.534.389,48</b>

*Explanatory Notes (facultative):*

*Please enter the text directly (no copy/paste of formatted text which would then disappear when saving the document in pdf), use \\\"ctrl+enter\\\" to go to the next line and \\\"enter\\\" to validate your typing.*

It should be noted that the balance sheet and statement of financial performance presented in Annex 3 to this Annual Activity Report, represent only the assets, liabilities, expenses and revenues that are under the control of this Directorate General. Significant amounts such as own resource revenues and cash held in Commission bank accounts are not included in this Directorate General's accounts since they are managed centrally by DG Budget, on whose balance sheet and statement of financial performance they appear. Furthermore, since the accumulated result of the Commission is not split amongst the various Directorates General, it can be seen that the balance sheet presented here is not in equilibrium.

Additionally, the figures included in tables 4 and 5 are provisional since they are, at this date, still subject to audit by the Court of Auditors. It is thus possible that amounts included in these tables may have to be adjusted following this audit.

**TABLE 6: AVERAGE PAYMENT TIMES FOR 2015 - DG ESTAT**

<b>Legal Times</b>							
<b>Maximum Payment Time (Days)</b>	<b>Total Number of Payments</b>	<b>Nbr of Payments within Time Limit</b>	<b>Percentage</b>	<b>Average Payment Times (Days)</b>	<b>Nbr of Late Payments</b>	<b>Percentage</b>	<b>Average Payment Times (Days)</b>
30	890	754	84,72 %	18,94	136	15,28 %	39,03
45	11	11	100,00 %	20,27			
50	1	1	100,00 %	32			
60	178	171	96,07 %	28,18	7	3,93 %	69,29
75	26	26	100,00 %	32,77			
90	279	268	96,06 %	43,41	11	3,94 %	109,91

<b>Total Number of Payments</b>	<b>1385</b>	<b>1231</b>	<b>88,88 %</b>		<b>154</b>	<b>11,12 %</b>	
<b>Average Payment Time</b>	<b>28,05</b>			<b>25,87</b>			<b>45,47</b>

<b>Target Times</b>							
<b>Target Payment Time (Days)</b>	<b>Total Number of Payments</b>	<b>Nbr of Payments within Target Time</b>	<b>Percentage</b>	<b>Average Payment Times (Days)</b>	<b>Nbr of Late Payments</b>	<b>Percentage</b>	<b>Average Payment Times (Days)</b>
20	36	31	86,11 %	10,35	5	13,89 %	35
30	267	233	87,27 %	19,15	34	12,73 %	37,47
60	25	24	96,00 %	30,96	1	4,00 %	67
75	126	113	89,68 %	39,33	13	10,32 %	99,23

<b>Total Number of Payments</b>	<b>454</b>	<b>401</b>	<b>88,33 %</b>		<b>53</b>	<b>11,67 %</b>	
<b>Average Payment Time</b>	<b>28,14</b>			<b>24,86</b>			<b>52,94</b>

<b>Suspensions</b>							
<b>Average Report Approval Suspension Days</b>	<b>Average Payment Suspension Days</b>	<b>Number of Suspended Payments</b>	<b>% of Total Number</b>	<b>Total Number of Payments</b>	<b>Amount of Suspended Payments</b>	<b>% of Total Amount</b>	<b>Total Paid Amount</b>
1	49	121	8,74 %	1385	12.854.913,40	17,81 %	72.181.688,67

Note : The figures are those related to the provisional accounts and not yet audited by the Court of Auditors

<b>Late Interest paid in 2015</b>			
<b>DG</b>	<b>GL Account</b>	<b>Description</b>	<b>Amount (Eur)</b>
ESTAT	65010100	Interest on late payment of charges New FR	819,94
			<b>819,94</b>

**TABLE 7 : SITUATION ON REVENUE AND INCOME IN 2015**

Chapter		Revenue and income recognized			Revenue and income cashed from			Outstanding balance
		Current year RO	Carried over RO	Total	Current Year RO	Carried over RO	Total	
		1	2	3=1+2	4	5	6=4+5	
50	PROCEEDS FROM THE SALE OF MOVABLE AND IMMOVABLE PROPERTY	2.651,14	0	2.651,14	2.651,14	0	2.651,14	0
57	OTHER CONTRIBUTIONS AND REFUNDS IN CONNECTION WITH THE ADMINISTRATIVE OPERATION OF THE INSTITUTION	117.562	0	117.562	108.781,91	0	108.781,91	8.780,09
60	CONTRIBUTIONS TO UNION PROGRAMMES	3.859.341	0	3.859.341	3.859.341	0	3.859.341	0
66	OTHER CONTRIBUTIONS AND REFUNDS	169.417,5	0	169.417,5	169.417,5	0	169.417,5	0
<b>Total DG ESTAT</b>		<b>4.148.971,64</b>	<b>0</b>	<b>4.148.971,64</b>	<b>4.140.191,55</b>	<b>0</b>	<b>4.140.191,55</b>	<b>8.780,09</b>

Note : The figures are those related to the provisional accounts and not yet audited by the Court of Auditors

Annex 3 Financial Reports - DG ESTAT  
Report printed on 04/03/2016

**TABLE 8 : RECOVERY OF PAYMENTS**  
**(Number of Recovery Contexts and corresponding Transaction Amount)**

INCOME BUDGET RECOVERY ORDERS ISSUED IN 2015  Year of Origin (commitment)	Error		Irregularity		Total undue payments recovered		Total transactions in recovery context (incl. non-qualified)		% Qualified/Total RC	
	Nbr	RO Amount	Nbr	RO Amount	Nbr	RO Amount	Nbr	RO Amount	Nbr	RO Amount
<b>2009</b>	1	3.466,67	1	29.525,48	2	32.992,15	2	32.992,15	100,00%	100,00%
<b>2010</b>	2	9.657,57	1	8.847,6	3	18.505,17	3	18.505,17	100,00%	100,00%
<b>2012</b>	1	5.186,51			1	5.186,51	5	227.355,68	20,00%	2,28%
<b>No Link</b>	1	8.126,5			1	8.126,50	1	8.126,50	100,00%	100,00%
<b>Sub-Total</b>	<b>5</b>	<b>26.437,25</b>	<b>2</b>	<b>38.373,08</b>	<b>7</b>	<b>64.810,33</b>	<b>11</b>	<b>286.979,50</b>	<b>63,64%</b>	<b>22,58%</b>

EXPENSES BUDGET	Error		Irregularity		OLAF Notified		Total undue payments recovered		Total transactions in recovery context (incl. non-qualified)		% Qualified/Total RC	
	Nbr	Amount	Nbr	Amount	Nbr	Amount	Nbr	Amount	Nbr	Amount	Nbr	Amount
INCOME LINES IN INVOICES												
NON ELIGIBLE IN COST CLAIMS	32	282.143,45					32	282.143,45	41	319.318,66	78,05%	88,36%
CREDIT NOTES	36	1.015.321,11					36	1.015.321,11	58	2.217.173,41	62,07%	45,79%
<b>Sub-Total</b>	<b>68</b>	<b>1.297.464,56</b>					<b>68</b>	<b>1.297.464,56</b>	<b>99</b>	<b>2.536.492,07</b>	<b>68,69%</b>	<b>51,15%</b>
<b>GRAND TOTAL</b>	<b>73</b>	<b>1.323.901,81</b>	<b>2</b>	<b>38.373,08</b>			<b>75</b>	<b>1.362.274,89</b>	<b>110</b>	<b>2.823.471,57</b>	<b>68,18%</b>	<b>45,95%</b>

Note : The figures are those related to the provisional accounts and not yet audited by the Court of Auditors. The provisional closure will be based on the recovery context situation at 31/01/2016.

**TABLE 9: AGEING BALANCE OF RECOVERY ORDERS AT 31/12/2015 FOR ESTAT**

	<b>Number at 01/01/2015</b>	<b>Number at 31/12/2015</b>	<b>Evolution</b>	<b>Open Amount (Eur) at 01/01/2015</b>	<b>Open Amount (Eur) at 31/12/2015</b>	<b>Evolution</b>
2015		1			8.780,09	
		1			8.780,09	

**TABLE 10 : RECOVERY ORDER WAIVERS IN 2015 >= EUR 100.000**

	<b>Waiver Central Key</b>	<b>Linked RO Central Key</b>	<b>RO Accepted Amount (Eur)</b>	<b>LE Account Group</b>	<b>Commission Decision</b>	<b>Comments</b>

<b>Total DG</b>	
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<b>Number of RO waivers</b>	
-----------------------------	--

*Justifications:*

*Please enter the text directly (no copy/paste of formatted text which would then disappear when saving the document in pdf), use "ctrl+enter" to go to the next line and "enter" to validate your typing.*

**TABLE 11 : CENSUS OF NEGOTIATED PROCEDURES - DG ESTAT - 2015****Procurement > EUR 60,000**

<b>Negotiated Procedure Legal base</b>	<b>Number of Procedures</b>	<b>Amount (€)</b>
Art. 134.1(b)	4	962.922,92
Art. 134.1(e)	4	445.141,08
<b>Total</b>	<b>8</b>	<b>1.408.064,00</b>

**TABLE 12 : SUMMARY OF PROCEDURES OF DG ESTAT EXCLUDING BUILDING CONTRACTS**

<b>Internal Procedures &gt; € 60,000</b>			
	<b>Procedure Type</b>	<b>Count</b>	<b>Amount (€)</b>
Proced ures >	Exceptional Negotiated Procedure without publication of a contract notice (Art. 134 RAP)	8	1.408.064,00
	Open Procedure (Art. 127.2 RAP)	30	13.952.608,52
	Restricted Procedure (Art. 127.2 RAP)	2	12.187.477,00
	<b>TOTAL</b>	<b>40</b>	<b>27.548.149,52</b>

### **Additional comments**

**In 2015, the number of negotiated procedures according to Art 134 of the Financial Regulation has increased quite significantly compared to 2014 (19% of total number of procurement procedures compared to 5% in 2014). This substantial rise is mainly explained by the necessity to launch four negotiated procedures for additional services (Art 134(e)) related to a sole call for tenders, the LUCAS 2015 survey, composed by several lots for different geographic areas (one negotiated procedure per lot). During the implementation of the contracts, some new requirements became apparent in order to obtain usable results. The four others negotiated procedures were awarded to particular economic operator due the specificity of the subject of the contract in accordance with Art 134 (b) of the Financial Regulation.**

**TABLE 13 : BUILDING CONTRACTS**

<b>Total number of contracts :</b>	
<b>Total amount :</b>	

<b>Legal base</b>	<b>Contract Number</b>	<b>Contractor Name</b>	<b>Description</b>	<b>Amount (€)</b>

**No data to be reported**

**TABLE 14 : CONTRACTS DECLARED SECRET**

<b>Total Number of Contracts :</b>	
<b>Total amount :</b>	

<b>Legal base</b>	<b>Contract Number</b>	<b>Contractor Name</b>	<b>Type of contract</b>	<b>Description</b>	<b>Amount (€)</b>

**No data to be reported**

## **ANNEX 4:      Materiality criteria**

In order to identify material weaknesses that need to be disclosed on the declaration of the AOD, Eurostat has taken into account the following qualitative and quantitative criteria, assessing whether the weakness is significant and should lead to the reporting of a reservation.

Qualitative criteria for defining significant weaknesses:

In assessing materiality, Eurostat took account of a number of qualitative criteria:

- The nature, scope and duration of the weakness;
- The level of sensitivity;
- Reputational risk;
- The level of evidence available from ex post control work to be confident of providing the necessary assurances;
- Whether the risk concerns a major point by the Court of Auditors;
- Whether the risk concerns a major point raised by the IAS;
- Measures already taken or in place to address the situation.

Quantitative criteria for defining significant weaknesses:

The Commission Communication (COM (2003) 28 final) from 21.1.2003 provides in its annex guidelines covering inter alia the concept of materiality. These guidelines propose an indicative materiality threshold of 2%:

"The quantitative materiality threshold is 2%, i.e. when the amount of the transaction (in the broad sense) affected by the deficiency represents more than 2% of the budget allocated to the ABB activity of the service concerned." According to the guidelines DGs may deviate from the threshold of 2% if they deem that the nature of the risks and controls, based on the DG's assessment of the risk and control environment in which the DG operates, makes the standard threshold inappropriate.

## ANNEX 5: Internal Control Template(s) for budget implementation (ICTs)

### GRANTS – Direct management

#### Stage 1 – Programming, evaluation and selection of proposals

##### A - Preparation, adoption and publication of the Annual Work Programme and Calls for proposals

**Main control objectives:** Ensuring that the Commission selects the proposals that contribute the most towards the achievement of the policy or programme objectives (effectiveness); Compliance (legality & regularity); Prevention of fraud (anti-fraud strategy)

Main risks <i>It may happen (again) that...</i>	Mitigating controls	How to determine coverage, frequency and depth	How to estimate the costs and benefits of controls	Control indicators
<p>The annual work programme and the subsequent invitations to submit proposals do not adequately reflect the policy objectives, priorities, are incoherent and/or the essential eligibility, selection and award criteria are not adequate to ensure the evaluation of the proposals.</p>	<p>Hierarchical validation within the authorising department. Inter-service consultation, including all relevant DGs. Adoption by the Commission. Explicit allocation of responsibility to individual officials reflecting the programming circuits. Checklist based verification for invitations to submit proposals. Implementation of antifraud strategy.</p>	<p><b>Coverage:</b> 100% projects included in AWP. 100% of invitations to submit proposals. <b>Depth:</b> In-depth analyses of the projects, including financial aspects. Checklist (proposals) includes a list of the requirements of the regulatory provisions identified.</p>	<p><b>Costs:</b> estimation of cost of staff involved in the preparation and validation of the annual work programme and launch of calls: (in EUR) <b>Benefits:</b> number of financial and/or technical modifications requested out of total number of invitations</p>	<p><b>Effectiveness:</b> Number of control failures: number of exceptions (in EUR ) Number of invitations for proposals<sup>1</sup> successfully concluded/number of invitations for proposals planned in the MP/WP (%) % total number of awards/total call for proposal <b>Efficiency:</b> Average cost of preparation, adoption and publishing an annual work programme: (in EUR) Average cost of a call: (in EUR) No benchmarks or evolution over time is available.</p>

<sup>1</sup> According to Article 5 of Regulation (EC) No 223/2009, NSIs and other national authorities responsible for the development, production and dissemination of European statistics as designated by Member States may receive grants without a call for proposals in accordance with Article 168(1)(d) of Regulation (EC, Euroatom) No 2342/2002. They receive invitations to submit proposals.

**B - Selecting and awarding: Evaluation, ranking and selection of proposals**

**Main control objectives:** Ensuring that the most promising projects for meeting the policy objectives are among (a good balance of) the proposals selected (effectiveness); Compliance (legality & regularity); Prevention of fraud (anti-fraud strategy)

Main risks <i>It may happen (again) that...</i>	Mitigating controls	How to determine coverage, frequency and depth	How to estimate the costs and benefits of controls	Control indicators
<p>The evaluation of proposals is not carried out in accordance with the established procedures, the policy objectives, priorities and/or the essential eligibility, or with the selection and award criteria defined in the annual work programme and subsequent invitations to submit proposals.</p>	<p>Assignment of evaluation committee including, when necessary, members from sub-delegating DGs</p> <p>Assessment by the evaluation committee.</p> <p>Hierarchical validation according to financial circuits.</p> <p>Checklists based verification (evaluation and award) ensuring compliance with the regulatory framework.</p> <p>Implementation of antifraud strategy.</p>	<p>100% of proposals were evaluated.</p> <p>The received applications were analysed from a technical point of view and from a budgetary point of view.</p> <p>Coverage: 100% of ranked list of proposals. Supervision of work of evaluators.</p> <p>100% in-depth evaluation of technical and budgetary aspects.</p>	<p><b>Costs:</b> estimation of cost of staff involved in the evaluation and selection of proposals: (in EUR)</p> <p><b>Benefits:</b> non award (from number of awards): (in EUR)</p> <p>Number of financial and/or technical modifications made / out of total number</p> <p>Amount awarded (in EUR) on total amount of invitations (calls) (in EUR)</p>	<p><b>Effectiveness:</b> Number of control failures: number of exceptions (in EUR )</p> <p><b>Efficiency Indicators:</b> total (average) annual cost of evaluation process compared with benefits (ratio): in EUR vs. in EUR (non-award)</p> <p>Average cost per award (=commitments): (in EUR)</p> <p>Cost (in EUR) over annual amount disbursed (in EUR) = %</p> <p>Average time to inform applicants: number of months vs. number of months foreseen in the FR 2012</p>

**Stage 2 - Contracting:** Transformation of selected proposals into legally binding grant agreements

**Main control objectives:** Ensuring that the actions and funds allocation is optimal (best value for public money; effectiveness, economy, efficiency); Compliance (legality & regularity); Prevention of fraud (anti-fraud strategy)

<b>Main risks</b> <i>It may happen (again) that...</i>	<b>Mitigating controls</b>	<b>How to determine coverage, frequency and depth</b>	<b>How to estimate the costs and benefits of controls</b>	<b>Control indicators</b>
<p>The description of the action in the grant agreement includes tasks which do not contribute to the achievement of the programme objectives and/or that the budget foreseen overestimates the costs necessary to carry out the action. Procedures do not comply with regulatory framework.</p>	<p>Hierarchical validation according to financial circuits. Signature of the grant agreement by the AO. Checklists based verification (operational and financial) ensuring compliance with the regulatory framework. Regular accounting controls are carried out. Implementation of antifraud strategy.</p>	<p>100% of the selected proposals are scrutinised. Coverage: 100% of draft grant agreements.</p>	<p><b>Costs:</b> estimation of cost of staff involved in the contracting process: (in EUR) <b>Benefits:</b> number of financial and technical modifications requested on draft grant agreements and/or commitments out of total number</p>	<p><b>Effectiveness:</b> Number of exceptions/non-compliances:  <b>Efficiency Indicators:</b> Average cost per commitments: (in EUR)  Time-to-Grant (average time to sign grant agreements): number of months vs. number of months foreseen in the FR 2012</p>

**Stage 3 - Monitoring the execution.** This stage covers the monitoring the operational, financial and reporting aspects related to the project and grant agreement

**Main control objectives:** ensuring that the operational results (deliverables) from the projects are of good value and meet the objectives and conditions (effectiveness & efficiency); ensuring that the related financial operations comply with regulatory and contractual provisions (legality & regularity); prevention of fraud (anti-fraud strategy); ensuring appropriate accounting of the operations (reliability of reporting, safeguarding of assets and information)

Main risks <i>It may happen (again) that...</i>	Mitigating controls	How to determine coverage, frequency and depth	How to estimate the costs and benefits of controls	Control indicators
<p>The actions foreseen are not, totally or partially, carried out in accordance with the technical description and requirements foreseen in the grant agreement and/or the amounts paid exceed that due in accordance with the applicable contractual and regulatory provisions.</p>	<p>Operational and financial checks, based on checklists, in accordance with the financial circuits ensuring compliance with the regulatory framework.</p> <p>Operation authorisation by the AO.</p> <p>Reinforced ex-ante controls carried out:</p> <p>A sample of requests of payment was randomly selected for reinforced ex-ante controls (about 4% of the payment requests (in number) in 2013).</p> <p>Risk-based coverage: the high-risk population was covered in-depth controls, carried out ex-ante.</p> <p>Use of standard excel template for contribution calculations.</p> <p>Regular follow-up of payment delays.</p> <p>Regular accounting controls are carried out.</p> <p>Implementation of antifraud strategy.</p>	<p>100% of the projects are controlled, including only value-adding checks.</p> <p>100% coverage by ex-ante control of each payment request.</p> <p>Reinforced ex-ante controls:</p> <p>Sample based: about 4.6% of the payment requests (in number) were covered by random sampling (14 beneficiaries).</p> <p>Risk based: transactions of 6 beneficiaries representing nearly 3% of total payments (in value) were covered.</p>	<p><b>Costs:</b> estimation of cost of staff involved in the actual management of running projects and payment: (in EUR)</p> <p>Amount of audit certificates co-financed via grants: (in EUR) (external assurance)</p> <p><b>Benefits:</b> budget value of the costs claimed by the beneficiary, but rejected by the project officers and financial controls: (in EUR)</p>	<p><b>Effectiveness:</b></p> <p>Number of projects with cost claim errors out of number of grants (in %)</p> <p>Number of exceptions/non-compliances:</p> <p>Budget amount of the cost items rejected : (in EUR) (in % weight from total payments)</p> <p><b>Efficiency Indicators:</b> Cost/benefit ratio, average cost per project (financial control): (in EUR)</p> <p>% cost of control over annual amount disbursed (paid): in %</p> <p>Time-to-payment: in% (number) corresponding to in % (value) are paid within contractual deadlines</p> <p>% of payment consumption in % (grants and procurements)</p>

## Stage 4 - Ex post controls

### A - Reviews, audits and monitoring

**Main control objectives:** Measuring the effectiveness of ex-ante controls by ex post controls; detect and correct any error or fraud remaining undetected after the implementation ex-ante controls (legality & regularity; anti-fraud strategy); addressing systemic weaknesses in the ex-ante controls, based on the analysis of the findings (sound financial management); Ensuring appropriate accounting of the recoveries to be made (reliability of reporting, safeguarding of assets and information)

Main risks <i>It may happen (again) that...</i>	Mitigating controls	How to determine coverage, frequency and depth	How to estimate the costs and benefits of controls	Control indicators
Ex-ante controls (as such) fail to prevent, detect and correct erroneous payments or attempted fraud.	Multi-annual ex post control strategy: Carry out audits or desk-reviews of a risk based sample of operations to determine effectiveness of ex-ante controls (+ consider ex post findings for improving the ex-ante controls). Integration of fraud-related elements in the risk assessment. Validate audit results with beneficiary If needed: referring the beneficiary or grant to OLAF	Risk-based sample, determined in accordance with the selected risk criteria, aimed to maximise error correction (either higher amounts or expected error rate).	<b>Costs:</b> Cost of staff involved in the coordination and execution of the audit strategy: (in EUR) Cost of the appointment of audit firms for the outsourced audits:(in EUR) Cost of audit firms for the outsourced audits: (in EUR) <b>Benefits:</b> Budget value of the errors detected by the auditors: (in EUR)	<b>Effectiveness:</b> Detected error rate: in % Amount of errors concerned: (EUR) Number of fraud-related audit observations: <b>Efficiency:</b> Total annual cost of audits compared with benefits (ratio): → Cost of ex post control (in EUR) / value of grants audited (in EUR)
Ex post controls focus on the detection of external errors (e.g. made by beneficiaries) and do not consider any internal errors made by staff or embedded systematically in the own organisation	Simplification based on Art. 5 from Regulation EC 223/2009 of 11.03.2009: no calls for proposal Training dedicated to staff embedded in grants process Yearly risk-analysis Supervision of the verification process by a team leader Exceptions / non-compliance register	Coverage: Beneficiaries of article 5 from Regulation 223/2009.  Depth: Main actors of the grant process.	<b>Costs:</b> Included in indirect costs <b>Benefits:</b> creation of a less risky environment.	<b>Effectiveness:</b> Amounts being recovered and offset <b>Efficiency:</b> Time-To-Recover <b>Cost-effectiveness:</b> % cost of control for all stages over annual amount disbursed in grants:

**B - Implementing results from ex post audits/controls**

**Main control objectives:** Ensuring that the (audit) results from the ex post controls lead to effective recoveries (legality & regularity; anti-fraud strategy); Ensuring appropriate accounting of the recoveries made (reliability of reporting)

Main risks <i>It may happen (again) that...</i>	Mitigating controls	How to determine coverage, frequency and depth	How to estimate the costs and benefits of controls	Control indicators
Errors, irregularities and cases of fraud detected are not addressed or not addressed timely	Systematic registration of audit / control results to be implemented. Financial operational validation of recovery in accordance with financial circuits. Authorisation by AO	Coverage: 100% of final audit results <i>with a financial impact</i> . Extension of the findings of systemic errors into corrections of non-audited projects by the same beneficiary.	<p><b>Costs:</b> Cost of staff involved in the implementation of the audit results: (in EUR)</p> <p><b>Benefits:</b> Budget value of the errors, detected by ex post controls, which have actually been corrected (offset or recovered): (in EUR)</p> <p><b>Loss:</b> Budget value of such ROs which are 'waived' or have to be cancelled:</p>	<p><b>Effectiveness:</b> Number/value of audit results failed implementation:</p>

## PROCUREMENTS (including BA budget) - Direct management

### Stage 1 – Procurement

#### A - Planning

**Main control objectives:** Ensuring that the decision to tender is optimal

Main risks <i>It may happen (again) that...</i>	Mitigating controls	How to determine coverage, frequency and depth *	How to estimate the costs and benefits of controls	Control indicators
The needs are not well defined (operationally and economically) and that the decision to procure was inappropriate Discontinuation of the services provided due to a late contracting	Publication of intended procurements / Work programme	Coverage: 100% Depth*: Level 2	<b>Costs:</b> FTE linked to operational unit + central unit: (in EUR)  <b>Benefits (qualitative):</b> No litigation, compliance	Total contract value / cost of control planning phase : (in EUR) / (in EUR) = (in EUR)
	Approval (and follow-up) of Work Program and Financing Decision by DM	Coverage: 100% Depth*: Level 2		Cost of control planning phase / number of procedures closed during the year: (in EUR) / = (in EUR) per procedure  Exceptions & non-compliances / total number of commitments: number of exceptions triggered by non-compliance / number of commitments = (in EUR)

**NB: for all controls, information in particular financial information related to inputs / outputs and follow-up should be collected**

\*Depth: (definition of levels)

1. Minimal administrative / arithmetic control with no reference to supporting documents reference to underlying documents.
2. Control with reference to corroborative information incorporating an element of independent oversight (e.g. audit certificate or other verification), but no reference to underlying documents.
3. Control with reference to fully independent corroborative information (e.g. database which justifies certain elements of the claim, 3rd party or Commission assessment of milestones achieved, etc.)
4. Control with reference to and including access to the underlying documentation available at the stage of the process in question, for all inputs and outputs (e.g. timesheets, invoices, physical verification, etc.); i.e. control of the same intensity of transaction testing as those carried out by the ECA as part of the DAS

**B - Needs assessment & definition of needs**

**Main control objectives:** Ensuring that the call for tender is optimally done

Main risks <i>It may happen (again) that...</i>	Mitigating controls	How to determine coverage, frequency and depth *	How to estimate the costs and benefits of controls	Control indicators
The best offer/s are not submitted due to the poor definition of the tender specifications	Financial circuit : AOS approval and supervision of specifications	Coverage: 100% Depth*: Level 3	Costs: FTE linked to operational unit + central unit: (in EUR)  Benefits (qualitative): No litigation, compliance	Total contract value / cost of control on needs assessment & definition of needs: (in EUR) / (in EUR) = (in EUR)  Cost of control on needs assessment & definition of needs/ number of procedures closed during the year: (in EUR) / number of procedures = (in EUR)  Exceptions & non-compliances / total number of commitments: No exceptions & non-compliances for planning
	Financial circuit: All steps financial and operational specifications	Coverage: 100% Depth*: Level 4		

**NB: for all controls, information in particular financial information related to inputs / outputs and follow-up should be collected**

**\*Depth: (definition of levels)**

1. Minimal administrative / arithmetic control with no reference to supporting documents reference to underlying documents.
2. Control with reference to corroborative information incorporating an element of independent oversight (e.g. audit certificate or other verification), but no reference to underlying documents.
3. Control with reference to fully independent corroborative information (e.g. database which justifies certain elements of the claim, 3rd party or Commission assessment of milestones achieved, etc.)
4. Control with reference to and including access to the underlying documentation available at the stage of the process in question, for all inputs and outputs (e.g. timesheets, invoices, physical verification, etc.); i.e. control of the same intensity of transaction testing as those carried out by the ECA as part of the DAS

**C – Selection of the offer & evaluation**

**Main control objectives:** Ensuring that the selection of the contractor is optimal

Main risks <i>It may happen (again) that...</i>	Mitigating controls (those in <b>bold</b> are strongly recommended)	How to determine coverage, frequency and depth *	How to estimate the costs and benefits of controls	Control indicators
The most promising offer not being selected, due to a biased, inaccurate or 'unfair' evaluation process	Opening committee and Evaluation committee	Coverage: 100% Depth*: Level 4	Costs: FTE linked to operational unit + central unit: (in EUR)  Benefits (qualitative): No litigation, compliance	Total contract value / cost of control Selection of the offer and evaluation: (in EUR) / (in EUR) = (in EUR)  Cost of control Selection of the offer & evaluation / number of procedures closed during the year: (In EUR) / number of procedures = in EUR  Exceptions & NCE / total number of commitments: number of NCE amounting to (in EUR) / number of commitments = (in EUR)
	Financial circuit: All steps financial and operational Evaluation report	Coverage: 100% Depth*: 4		
	Advisory "Market Committee" (in place as of March 2014)	Coverage: Risk-based Depth*: Level 4		
	Conflict of interests	Coverage: 100% Depth*: 4		
	Exclusion criteria documented	Coverage: 100% Depth*: 4		
	Standstill period	Coverage: 100% Depth*: N/A		

**NB: for all controls, information in particular financial information related to inputs / outputs and follow-up should be collected**

\*Depth: (definition of levels)

1. Minimal administrative / arithmetic control with no reference to supporting documents reference to underlying documents.
2. Control with reference to corroborative information incorporating an element of independent oversight (e.g. audit certificate or other verification), but no reference to underlying documents.
3. Control with reference to fully independent corroborative information (e.g. database which justifies certain elements of the claim, 3rd party or Commission assessment of milestones achieved, etc.)
4. Control with reference to and including access to the underlying documentation available at the stage of the process in question, for all inputs and outputs (e.g. timesheets, invoices, physical verification, etc.); i.e. control of the same intensity of transaction testing as those carried out by the ECA as part of the DAS

## Stage 2 – Financial transactions (including administrative appropriations)

**Main control objectives:** Ensuring that the implementation of the contract is in compliance with the signed contract

Main risks <i>It may happen (again) that...</i>	Mitigating controls	How to determine coverage, frequency and depth *	How to estimate the costs and benefits of controls	Control indicators
Contractor does not comply with the contractual provisions	Monitoring respect of contractual provisions.	Coverage: 100% Depth*: Level 4	Costs: FTE linked to actors acting on financial circuits: (in EUR)  Benefits : Respect of sound financial management and respect of contractual provisions. Payments are executed on time: in % (number) and in % (value) were made within contractual delays.  No exceptions for Financial transactions.	Cost of control on the financial circuit / number of financial transactions done during the year :  (In EUR) / number of transactions = (in EUR)
Amount paid is disconnected from the quality and the timing of the deliverables	Financial circuit: all steps financial and operational	Coverage: 100% Depth*: Level 4		Cost of control on the financial circuit / value of payment executed during the year : (in EUR) / (in EUR) = (in %)
Business discontinues. Contractor unable to deliver.	Signature level per type of transaction	Coverage: Risk-based Depth*: Level 2		Time to pay: (in %) (number) and (in %) (value) were made within contractual delays.
	Sensitive functions	Coverage: AOSDs mainly Depth*: N/A	Number of exceptions & non-compliances / total number of payments	

**NB: for all controls, information in particular financial information related to inputs / outputs and follow-up should be collected**

\*Depth: (definition of levels)

1. Minimal administrative / arithmetic control with no reference to supporting documents reference to underlying documents.
2. Control with reference to corroborative information incorporating an element of independent oversight (e.g. audit certificate or other verification), but no reference to underlying documents.
3. Control with reference to fully independent corroborative information (e.g. database which justifies certain elements of the claim, 3rd party or Commission assessment of milestones achieved, etc.)
4. Control with reference to and including access to the underlying documentation available at the stage of the process in question, for all inputs and outputs (e.g. timesheets, invoices, physical verification, etc.); i.e. control of the same intensity of transaction testing as those carried out by the ECA as part of the DAS

### Stage 3 – Supervisory measures

**Main control objectives:** Ensuring that any weakness in the procedures (tender and financial transactions) is detected and corrected

Main risks <i>It may happen (again) that...</i>	Mitigating controls (those in <b>bold</b> are strongly recommended)	How to determine coverage, frequency and depth *	How to estimate the costs and benefits of controls	Control indicators
An error or non-compliance with specifications or a fraud is not detected	Ex post quality review on selection and award procedure	Coverage: A risk based selection of procurement procedures Depth*: Level 4	<b>Costs:</b> FTE mainly linked to Control ex post: in FTE	Cost of supervisory measures / total value of transactions checked by Control ex post:
	Annual control programme based on yearly risk analysis	Coverage: Whole process Depth*: N/A		
	Integration of fraud-related elements in risk assessment			
Management of the procurement is not improved in general	Review of results of ex post quality review	Coverage: Whole process Depth*: Level 4	<b>Benefits</b> Issues are followed and addressed, improvement of processes and procedures	Number of fraud-related audit observations:
	Review of exception reporting	Coverage: Whole process but limited number of tenders Depth*: Level 2		
	(Update) PIM procurement	Coverage: Whole process Depth*: Level 2		

**NB: for all controls, information in particular financial information related to inputs / outputs and follow-up should be collected**

\*Depth: (definition of levels)

1. Minimal administrative / arithmetic control with no reference to supporting documents reference to underlying documents.
2. Control with reference to corroborative information incorporating an element of independent oversight (e.g. audit certificate or other verification), but no reference to underlying documents.
3. Control with reference to fully independent corroborative information (e.g. database which justifies certain elements of the claim, 3rd party or Commission assessment of milestones achieved, etc.)
4. Control with reference to and including access to the underlying documentation available at the stage of the process in question, for all inputs and outputs (e.g. timesheets, invoices, physical verification, etc.); i.e. control of the same intensity of transaction testing as those carried out by the ECA as part of the DAS

## IT SECURITY AND DATA INTEGRITY

### Stage 1: IT Security Policy

**Main control objectives:** Define and disseminate Eurostat information security policy

Main risks It may happen (again) that...	Mitigating controls	How to determine coverage, frequency and depth	How to estimate the costs and benefits of controls	Control indicators
Eurostat staff is not aware of the IT security Policy. IT security is not considered in day to day operations. Design weaknesses in the development of Information processes.	Review and validate by DM the Eurostat IT security policy annually Train Eurostat staff on security policies Ensure that IT security plans are provided for all new IT processes	Coverage: 100% Frequency: Yearly	Costs: Estimation of time required for IT policy revision: (in FTE) Estimation of time required for Training: (in FTE) Benefit: Awareness of IT security. Clear procedures and responsibilities regarding IT security	Nbr of training sessions for newcomers Nbr of trainings sessions for staff Nbr of security plans provided

### Stage 2: Protection of IT infrastructure and data integrity

**Main control objectives:** Implement the controls as defined in the IT security policy

Main risks It may happen (again) that...	Mitigating controls	How to determine coverage, frequency and depth	How to estimate the costs and benefits of controls	Control indicators
There is no inventory of assets and their security levels Security appliances are not up-to-date IT infrastructure is not available in case of major disaster Information is not available for statistical production Information is accessed and modified by non-authorized users	A CMDB (Configuration Management Database) is implemented, running and updated Periodically check that systems are updated and patched DRP (Disaster Recovery Plan) is updated and periodically tested. Backups are made and tested Through the SLA with DIGIT, receive regular KPIs on the	Coverage: 100% Frequency: Yearly	Costs: CMDB software licence and maintenance (in EUR) Estimation of the support Management of the IT infrastructure (in FTE) Estimation of the access control management (in FTE) Benefit: Operational IT infrastructure in support to statistical production with accesses to data on a	Nbr of assets in the CMDB Reports of DRP testing and backup restores. <b>Nbr of incidents regarding data integrity</b>

Main risks It may happen (again) that...	Mitigating controls	How to determine coverage, frequency and depth	How to estimate the costs and benefits of controls	Control indicators
	health of the systems hosted in Digit Access control policy based on authorisation provided by DCROs (Data Collection Responsible Officers)		"need to know" basis	

### Stage 3: Access to IT infrastructure and data

**Main control objectives:** Monitor the access to IT infrastructure

Main risks It may happen (again) that...	Mitigating controls	How to determine coverage, frequency and depth	How to estimate the costs and benefits of controls	Control indicators
Illegal access to secure information Statistical information cannot be disseminated through the Eurostat website Statistical information is corrupted during transfer from Member States Wrong information or sensitive information is published.	Segregation of duties between LSA and DBA Follow-up of access rights, functional user rights and local administrator rights Real-time monitoring of Eurostat website Use of encryption for transfer of sensitive information in EDAMIS Incident reporting mechanism for errors on the Website	Coverage: all accesses to IT assets, all Eurostat data collections Frequency: Daily	Costs: Monitoring website Software and estimation of the support provided (in FTE). Estimation of staff involved in Monitoring rights (in FTE) Benefit: Protection of Eurostat environment. Ensure continuous publication of statistical information towards users	Number of sensitive data collections encrypted during transport Number of incidents reported for the website

#### Stage 4: Controls of accesses and use in IT infrastructure and information

**Main control objectives:** Monitoring of accesses to Eurostat infrastructure

Main risks It may happen (again) that...	Mitigating controls	How to determine coverage, frequency and depth	How to estimate the costs and benefits of controls	Control indicators
<p>Wrong manipulation of IT assets Cyber-attack on Eurostat IT environment Information is corrupted by hackers or wrong manipulation</p>	<p>In-depth analysis and monitoring of access controls and IT assets (servers, applications) logs implemented through Splunk. Periodical and correct performance of the backups of the infrastructure</p>	<p>Coverage: All IT assets Frequency: Real-time</p>	<p>Costs: Cost of SPLUNK SW licences Estimation of staff involved in supporting Hardware plus support for defining controls (in FTE) Benefit: Secure dissemination of statistics.</p>	<p>Alerts provided by Splunk Monthly Splunk reports of incidents in Eurostat environment</p>

## SAFEGUARDING OF SENSITIVE INFORMATION

### Stage 1: Management of sensitive information in Eurostat

**Main control objectives:** Identification and definition of sensitive information in Eurostat

Main risks It may happen (again) that...	Mitigating controls	How to determine coverage, frequency and depth	How to estimate the costs and benefits of controls	Control indicators
Sensitive information is not correctly understood/identified	<p>Definition of sensitive information in Eurostat. Yearly inventory of sensitive information as declared by Eurostat units (1<sup>st</sup> inventory launched 2015).</p> <p>Definition of protection measures to be applied for sensitive information.</p> <p>Periodic information to Staff</p>	<p>Coverage: 100%</p> <p>Frequency: Yearly</p>	<p>Costs: Estimation of staff involved in Yearly inventory of all information managed by Eurostat units and its classification (in FTE)</p> <p>Benefit: Better knowledge of the location and use of sensitive information. Better understanding of the concept and management of sensitive information by staff.</p>	<p>Number of units reporting use of sensitive and classified information.</p> <p>Number of modifications from former inventory (for 2016)</p>

### Stage 2: Protection of sensitive information in Eurostat

**Main control objectives:** Define roles and responsibilities and protection measures for sensitive information

Main risks It may happen (again) that...	Mitigating controls	How to determine coverage, frequency and depth	How to estimate the costs and benefits of controls	Control indicators
Sensitive information is not correctly managed by Eurostat staff	<p>Association of a DCRO (Data Collection Responsible Person) for each of the identified sensitive information collection. The DCRO is responsible for the protection of the collection and for giving access to it on a "Need to Know" basis.</p> <p>Signature of a declaration of confidentiality by all Eurostat staff.</p>	<p>Coverage: 100%</p> <p>Frequency: Yearly with periodic updates if needed</p>	<p>Cost: Specific staff (DCRO) has additional duties. To be estimated once the first inventory is created – For 49 already existing confidential data collection. (in FTE)</p> <p>Benefit: Clearer responsibilities of units and staff regarding sensitive information management</p>	<p>Number of DCROs and sensitive information collections</p> <p>All Staff signing declarations (0 discrepancy between staff list and declaration list)</p> <p>Number of training sessions on security and sensitive information</p>

### Stage 3: Access to sensitive information

**Main control objectives:** Monitoring and control of access to sensitive information

Main risks It may happen (again) that...	Mitigating controls	How to determine coverage, frequency and depth	How to estimate the costs and benefits of controls	Control indicators
All Eurostat staff can have access to all sensitive information	LISO is allowing access to sensitive information to staff identified by DCRO on a "Need to Know" Basis Sensitive information is protected either by encryption or by being stored in Eurostat secured environment Use of SECEM for transmission of sensitive information is mandatory. Use of encrypted S drive for storing sensitive information by units	Coverage: 100% of sensitive information is protected Frequency: Daily authorisation	Costs: Management of access by LISO, management of policies for S drive encryption by LISO, administrative procedure launched by DCRO for providing access to individual staff. (in FTE) Benefit: Access to sensitive collections is controlled and sensitive information is encrypted..	Number of access rights processed and recorded. Number of folders/units stored on the S drive. Number of SECEM installations.

### Stage 4: Controls of accesses to sensitive information

**Main control objectives:** Real-time monitoring of accesses to sensitive information

Main risks It may happen (again) that...	Mitigating controls	How to determine coverage, frequency and depth	How to estimate the costs and benefits of controls	Control indicators
Breach of sensitive information	DLP (Data Leak Prevention) System implemented through Splunk application monitoring all accesses on identified information. Periodic revision of the database with access rights and association to Eurostat staff mobility.	Coverage: All identified sensitive information Frequency: real-time	Cost: SPLUNK SW licences and supporting Hardware plus maintenance (in EUR) Lancrypt SW licences and management costs. Estimation of the customisation of the software (in FTE) Benefit: Real-time protection	Number of alerts provided by Splunk Number of revisions of the access rights database. Nr of incidents related to breach of confidentiality. Nbr of encrypted files.

Main risks It may happen (again) that...	Mitigating controls	How to determine coverage, frequency and depth	How to estimate the costs and benefits of controls	Control indicators
	Encryption of sensitive information.		and monitoring of accesses	

## GNI

The controls performed by Eurostat regarding the GNI are disclosed by the AOD responsible for the related Revenue in the AAR prepared by DG BUDG.

**ANNEX 6: Implementation through national or international public-sector bodies and bodies governed by private law with a public sector mission (if applicable)**

Not applicable

**ANNEX 7: EAMR of the Union Delegations (if applicable)**

Not applicable

**ANNEX 8: Decentralised agencies (if applicable)**

Not applicable

## ANNEX 9: Evaluations and other studies finalised or cancelled in 2015

Reference No of Annex 4 MP2015	Title	Reason <sup>1</sup>	Scope <sup>2</sup>	Type of evaluation or other study			Assoc. DGs	Costs (EUR)	Comments	Reference	Cancelled
				Focus <sup>3</sup>	Author <sup>4</sup>	Type <sup>5</sup>					
I. Evaluations finalised or cancelled in 2015											
a. evaluations finalised in 2015											
1	Interim evaluation Report to EP and Council on European Statistical Programme 2013-2017	LMFF	European Statistical Programme 2013-2017	R	I	E		0.00	The evaluation was performed before the adoption of the Better Regulation Guidelines. Its final deliverable was in the form of a report to the European Parliament and the Council. A background document, the equivalent of a SWD, was produced but for internal use only and it is available inside the Commission.	COM(2015) 309 final	
b. Evaluations cancelled in 2015											

Reference No of Annex 4 MP2015	Title	Reason <sup>1</sup>	Scope <sup>2</sup>	Type of evaluation or other study			Assoc. DGs	Costs (EUR)	Comments	Reference	Cancelled
				Focus <sup>3</sup>	Author <sup>4</sup>	Type <sup>5</sup>					
<b>II. Other studies finalised or cancelled in 2015</b>											
a. other studies finalised in 2015											
4	Report to EP and Council on existing information on PPPs and other implicit liabilities, outside government	L	Public private partnership	R	I	R		0.00		COM(2015) 314 final	
5	Report to EP and Council on statistics compiled pursuant Regulation (EC) No 762/2008 (Statistics on aquaculture production)	L	Aqua-culture	R	I	R		0.00		COM(2015) 297 final	

Reference No of Annex 4 MP2015	Title	Reason <sup>1</sup>	Scope <sup>2</sup>	Type of evaluation or other study			Assoc. DGs	Costs (EUR)	Comments	Reference	Cancelled
				Focus <sup>3</sup>	Author <sup>4</sup>	Type <sup>5</sup>					
6	Report to EP and Council on the quality of the fiscal data reported by Member State for Council regulation 479/2009 (EDP)	L	EDP	R	I	R		0.00		COM(2015) 88 final	
7	Report to EP and Council on the statistics compiled pursuant Regulation (EC) No 862/2007 (Migration & international protection statistics)	L	Migration and internal protection	R	I	R		0.00		COM(2015) 374 final	
8	Report to EP and Council on implementation of Regulation (EC) No 577/98 (Labour force sample survey)	L	Labour force sample survey	R	I	R		0.00		COM(2015) 628 final	
13	Report to EP and Council on the implementation of Regulation (EC) No 177/2008 (Business registers)	L	Business registers	R	I	R		0.00		COM(2015) 90 final + Annex	

Reference No of Annex 4 MP2015	Title	Reason <sup>1</sup>	Scope <sup>2</sup>	Type of evaluation or other study			Assoc. DGs	Costs (EUR)	Comments	Reference	Cancelled
				Focus <sup>3</sup>	Author <sup>4</sup>	Type <sup>5</sup>					
	Registers)										
b. other studies cancelled in 2015											

<sup>1</sup> L - legal act, LMFF - legal base of MFF instrument, FR - financial regulation, REFIT, CWP - 'evaluate first', O - other (please specify in Comments)

<sup>2</sup> Specify what programme/regulatory measure/initiative/policy area etc. has been covered

<sup>3</sup> P - prospective, R - retrospective, P/R - prospective and retrospective

<sup>4</sup> E - external, I - internal, M - mixed (internal with external support)

<sup>5</sup> FC - fitness check, E - expenditure programme/measure, R - regulatory measure (not recognised as a FC), C - communication activity, I - internal Commission activity, O - other - please specify in the Comments

## ANNEX 10: Specific annexes related to "Management of Resources"

### Detailed results of the ex-ante controls performed

#### Grants (own appropriations)

**Standard ex ante controls** - All payment files are subject to ex ante controls. Checks are made on contractually received documents; additional supporting documents are requested from beneficiaries when there is indication of errors or irregularities. See in table below main figures for payments (grants) processed in 2015<sup>2</sup> for own appropriations excluding pre-financing paid in 2015 and excluding transactions under reinforced ex ante control:

N° of payments	Amount claimed (EUR)	Amount paid (EUR)	Non-eligible amount (EUR)	Detected error rate * (in %)
150	13.709.872	13.616.369	93.503	0.68%

\* Errors corrected before payment

The findings identified during standard ex ante controls are mainly linked to non-eligible costs due to the staff cost calculation method and to non-material inaccuracies such as misunderstanding of rules for transfer between co-partners or maximum grant threshold has being achieved. Furthermore, due to the weakness in justifying the exhaustiveness of staff cost calculation and to mitigate the risk of overpayment, for one beneficiary a systematic ex ante correction on staff cost is applied. This issue will disappear as from grants signed in 2015 where unit cost scheme for staff cost is used. Therefore the total corrected error rate for standard ex ante control is slightly higher than the in depth ex ante controls.

**In depth ex ante controls** - Reinforced ex ante controls are performed on a sample of files, based on supplementary supporting documents. A two-pronged approach was applied: controls on targeted beneficiaries were complemented by random controls. Reinforced ex ante controls covered 9 beneficiaries in 2015<sup>3</sup>, of which 8 randomly selected.

The error rate for the random sample is 0,57%, 1 transaction from 10, had an error rate above the materiality threshold of 2%. The weakness identified was linked to the wrong co-financing rate applied to eligible costs:

N° of payments	Amount claimed (EUR)	Amount paid (EUR)	Non-eligible amount (EUR)	Detected error rate * (in %)
16	696.062	693.362	2.700	0.39%

\* Errors corrected before payment

No systematic weakness has been identified.

The error rate for targeted areas is 0,12%. The low error rate of 0,12% is explained by the fact that in 2015 only follow-up financial controls were carried out. There is an indication that ex ante controls and ex post controls performed in the past allowed to reduce the risk of error in the payment requests submitted to Eurostat.

<sup>2</sup> EU Statistical Programme (2008-20012/2013-2017) and MEETS "Full grant value of the grants for which the balance payment was made this year = interim/final 'balance' payments done this year + their related pre-financing payments 'cleared' this year." from BUDG/D3 "AAR Standing Instructions November 2013" page 8.

<sup>3</sup> NSI IS, NSI CZ, NSI HU, NSI EL, NSI DK, NSI AT, NSI BE, NSI PL, NSI SK

**Additional indicators for grants** (own and sub-delegated appropriations): **cumulated error rates**

The main indicators per Statistical Programme from the ex-ante and ex post controls are reported below:

	Indicator	Statistical Programme 2008-2012		Statistical Programme 2013-2017		MEETS
		Results of controls finalised	Cumulated	Results of controls finalised	Cumulated	
Ex-ante controls	Difference between EU contribution claimed and paid (standard ex-ante controls)	2015: 0.82% 2014: 1.78%	n.a.	2015: 0.31% 2014: 0.08%	n.a.	n.a.
	Difference between EU contribution claimed and paid (total ex-ante controls) considered as well as the average error rate	2015: 0.8% 2014: 1.72%	2015: 1.75% 2014: 1.31%	2015: 0.31% 2014: 0.07%	2015: 0.26% 2014: 0.07%	2015: n.a. 2014: 1.91%
Ex post controls	Detected Error Rate from risk-based audits	2015: 0.84% 2014: 0,06%	2015: 0.68% 2014: 0,63%	n.a.	n.a.	2015: n.a. 2014: 0,51%
	Value of corrections made by implementing and extending audit results, by recoveries (accounting system) and/or offsetting (local grant management system)	2015: €40.859 2014: € 3.466	2015: €128.113 2014: € 87.253	n.a.	n.a.	2015: n.a. 2014: € 351

**ANNEX 11: Specific annexes related to "Assessment of the effectiveness of the internal control systems"**

Not applicable

## ANNEX 12: Performance tables

<b>General objective: To be the leading provider of high quality statistics on Europe</b>		Spending programme: European Statistical Programme (ESP) 2013-2017.											
Impact indicator: Percentage of users that rate as "Very good" or "Good" the overall quality of the data and services provided by Eurostat. Source: Annual user satisfaction survey carried out by ESTAT. Documentation available on demand. The target has been set on the basis of the evolution of the users' perceptions in the past and taking into account the fact that opinion surveys based on voluntary participation are typically biased (users that are satisfied may be less motivated to participate in the survey than those that have complaints). It is assumed that that there will be an approximately linear progression between the value of 2012 and the target for 2017. The yearly evolution of the results should be interpreted cautiously in particular taking into account the fact that the level of representativeness of the sample of respondents cannot be assessed and may vary from one year to the other.													
Baseline	Milestone	Milestone	Target										
2012	2015	2017	2020										
70.6%	73.2%	75%	Not available (the procedure for extensions up to 2020 of the European Statistical Programme 2013-2017 has been launched)										
<table border="1"> <caption>Data for the trend of overall increase of users' satisfaction</caption> <thead> <tr> <th>Year</th> <th>Percentage</th> </tr> </thead> <tbody> <tr> <td>2012</td> <td>70.6</td> </tr> <tr> <td>2013</td> <td>69.7</td> </tr> <tr> <td>2014</td> <td>70.3</td> </tr> <tr> <td>2015</td> <td>72.4</td> </tr> </tbody> </table> <p>A trend of overall increase of users' satisfaction is observed over the last years.</p>				Year	Percentage	2012	70.6	2013	69.7	2014	70.3	2015	72.4
Year	Percentage												
2012	70.6												
2013	69.7												
2014	70.3												
2015	72.4												

Policy-making drives the decisions to produce European statistics, but those statistics should also be available and easily accessible to other decision-makers, researchers, businesses and European citizens in general as they constitute a public good and are paid for by European citizens and businesses, who should benefit equally from the services provided.

Eurostat will further develop a statistical information infrastructure, prepared for the wide and intensive use of various applications. For the infrastructure to fulfil this role it has to be designed according to a sound conceptual framework, which, on the one hand, ensures fitness for a range of purposes and, on the other hand, allows flexible adaptation to evolving users' needs in the years ahead.

<b>General objective: To be the leading provider of high quality statistics on Europe</b>	
<b>Specific objectives:</b>	Spending programme: European Statistical Programme (ESP) 2013-2017.
<ol style="list-style-type: none"> <li><b>1. Provide quality statistical information</b> in a timely manner, to support the development, monitoring and evaluation of the policies of the European Union properly reflecting priorities while keeping a balance between economic, social and environmental fields and serve the needs of the wide range of users of European statistics, including other decision-makers, researchers, businesses and European citizens in general, in a cost-effective manner without unnecessary duplication of effort.</li> <li><b>4. Ensure that delivery of such statistics is kept consistent throughout the whole duration of the programme</b>, provided that this does not interfere with the priority-setting mechanisms of the ESS.</li> </ol>	

Result indicator 1: Percentage of users that rate as "Very good" or "Good" the overall quality of European Statistics.

Source: Annual user satisfaction survey carried out by ESTAT. Documentation available on demand.

Relevance for the objective: this indicator measures the users' perception of the achievement of the specific objective n. 1 "provide quality statistics".

The target has been set on the basis of the evolution of the users' perceptions in the past and taking into account the fact that opinion surveys based on voluntary participation are typically biased (users that are satisfied may be less motivated to participate in the survey than those that have complaints). It is assumed that that there will be an approximately linear progression between the value of 2012 and the target for 2017. The yearly evolution of the results should be interpreted cautiously in particular taking into account the fact that the level of representativeness of the sample of respondents cannot be assessed and may vary from one year to the other.

Baseline	Milestone	Milestone	Target
2012	2015	2017	2020
62.9%	67.2%	70%	Not available (the procedure for extensions up to 2020 of the European Statistical Programme 2013-2017 has been launched)

2011	2012	2013	2014	2015
62,5	62,9	62,6	64,4	61.2

A trend of slight reduction of the users' satisfaction with the quality of data is observed over the last years. It should be noted that the users' satisfaction with both the data and services provided by Eurostat (see the indicator related to the general objective above) is higher than the users' satisfaction with the data alone, which can be interpreted as a sign that the services provided by Eurostat (dissemination tools, user supports, etc.) increase the value of the bare data.

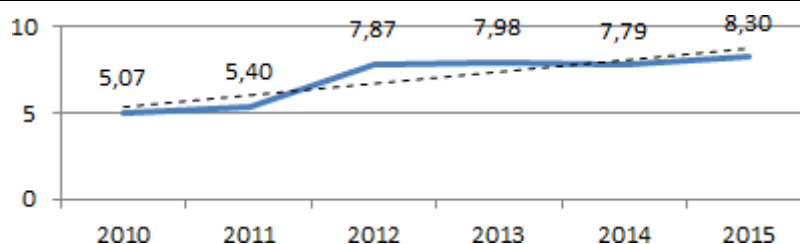
Result indicator 2: Number of data extractions made by external users from Eurostat reference databases (EuroBase and Comext) via the Eurostat website.

Source: ESTAT. More information can be found in the monthly Monitoring report on Eurostat electronic dissemination (available on demand).

Relevance for the objective: the number of users' extractions is clearly related with the achievement of the specific objective n. 1 and in particular with the quality of the statistics and with the fact that the statistics responds to users' needs.

The target has been set on the basis of the evolution of the users' extractions in the past and assuming that there will be an approximately linear progression between the value of 2012 and the target for 2017.

Baseline	Milestone	Milestone	Target
2012	2015	2017	2020
7.87 millions	8.3 millions	number of extractions made in 2012 + 10% = 8.7 millions	Not available (the procedure for extensions up to 2020 of the European Statistical Programme 2013-2017 has been launched)



A trend of overall increase of end users' data extractions is observed over the last years.

Output indicator: Degree of achievement of the objective measured as percentage of the achievement of the outputs related to it. Twice a year, Eurostat units give a mark to each of the MP outputs under their responsibility. The marks are the following: "Achieved", "On target", "Emerging difficulties", "Serious difficulties" and "Output revised".

Source: ESTAT monitoring procedure.

The target of 100% is an "ideal" one to the extent that the outputs listed here are very detailed and numerous and therefore it is almost impossible to achieve them all (if only because of the external factors that may hamper their achievement).

Baseline 2012	Target of each year
87.8%	100 % completed

2014	2015	2016
87.1	92.3	93.8

A trend of overall increase toward the "ideal" target of 100% is observed over the last years.

Result indicator for specific objective 4: Length of the time series of the sub-set of the statistics provided by Eurostat called Euro Indicators.

Source: ESTAT.

Relevance for the objective: a "time series" is a sequence of observations about a given phenomenon that are ordered in time and are based on the same methodology. Therefore, the length of the time series is related to the achievement of the objective n. 4 "keep the statistics consistent throughout the whole duration of the programme".

The target is not 100% because we have to continuously find a balance between the objective n. 4 and the specific objective n. 1, which is about improving the statistics and adapting them to the users' needs (e.g. by improving the methodology), which may create breaks in the time series.

Baseline	Milestone	Milestone	Target
2012	2015	2017	2020
<ul style="list-style-type: none"> <li>Time series ≥ 15 years: 41.3%</li> </ul>	<ul style="list-style-type: none"> <li>Time series ≥ 15 years: 52.5%</li> </ul>	<ul style="list-style-type: none"> <li>Time series ≥ 15 years: 60%</li> </ul>	Not available (the procedure for extensions up to 2020 of the European Statistical Programme 2013-2017 has been launched)
<ul style="list-style-type: none"> <li>Time series ≥ 10 years: 93.4%</li> </ul>	Target for each year for Euro Indicators time series ≥ 10 years: ≥ 90%		

This indicator has been abandoned due to serious technical problems in the calculation method. DG ESTAT is working on the replacement.

For the list of outputs, see the Management Plan.

**General objective: To be the leading provider of high quality statistics on Europe**

**Specific objective 2: Implement new methods of production of European statistics aiming at efficiency gains and quality improvements.**

Spending programme: European Statistical Programme (ESP) 2013-2017.

Result indicator 1: Percentage of users that rate as "Very good" or "Good" the timeliness of European statistics for their purposes.

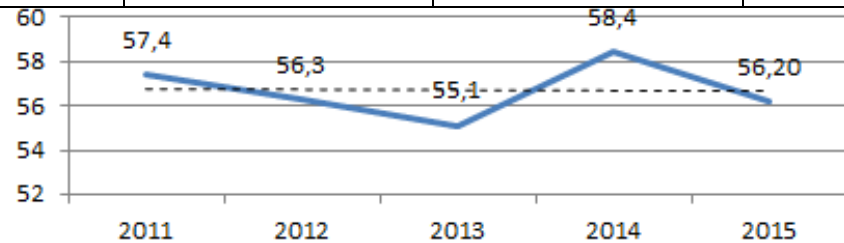
Source: Annual user satisfaction survey carried out by ESTAT. Documentation available on demand.

Relevance for the objective: the timeliness of the statistics is related to this specific objective to the extent that (1) it's an important aspect of the quality of the statistics and (2) it can be improved also by means of efficiency gains. This indicator measures the users' perception of the timeliness while next indicator gives an objective measurement of it. It is important to have both because even if we improve the actual timeliness of the statistic, this may not be reflected in the users' perception if, meanwhile, the users' requirements or expectations have increased.

The target has been set on the basis of the evolution of the users' perceptions in the past and taking into account the fact that opinion surveys based on voluntary participation are typically biased (users that are satisfied may be less motivated to participate in the survey than those that have complaints). It is assumed that that there will be an approximately linear progression between the value of 2012 and the target for 2017. The

yearly evolution of the results should be interpreted cautiously in particular taking into account the fact that the level of representativeness of the sample of respondents cannot be assessed and may vary from one year to the other.

Baseline	Milestone	Milestone	Target
2012	2015	2017	2020
56.3%	58.5%	60%	Not available (the procedure for extensions up to 2020 of the European Statistical Programme 2013-2017 has been launched)



A trend of overall stability of users' satisfaction is observed over the last years.

Result indicator 2: Timeliness of a sample of statistics measured as average number of days in advance (positive) or delay (negative), in comparison to the legal target:

- PEEIs: Euro Area – monthly series.
- PEEIs: Euro Area – quarterly series.
- Comext-Extra: data sent by MS to Eurostat.

PEEIs = Principal European Economic Indicators.

Source for (a) and (b): Eurostat annual *Status Report on Information Requirements in EMU* to the Economic and Financial Committee. Source for (c): ESTAT.

Relevance for the objective: the timeliness of the statistics is related to this specific objective to the extent that (1) it's an important aspect of the quality of the statistics and (2) it can be improved also by means of efficiency gains. This indicator measures the actual timeliness of statistics while the previous indicator gives the users' perception of it. It is important to have both because even if we improve the actual timeliness of the statistic, this may not be reflected in the users' perception if, meanwhile, the users' requirements or expectations have increased.

The target is set by the legal bases that define when these statistics must become available.

Baseline 2012	Target of each year
(a) -0.1 days	(a) $\geq 0$
(b) -10.2 days	(b) $\geq 0$
(c) +3 days	(c) $\geq 0$

The indicator measures the "punctuality" of the data sent by the Member States to Eurostat. A "zero" means that the data are sent on time. Negative figures mean that the data were sent after the deadline, positive figures before the deadline. The target for (a), (b) and (c) is to provide the statistics of the sample according to the legal deadlines, i.e. indicators should be  $\geq 0$ . The achievement of this target principally relies on the Member States (all European statistics depend on information collected by the Member States) and on good partnership and productivity within the European Statistical System.

a) PPEIs: Euro Area – monthly series

- 2012: -0.1
- 2013: -0.6
- 2014: -1.2
- 2015: -1.8

b) PEEIs: Euro Area – quarterly series

- 2012: -10.2
- 2013: -10.1
- 2014: -10.5
- 2015: -10.3

About half of the 22 PEEIs achieve the tighter timeliness requirements fixed in 2008. Like a year ago, the first

GDP (flash) estimate is released within the target of T+45 days for 21 countries that provide it. Release dates for quarterly sector accounts remain behind the target. The national accounts-based employment indicator still remains well behind the target for timeliness. The release of quarterly government finance statistics for the euro area and EU aggregates is aligned with the schedule of the notified EDP data. The HICP flash estimate for the euro area is released at t+0 days or shortly after, and over the last 12 months accurately predicted the official inflation rate, released at T+17, in 11 out of 12 instances (the degree of inaccuracy in one instance being 0.1 percentage point) [from Eurostat annual *Status Report on Information Requirements in EMU* to the Economic and Financial Committee].

c) Comext Extra: Data sent by Member States to Eurostat

- 2012: +3
- 2013: +2
- 2014: +2
- 2015: +3

The figures show that foreign trade statistics are habitually sent by Member States few days in advance in comparison to the legal target.

Output indicator: Degree of achievement of the objective measured as percentage of the achievement of the outputs related to it. Twice a year, Eurostat units give a mark to each of the MP outputs under their responsibility. The marks are the following: "Achieved", "On target", "Emerging difficulties", "Serious difficulties" and "Output revised".

Source: ESTAT monitoring procedure.

The target of 100% is an "ideal" one to the extent that the outputs listed here are very detailed and numerous and therefore it is almost impossible to achieve them all (if only because of the external factors that may hamper their achievement).

Baseline 2012	Target of each year
87.8%	100 % completed

2014	2015	2016
86.1	86.4	88.7

A trend of overall increase toward the "ideal" target of 100% is observed over the last years.

For the list of outputs, see the Management Plan.

**General objective: To be the leading provider of high quality statistics on Europe**

**Specific objective 3: Strengthen the partnership within the European Statistical System and beyond in order to further enhance its productivity and its leading role in official statistics worldwide.**

Spending programme: European Statistical Programme (ESP) 2013-2017.

It must be noted that all the indicators of the objectives of ESTAT Spending programme are also related to this specific objective n. 3 because they all depend on good partnership and productivity within the European Statistical System (all European statistics depend on information collected by the Member States).

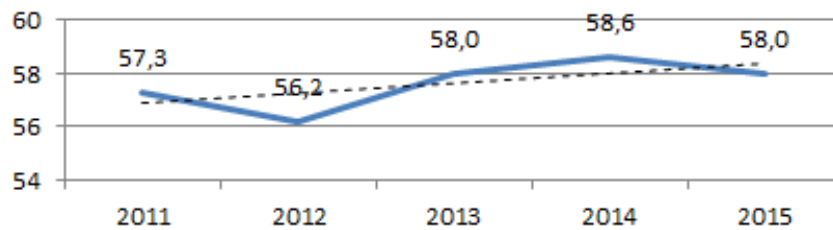
Result indicator: Percentage of users that rate as "Very good" or "Good" the comparability of European statistics among regions and countries.

Source: Annual user satisfaction survey carried out by ESTAT. Documentation available on demand.

Relevance for the objective: this indicator is related to the achievement of the specific objective n. 3 to the extent that the comparability of the European statistics is one of the important expected results of the partnership within the European Statistical System.

The target has been set on the basis of the evolution of the users' perceptions in the past and taking into account the fact that opinion surveys based on voluntary participation are typically biased (users that are satisfied may be less motivated to participate in the survey than those that have complaints). It is assumed that that there will be an approximately linear progression between the value of 2012 and the target for 2017. The yearly evolution of the results should be interpreted cautiously in particular taking into account the fact that the level of representativeness of the sample of respondents cannot be assessed and may vary from one year to the other.

Baseline	Milestone	Milestone	Target
2012	2015	2017	2020
56.2%	58.5%	60%	Not available (the procedure for extensions up to 2020 of the European Statistical Programme 2013-2017 has been launched)



A trend of gradual increase of users' satisfaction is observed over the last years. The yearly evolution of the results should be interpreted cautiously in particular taking into account the fact that the level of representativeness of the sample of respondents cannot be assessed and may vary from one year to the other.

Output indicator: Degree of achievement of the objective measured as percentage of the achievement of the outputs related to it. Twice a year, Eurostat units give a mark to each of the MP outputs under their responsibility. The marks are the following: "Achieved", "On target", "Emerging difficulties", "Serious difficulties" and "Output revised".

Source: ESTAT monitoring procedure.

The target of 100% is an "ideal" one to the extent that the outputs listed here are very detailed and numerous and therefore it is almost impossible to achieve them all (if only because of the external factors that may hamper their achievement).

Baseline 2012	Target of each year
87.8%	100 % completed

2014	2015	2016
92.8	93.0	94.3

A trend of overall increase toward the "ideal" target of 100% is observed over the last years.

For the list of outputs, see the Management Plan.