

Annual Activity Report

2017

DG EXPO

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0. BUDGETARY IMPLEMENTATION OVERVIEW

			DG EXPO	
Code	Appropriation type	Type de crédits	EUR ou %	Formule
	Appropriations of 2017	Crédits 2017		
A	Initial appropriations	Crédits initiaux	3.356.600,00	
B	Final appropriations	Crédits finaux	2.520.524,00	
C	Commitments	Engagements	2.022.087,68	
D	Commitments in % of final appropriations	Engagements en % des crédits finaux	80%	D=C/B
E	Payments	Paielements	1207.633,90	
F	Payments in % of commitments	Paielements en % des engagements	60%	F=E/C
G	Cancellations of 2017 final appropriations	Annulations de crédits finaux 2017	498.436,32	G=B-C-K
H	Cancellations appropriations in % of final appropriations	Annulations en % des crédits finaux	20%	H=G/B
	Appropriations carried forward from 2017 to 2018	Crédits reportés de 2017 à 2018		
I	Automatic carryforwards from 2017 to 2018	Crédits reportés automatiquement de 2017 à 2018	814.453,78	I=C-E
J	Automatic carryforwards from 2017 to 2018 in % of commitments	Crédits reportés automatiquement de 2017 à 2018 en % des engagements	40%	J=I/C
K	Non-automatic carryforwards from 2017 to 2018	Crédits reportés non-automatiquement de 2017 à 2018	0,00	
L	Non-automatic carryforwards from 2017 to 2018 in % of final appropriations	Crédits reportés non-automatiquement de 2017 à 2018 en % des crédits finaux	0%	L=K/B
	Appropriations carried over from 2016 to 2017	Crédits reportés de 2016 à 2017		
M	Automatic carryovers from 2016 to 2017	Crédits reportés automatiquement de 2016 à 2017	680.987,59	
N	Payments against automatic carryovers from 2016 to 2017	Paielements sur crédits reportés automatiquement de 2016 à 2017	571693,19	
O	Payments against automatic carryovers from 2016 to 2017 in % of automatic carryovers from 2016 to 2017	Paielements sur crédits reportés automatiquement de 2016 à 2017 en % des crédits reportés automatiquement de 2016 à 2017	84%	O=N/M
P	Cancellations of automatic carryovers from 2016 to 2017	Annulations de crédits reportés automatiquement de 2016 à 2017	109.294,40	P=M-N
Q	Cancellations of automatic carryovers from 2016 to 2017 in % of automatic carryovers from 2016 to 2017	Annulations de crédits reportés automatiquement de 2016 à 2017 en % des crédits reportés automatiquement de 2016 à 2017	16%	Q=P/M
R	Non-automatic carryovers from 2016 to 2017	Crédits reportés non-automatiquement de 2016 à 2017	0,00	
S	Payments of non-automatic carryovers from 2016 to 2017	Paielements sur crédits reportés non-automatiquement de 2016 à 2017		
T	Payments against non-automatic carryovers from 2016 to 2017 in % of non-automatic carryovers from 2016 to 2017	Paielements sur crédits reportés non-automatiquement de 2016 à 2017 en % des crédits reportés non-automatiquement de 2016 à 2017		T=S/R
U	Cancellations of non-automatic carryovers from 2016 to 2017	Annulations de crédits reportés non-automatiquement de 2016 à 2017		U= R-S
V	Cancellations of non-automatic carryovers from 2016 to 2017 in % of non-automatic carryovers from 2016 to 2017	Annulations de crédits reportés non-automatiquement de 2016 à 2017 en % des crédits reportés non-automatiquement de 2016 à 2017		V=U/R
	Assigned revenue in 2017	Recettes affectées 2017		
W	Appropriations from assigned revenue in 2017 (current)	Crédits de dépenses spécifiques sur recettes affectées courants 2017	0,00	
X	Assigned revenue carried over to 2017	Crédits de dépenses spécifiques sur recettes affectées reportés à 2017	0,00	
Y	Balance of commitments on assigned revenue carried over to 2017	Solde des engagements reportés à 2017 sur crédits de dépenses spécifiques sur recettes affectées	0,00	
Z	Payments in 2017 against appropriations from assigned revenue (current and carried-over)	Paielements sur crédits de recettes affectées 2017 (courants et reportés)	0,00	

1. OBJECTIVES

1.1. Objectives of the directorate-general

Summary of the objectives of the Directorate-General for External Policies for 2017

1. Cross-cutting objectives related to DG EXPO's Strategic Execution Framework – all units
- to implement, the Parliamentary 2017-2019 Project Portfolio (PPP) projects of which DG EXPO is a sponsor; to monitor and, when opportune, to contribute more effectively to all other projects that could impact on the work of DG EXPO;

- to actively promote horizontal cooperation between Units, including through collaborative work on key documents or missions, through the sharing of documents and the invitation to meetings on a "need to know" basis; to assess the work of the cross-DG project teams and inter-service groups established in DG EXPO, in order to ensure that they have a clear added-value and, if necessary, to adapt the working methods, with a flexible allocation of resources in peak/quieter periods;

- to enhance the implementation of the administrative agreements reached with the European External Action Service (EEAS) on the assistance to EP missions, the one related to security of official EP missions and on the sharing of political reporting;

2. Objectives related to the Directorate-General's core business to provide assistance and expertise to the relevant political bodies.

2.1 Committee and sub-committee secretariats

- to ensure a smooth mid-term transition for the new Committee and Subcommittee Bureaus, where applicable;

- to further develop the assistance and expertise provided to Committees, their Chair and Rapporteurs with a view to increasing the efficiency, oversight role and overall impact of the European Parliament, notably in the legislative, budgetary and scrutiny fields – both in terms of external and internal policies when these have an external dimension;

- to alert, assist and provide follow-up to the political bodies so that they can hold the other institutions and the EEAS to account based on the commitments they made;

- to further reduce the number of conflict of competences between committees when these could be avoided through enhanced horizontal administrative cooperation;

- to encourage interaction and synergies with national parliaments on key topics of mutual interest;

2.2 Delegation Secretariats

- to develop in-depth geographical expertise on countries of staff remit, establishing the concept of desk officers, who will then be able to provide support and assistance to colleagues working in Committee, Democracy Support and Policy Department;

- to assess and, when appropriate improve the methodology (“reporting sheets”) for Delegations to systematically carry out scrutiny activities, including on the implementation of programmes and projects financed by the EU, the implementation of international agreements, the impact of EU legislation in 3rd countries and vice-versa, the follow-up given to recommendations by election observation missions and the human (and women’s) rights situation (in the framework of the new EXPO Project 2-Delegations Reporting Sheets); to introduce the new reporting sheets one on migration and security issues and other on combating the terrorism;

2.3 Policy Department

- to maintain the high quality of the department's products by tailoring its output to Parliament's core business, adapting to the needs of the EP's political bodies and their political activities, especially those related to the legislative cycle, budgetary process and scrutiny activities, in close collaboration with the secretariats of the relevant bodies;

- to contribute with research and policy options, to the work of the Parliament on the withdrawal of the UK from the EU;
- to enhance cooperation with DG IPOL's policy departments and DG EPRS to seek complementarities and synergies in their work. to develop more links with the academic and think tank communities and relevant international organisations;

2.4 Democracy support units

- to further develop the assistance and expertise provided to the DEG with a view to increasing the efficiency and overall impact of the European Parliament in the field of election observation, parliamentary capacity building, human rights action and mediation activities via the DEG's Comprehensive Democracy Support Approach (CDSA);
- to consolidate political ownership and enhance the visibility of the European Parliament's activities in terms of promoting democracy and human rights, in cooperation with other relevant services;

2.5 Resources directorate

- to allocate the DG's resources efficiently, optimise the management of these resources in the service of Parliament's bodies and promote, in cooperation with all EXPO units, an improved programming of the budget's implementation;
- to develop ways to promote flexibility and administrative cooperation between units;
- to continue working with the other relevant services on the security of delegations on official journeys.

1.2. Feasibility and risk assessment

Objective	Risk	Risk ranking	Actions
Provide assistance and expertise to relevant political bodies	Disruption of DG EXPO's ability to perform its activities.	High	Business continuity planning. Communicate to staff at regular intervals the obligation to conform to security and safety instructions and guidelines.
	Crisis during missions including physical security and safety of the Members and staff.	Extreme	A risk assessment for each mission is done and appropriate security measures are put in place in order to mitigate the risks. Specific trainings are also available. Crisis cell has a central role.
	Data information: security of transmission means with the EU institutions.	Medium	There is a project, led by DG ITEC to develop a new IT system.

A Mission Security Assessment procedure is in force to ensure proper evaluation of the security situation in the countries planned to be visited in order to customise the security measures to the needs. Specific budget is available for the implementation of security measures.

In addition, staff going on missions must attend specific security trainings before the mission and all staff involved in the administrative preparation of the delegations must take part in a specific training related to security file management.

2. ASSESSMENT OF RESULTS IN THE LIGHT OF THE OBJECTIVES - USE OF RESOURCES

2.1. Environment of the directorate-general

DG EXPO is in charge of providing support to 3 committees, 2 subcommittees, 4 multilateral assemblies, 44 standing delegations and the Democracy Support and Election Coordination Group (DEG). The units in DG EXPO assist several political bodies dealing with external relations, covering relations with around 160 countries. DG EXPO staff is also organising election observation missions (maximum 12 per year, in 2017 there were 11).

DG EXPO activities in 2017 have been intrinsically linked to the general fine-tuning process of the Parliament, which is reshaping itself to become a more innovative, visible and fast responding organisation.

DG EXPO's main aim during the year has been a more effective cooperation, on a day-to-day level within the DG, but also under the Parliament's larger administrative umbrella in order to effectively serve the main political goal of the institution: to increase democratic legitimacy on behalf of EU citizens.

This red-thread that interlinked the wide web of DG EXPO's actions was translated into the following accomplishments:

- Definition of "joint activities to improve the coherence and consistency of EU action" as lead indicator. This flagship indicator has been established as a representative and aspirational measure of the secretariat's work. The indicator was dissected into a system of metrics which reveals the measurable effort of the DG and its contribution to the strengthening of the Parliament's political message.

- The establishment of the desk officers' profile was defined and validated. Its implementation has already started during the second half of the year. This new job profile implies a consolidation of the AD's responsibilities, covering one or more countries or a geographical region. The objective is to solidify the expertise of the staff in order to better serve the work of MEPs.

- A strategic training scheme on security was shaped and applied during the year. This training framework became a sine qua non condition for participation in DG EXPO missions, which are very often taking place in countries with difficult security conditions. The objective of the training scheme is to instil professional reactions in extreme crisis situations.

- Flexibility and administrative cooperation between the units has been encouraged and developed. It is a useful tool that DG EXPO is currently developing in order to "do more with less", given that it takes part in the 5% establishment plan reduction across all grades, as resulted in the reform of the 2014 Staff regulations.

2.2. Human resources of the DG

2.2.1. Establishment plan

	at 1.1.2016				at 1.1.2017			
	AD	AST	AST/SC	Total	AD	AST	AST/SC	Total
Permanent posts	113	109	3	225	115	108	4	227
Temporary posts	3	1		4	2			2
Total	116	110	3	229	117	108	4	229

2.2.2. Staff numbers as at 31.12.2017

	AD	AST	AST/SC	Total	FTE
Officials	105	102	3	210	206,35
Temporary staff	3	2	0	5	5
- in temporary posts	2	0	0	2	2
- in permanent posts	0	1	0	1	1
- to offset part-time working	1	1	0	2	2
Contractual agents				7	7
Seconded National Expert (SNE)				10	10
Agency staff				0	0
Total				232	228,35

2.3. Budget implementation 2017

2.3.1. Initial and final appropriations

DG EXPO initial appropriations were EUR 3 356 600.

A total of EUR 836 076 were released in the mopping-up exercises. Therefore, the final appropriations amount to EUR 2 520 524, representing 75% of the initial appropriations.

The surpluses come mainly from budget items 3043 (interparliamentary delegations and parliamentary assemblies) and 3042 (committee missions). For the parliamentary assemblies, the Union for Mediterranean annual contribution was not requested and in another case, most of the organisational costs were incurred by the host country or were provided internally.

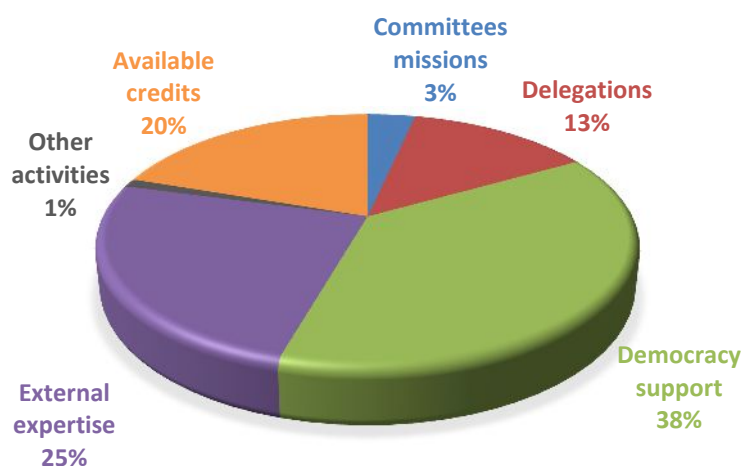
Concerning the Euronest/Euromed Scola programmes, the rules only allow one such event to take place each year, on an alternating basis. This event takes place normally at the end of the year, in Strasbourg. For security reasons (level of alert in France) this event did not take place in 2017.

It is worth highlighting that DG EXPO has a very particular business with a significant degree of uncertainty. For instance, delegations and committees missions can be cancelled or modified due to political developments in the area or new delegations could be authorised outside the initial programme. If security measures are required, the impact on the budget funds needed to cover the related costs can be significant. Nevertheless, there is a close follow up of the budget execution in order to be able to transfer the surpluses on time, and DG EXPO is continuously striving for improving its budget implementation.

2.3.2. Final appropriations and appropriations committed

In total 80% of the final budget was committed in 2017, corresponding to EUR 2 022 088; the level of execution is higher than in previous years (73% in 2016 and 66% in 2015).

The 2017 final appropriations were implemented as follows:



Most of the budget was directed to the democracy support activities (38%) and to external expertise (25%).

The interparliamentary delegations and assemblies used 68% of their annual budget and the committees used 58% of the appropriations allocated to committees' missions. In terms of external expertise, 96% of the appropriations have been committed. The level of implementation of the democracy support activities was around 81%.

As usual, DG EXPO's budget execution is lower for the activities that involve delegations and committees' missions (budget items 3042 and 3043).

For each mission there are several DG involved and costs are shared between DG EXPO/IPOL, FINS (travel costs for MEPs), PERS (travel costs for staff), INTE (costs for interpreters). Only miscellaneous expenditure (costs for local transport, security, booking of meeting rooms, business centre, etc) of a mission is allocated to DG EXPO.

Concerning external expertise, there was a significant improvement in terms of distribution of the workload throughout the year as well as in terms of execution. In the past, there was a concentration of signature of contracts at the end of the year. However, in 2017, only 16% of the contracts were signed in the last two months of the year. Most contracts were signed in June and July. Taking into consideration the final appropriations (after mopping-up), the level of execution of the external expertise budget reached 96% and was the highest so far.

Less external papers were commissioned during 2017, however, due to the specificity and complexity of some projects (requiring economic modelling), there was an increase of the average amount per project.

2.3.3. Appropriations committed and payments made

Payments made in the period from January to December 2017 correspond to 60% of the commitments made, being at the same level as 2016.

Several aspects influence this situation, such as:

1. Considerable number of provisional commitments that are made due to the uncertainty linked to the nature of the activities performed by the different services (outgoing delegations, representation expenses, reimbursements, etc.) as well as the considerable number of temporary imprest accounts (95 in 2017).

2. Around one fourth of the final appropriations are allocated to external expertise, where the time lag between commitments and payments is significant, since the execution of the contracts take several months and the payment is only due after formal acceptance of the services.

3. Events organised at the end of the year, can only be paid in the following year.

4. There are also cases where documents need to be collected for the reimbursement of expenses. The time lag between the dates of the events and the final collection of the documents is considerable thus delaying payments (i.e. election observation missions, study visits).

All these events have impact on the payment appropriations level, implying the carryover of the amounts to be paid.

2.3.4. Use of automatic and non-automatic carryovers from 2016 to 2017

Out of the total commitments of EUR 680 988 which were carried over from 2016 to 2017, EUR 571 693 (84%) have been paid. It was slightly better than in previous years (79% for 2016 and 77% for 2015).

The main reason for the unpaid amounts is the overestimation of the costs, in most of the cases for reimbursements (i.e. hearings, study visits) or cases where the invoiced amount was lower than the amount of the contracts issued.

Additionally, there are also amounts of carryover for the reimbursement of travel expenses for presentations of the studies under the framework contracts that are finally not used. This is difficult to avoid since the eventual costs are not known at the moment of the carryover and there are also cases where no presentation takes place or travel costs are not claimed.

2.3.5. Use of appropriations corresponding to assigned revenue

Not applicable.

2.4. Results achieved

Qualitative analysis of the activities carried out by DG EXPO in relation to the 2017 objectives:

2.4.1. Cross cutting objectives related to DG EXPO's Strategic Execution Framework and the implementation of the Parliamentary Project Portfolio

DG EXPO advanced substantially on the five Parliament Project Portfolio projects that are under its remit.

Project 1 - Implementation of the EU Global Strategy

Implementation of the EU Global Strategy started in the second half of the year with the establishment of the teams responsible for the work on the strategy. Its substance related tasks are expected to be launched in 2018, in close cooperation with DG IPOL and DG EPRS.

Project 2 - Delegations' reporting sheets

The delegations' reporting sheets project maintained its good rhythm of implementation, as it was launched steadily in 2015 with the aim of establishing of a reporting sheet system. It

progressed in 2016 with a first evaluation and it continued in 2017 with the thematic introduction of Immigration, Security and Terrorism issues (more details in sub-chapter 2.4.2.2).

Project 3 - Enhancing working methods to support EP external activities

The reform of DG EXPO's working methods advanced considerably through the creation of the desk officer role within Directorate B which is a key action under the DG EXPO Project 3 (the state of play of this project is described in sub chapter 2.4.2.2.).

Project 4 - More information on resources for better resource management

The analyses of data collected under DG EXPO Project 4 led to the conceptualisation of a new working system which allows for a number of ADs and ASTs to be assigned to work for two or more units. This flexible approach inculcates a new working culture within the DG, which contributes also, in its own way, to the enhanced coordination pre-defined by the lead indicator.

Project 5 - Preventing and better managing crisis during official missions

For the DG EXPO Project 5, two important steps have been undertaken in 2017: (1) the replacement of the Country Security Assessment from DG EXPO Policy Department with the Mission Security Assessment of the Business Continuity Management Unit, (2) the establishing of training sessions specific to crisis situations (more information in sub chapter 2.4.2.5).

2.4.2. Objectives related to the Directorate-General's core business to provide assistance and expertise to the relevant political bodies

2.4.2.1. Committees and sub-committee secretariats:

Increased visibility of activities - Cooperation and synergies between secretariats

A more comprehensive and systematic communication on activities through the Committees' website was achieved. Committees actively promoted horizontal cooperation with other secretariats solidifying a cooperative work culture through the systematic invitation and association of other (Sub-)Committees, Delegations and/or Policy department to relevant meetings. Limits to such cooperation, if ever, were usually linked to political reasons. Horizontal cooperation was incremental and was achieved through cooperation in numerous official committee meetings (notably joint hearings, including with IPOL committees) in the form of joint exchanges of views, but also through association in shadows meetings, inter-service steering groups, working groups, monitoring groups and roundtables, as well as joint missions (Niger, Washington, UNGA). Cross cutting cooperation was also achieved through resource sharing with other units (notably multilateral assemblies), during plenary sessions and in the context of missions' organisation, whenever an increased workload or shortage of staff called for such action.

Cooperation with others, scrutiny and accountability

EXPO committees increased their close cooperation with external stakeholders, notably with third country Missions to the EU in Brussels as well as EU delegations in third countries in the context of the preparation of (Sub-)Committee missions, as well as maintaining close relations in the context of operational management of the Committee's affairs. The committee secretariats further encouraged interaction and synergies with national parliaments, particularly in the areas of CFSP/CSDP, through the preparation, execution and provision of strategic expertise and guidance to national Parliament secretariats in the context of the Inter Parliamentary Conferences organised in association with the rotating Presidencies. Relevant committee secretariats, supported by delegations' colleagues, actively contributed to the

preparation of the mid-term review of the External Financing Instruments (EFI), as well as the preparation of strategic dialogues, providing expertise for the external evaluation of the EFIs.

In all (Sub-)Committees a smooth mid-term transition was ensured for the new Bureau and Chair, streamlining and adapting internal rules and practices to better adhere to the new Rules of Procedure while taking into account the Chair's preferred working methods.

Secretariats provided high level expertise and assistance to the Committee Chair and Rapporteurs, particularly with a view to increase efficiency, response times and output quality. It also enabled rapporteurs to lead shadows' meetings facilitating compromises.

Members were given adequate support to efficiently exercise accountability on activities of the EEAS (through the organisation of Pre-FAC briefings with the HR/VP as well as hearings of newly appointed EU ambassadors) and relevant Commission DGs (TRADE, DEVCO), especially on the implementation of the global strategy in the defence sector, as well as through tabling of questions (and interpellations), question-time in committee or in the framework of annual reports, and participation in Strategic board meetings of Trust Funds.

Last but not least, committees actively worked towards reducing and avoiding conflicts of competences through close, proactive and anticipative administrative cooperation (especially on own-initiative reports). The informal "rule 53+" was used in a number of cases (MFA Georgia, implementation reports on Georgia, Moldova and Ukraine etc.) to enable swift authorisation of these reports, whilst ensuring a meaningful contribution of the opinion-giving committee. In other cases, informal agreement was reached at staff level to take on board the opinion-giving committee's views in Rule 53 cases. Three committees even successfully experienced the first ever Art 55 (joint committees) procedure. Three major trilogues were also successfully concluded.

2.4.2.2. Delegation secretariats

During the reference period, the delegation secretariats continued consistently to apply the working methods and modalities (the so-called reporting sheets) relating to scrutiny introduced in 2015 and revised at the beginning of 2016 and 2017.

The reporting sheets ensure the effective assessment and monitoring of international agreements, the level of implementation of EU financial instruments, the impact of programmes and projects financed by the EU, the follow-up given to recommendations issued by election observation missions, the human rights situation and the monitoring legislation in force or in the making. A total of 97 detailed mission reports mostly focussed on projects financed or co-financed by the EU budget as well as International agreements in force or under negotiation and on the human rights situation in third countries. The number of reporting sheets on the Impact of legislation in force or in the making was, in contrast, much more limited, although there is scope to develop this area further. For the 2017 exercise, a new reporting sheet (Immigration, Security and Terrorism including defence issues) was introduced while the reporting sheet on human rights was extended to include a sub-section on gender-related issues. The guidelines on the reporting sheets were also amended to reflect the modifications introduced in 2017.

The third annual report on scrutiny activities and contributions to the committees' work (2017) and through them to the legislative cycle is in the process of publication. The report includes a detailed description of all the actions undertaken to enhance cooperation with the parliamentary committees and other bodies (DEG) and meet Key Performance Indicator (KPI) objectives.

The good cooperation achieved with committees during the reference period boosted the role of the delegations in supporting the EP's legislative cycle and increasing the scrutiny role of the EP in the field of foreign policy. The number of rapporteurs authorised to join an official delegation visit increased substantially. Joint meetings and presentations of missions' findings become the rule rather than the exception.

During the reference period, an ambitious project to set up EP desk officers who will serve as focal points for third countries was launched and the relevant guidelines were adopted at the beginning of July. The new desk officer concept is not intended to duplicate similar models created by other EU institutions such as the EEAS and the European Commission (EC). It is intended rather to provide additional expertise and to increase the contribution of delegations to committees and other EP bodies as regards a given country or region, while improving cooperation with other services such as the Policy Department. This change also aims to promote the further specialisation of administrators working for standing delegations and joint parliamentary assemblies (JPAs) and enhance the overall contribution of delegations to the legislative and scrutiny activities of the Parliament, particularly with regard to foreign policies and external assistance.

2.4.2.3. Policy Department

In 2017, the Policy Department implemented the results of the [survey](#) carried out in 2016 on the relevance and coverage of issues of interest to the delegations, further improving the quality of analysis, timely delivery and quality of policy options/recommendations. A new template highlighting the issues most relevant to the European Parliament and the EU was developed. In addition to publishing its work on the [EP Think Tank internet site](#) and the [policy departments' common intranet site](#), in order to increase outreach, POLDEP EXPO initiated cooperation on the use of social media with DG COMM. Publications and calls for tenders were announced on the relevant Twitter accounts, when directly related to new developments and to the plenary and committee agendas.

POLDEP EXPO organised a series of events (policy hubs, exchanges of views, a diplomacy forum and a roundtable) on various topical issues with the participation of representatives of relevant academic and think tank communities and international organisations. Two of the policy hubs focused on the impact of the future withdrawal of the UK from the EU on the Union's external policies.

POLDEP EXPO cooperated actively with DG EPRS and DG IPOL. This inter-service cooperation led to the production of 10 internal papers with DG EPRS and 23 with DG IPOL policy departments. The heads of the policy departments met monthly and in April POLDEP EXPO and the External Policies Unit of the Members' Research Service (EPRS) held a joint meeting. The services regularly exchanged information on completed, ongoing and planned projects and this exchange proved particularly intensive for briefings and speaking points prepared for the attention of the Cabinet of the President.

The overall number of internal papers remained constant (290 in 2017 compared to 295 in 2016 and 311 in 2015). Speaking points/background notes constituted 50 % of its internal products.

To sum up, the overall production of POLDEP EXPO in 2017 is listed as follows:

Speaking Points / Background	At a glance	Briefings	In-depth analysis	Studies	External studies (including workshops)	Country Security Assessments (CSA)	Informal Meetings (incl. Policy Hubs, roundtables)
146	1	22	93	28	55	55	17
35 %	1 %	5 %	22 %	7 %	13 %	13 %	4 %

2.4.2.4. Democracy support activities

In 2017, Directorate D further developed the Comprehensive Democracy Support Approach (CDSA) for EP Capacity building activities.

The priority list was extended to Ukraine, Georgia, Moldova, Tunisia, Morocco, Peru, Myanmar, Nigeria, Tanzania and the Pan African Parliament. Furthermore, with a view to improving synergies and cooperation within the EP and with external partners, and enhancing the visibility of capacity building activities, two main events were organised: Tunisia Week (replicating the successful model of the Ukraine Week in 2016) and a High Level Conference on the Legislative Cycle (to which members from all parliaments of priority countries participated). The International Democracy day took place for the third time in the EP premises.

In addition to 11 Election Observation Delegations, two seminars were organised with external partners, on the follow-up to recommendations and on the improvement of Parliamentarians' accountability in election observation.

Activities for the Western Balkans and Turkish parliaments were implemented in close cooperation with the partner parliaments involved, allowing a focus on issues of specific interest for them (Trans-European Networks, violence against women or public procurement).

In addition, the first High-Level Round Table on the EU integration process of the Western Balkans was organised harnessing various Democracy support units and the Committee on Foreign Affairs, providing a new regional focus on the European Integration process.

The most prominent activities in mediation and dialogue were: in Ukraine, the Parliament continued to implement the Jean Monnet Dialogue process with the Speaker and all faction leaders; in the Former Yugoslav Republic of Macedonia, where the successful mediation by Commissioner Hahn and three Members of the European Parliament led to early Parliamentary elections and the establishment of a new Government in May 2017.

Further steps have been taken to develop a new methodology on pre-election violence prevention as a complementary soft tool to the EP/EU Election Observation Missions and implemented for the first time in Kenya.

Actions were conducted with the Sakharov Prize Laureates, Sakharov Fellows and human rights defenders (HRDs) which helped raise the visibility, renown and effectiveness of EP in human rights activities. Participation of the President and many influential Members showed strong political ownership for human rights actions and also contributed to high visibility of its action.

A second successful edition of the Sakharov Fellowship increased the visibility of EP in key third countries and Civil Society Organisations within the EU. A growing network of Fellows complements the activities of Laureates and of the SPN. A conference on Strengthening Regional HRDs Networks in Western Balkans, Eastern Europe and Turkey (60 participants) enabled dialogue, forged closer links and sent strong human rights messages, with President's participation widely reported in the media. SP Laureates also took part in the inter-parliamentary meeting on Women's economic empowerment. Political support to the Laureates, including by silent diplomacy, Sakharov Prize Week, One World Film Festival, Open Door Day and other actions consolidated the political ownership and contributed to the positive picture of EP engagement in human rights.

2.4.2.5. Resources Directorate

The Finance unit assisted to an increase of the activities like:

- Revision of rules
 - a) Active participation and cooperation with DG IPOL in the revision of the rules on public hearings (approved by the Bureau in January) and service instructions (approved by the Secretary-General in July);
 - b) Proposal for the revision of the Democracy Support Financial Provisions;
- Provision of thorough expertise and support for the department managing the budget of the Parliamentary Assembly of the Union for the Mediterranean;
- Active participation in the developments of the parliament's business continuity management and risk management exercise in liaison with the responsible units in other DGs.
- Provision of training - two information sessions on the expertise budget financial procedures (jointly with POLDEP) and one training session on temporary imprest account (jointly with the accounting service of DG FINS).

During 2017, the Finance unit has also prepared, verified and authorised almost 2000 transactions (commitments, payments, liquidations, invoices, etc) and more than 500 contracts. There was also close follow-up of the implementation of open actions resulting from audits and draw up of observations on internal audit reports. Moreover, the financial resources were efficiently allocated and the level of execution in 2017 (80%) was better than in previous years (73% in 2016 and 66% in 2015).

The Events organisation service actively participated in the organisation of five large-scale interparliamentary assembly meetings: the ACP-EU JPA in Malta and Haiti, the EuroLat Committee meetings in Florence, the Plenary Session of EuroLat in El Salvador and the Session of Euronest in Ukraine. It also coordinated and assisted the organisation of the annual Ambassadors' Conference, the EU-African Union Summit, the 29th Sakharov Prize, the Tunisian week, the EP's Open Days and many other events.

In the human resources field it is worth mentioning that on the basis of the administrative agreement on short-term exchanges of staff between Parliament and the EEAS, 8 assignments of EP staff members to the EEAS took place in 2017. The project which is coordinated by DG EXPO at EP level aims at promoting better mutual understanding of working methods and at strengthening links between the two institutions.

In addition, fellowship programmes, exchanges and study visits were also organised with the EP Liaison Office in Washington on the functioning of the US Congress and US Administration and with the European Security and Defence College amongst others.

In the field of learning and development a training programme was implemented for staff travelling on missions. EXPO has regularly set up HEAT (Hostile Environment Awareness Training) and HEAT Cap (alias "HEAT Life"), Medical first aid in a hostile environment and trainings related to the work of the EP crisis cell ("SOS during official missions with MEPs"). Working methods have been modernised with the introduction of a SharePoint to manage course registrations.

As regards IT matters, DG EXPO improved the external visibility of its 44 delegations with the complete revamp of its web pages in Europarl. In line with the EMAS action plan the phasing out of individual printers continued and is completed for 2 out of 4 directorates.

DG EXPO Key Performance Indicators, can be consulted under annex 6.9.

3. EVALUATION AND EFFECTIVENESS OF INTERNAL CONTROLS, INCLUDING AN OVERALL ASSESSMENT OF THE CONTROLS' COST-EFFECTIVENESS (ARTICLE 66(9) FR)

When evaluating the internal controls in DG EXPO, it is worth bearing in mind that in terms of budget implementation, the DG's activities include a high number of low value transactions, a high number of provisional commitments and the need for a significant number of imprest accounts.

The budget structure and detailed financial circuits for the DG's implementation of these funds are published and updated on its web-pages.

DG EXPO has a centralised system, for all financial transactions, including procurement. The financial initiation, verification and authorisation is centralised in the Finance Unit. The operational initiation and "conform aux faits" is done by staff in the operational units. This system is more efficient and allows a better control as well as harmonisation of procedures.

After political authorisation, the transactions are initiated by the operational units while the financial initiation, the procurement/ordering, the ex-ante verification and budgetary authorisation are dealt with by the finance unit.

This segregation of duties (after political authorisation) guarantees that each transaction is implemented and monitored by, at least, four different actors. Therefore, the use of budget funds is transparent and under detailed scrutiny.

DG EXPO has two ex-ante verifiers. Every single transaction (commitments, payments, regularisations of imprest accounts and liquidations) is verified ex-ante. Procurement procedures are also verified, even if most of them are below EUR 15 000. Most contracts are verified before being signed, with the exception of order forms below EUR 2 500 under provisional commitments (decision taken following a risk assessment).

Some administrative errors have been detected prior to the transaction authorisation. During 2017 there were also two cases of non-compliance of rules that were signalled at the verification phase.

Overall, in 2017, almost 2000 transactions (commitments, payments, liquidations, invoices, etc) were verified and registered in Finord and more than 500 contracts have gone through ex-ante verification. In general, considering the number of yearly transactions and the total amount of DG EXPO budget, the controls in place are considered to be cost-effective.

Risk management within the DG has evolved considerably over the past few years and the identified risks and mitigating measures were continuously updated.

Given the strong focus on ex-ante checks as well as considering the annual budget and staff resources available, ex-post controls have not been considered appropriate from the point of view of cost-benefit. Full and strong cooperation is of course afforded to any actions in this respect by the Internal and/or the Auditor Court of Auditors.

4. CONCLUSIONS

DG EXPO focus has been on enhancing cooperation that allows for efficient management and brings added value. In that spirit, we have defined “Joint activities to improve the coherence and consistency of EP external action” as our Key Performance Indicator.

There were more collaborative initiatives and activities - such as the Africa Week, and the Delegation to the African Summit, or the activities on the Western Balkans. Cooperation is taking a step further and DG EXPO is taking advantage of all the expertise on one topic or region in our DG (with the creation of desk officers) and working together for a greater impact. DG EXPO is also working closer with the EC and the EEAS.

In the last year, DG EXPO assisted also to the increase in the work on Democracy Support, with ever more interest (and many more applications) for the Sakharov Fellowship, new Mediation initiatives (that has led to the transformation of the Service into a Unit). Democracy support is still a young area of the work of the EP that has been developing over the last years, and it integrates in a way or another all the other activities of the political bodies of DG EXPO.

DG EXPO is also preparing for the withdrawal of the United Kingdom from the EU. In the moment that the Treaties cease to apply to the United Kingdom the latter will become a third country in relation to the EU. Relations with the UK will therefore be on the sphere of DG EXPO. Due to the expected relevance of this partner, it is possible that DG EXPO would need extra resources for the new activities to be developed.

DG EXPO is making great efforts to apply new working methods and flexibility at work, by having temporary shift of human resources between units (which can mean that colleagues work for more than one unit at a time or change units in succession) in order to better accommodate the workload and use the resources more efficiently.

However, in the context of an increased level of activity and with the successive imposed reduction of resources (reduction of staff and Seconded National Experts, contractual agent's budget and mission's budget), concerns are raised since, in case, resources are stretched to the limit, DG EXPO might risk having undesirable impact on the quality of the services provided to Members.

Last but not least, it is worth noting the relevant experience and background of DG EXPO's staff as well as their dedication, availability and flexibility for dealing with unexpected events, for working sometimes in remote destinations and not always under the easiest conditions.

5. DECLARATION BY THE AUTHORISING OFFICER BY DELEGATION

I, the undersigned, Marco AGUIRIANO NALDA

Director-General of External Policies of the Union,

hereby declare, in my capacity as authorising officer by delegation, that I have reasonable assurance that:

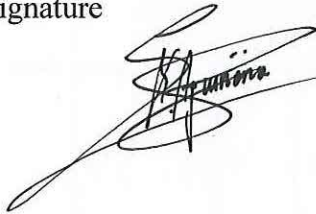
- a) the information contained in the report presents a true and fair view;
- b) the resources assigned to the activities described in the report have been used for their intended purpose and in accordance with the principle of sound financial management;
- c) the control procedures put in place give the necessary guarantees concerning the legality and regularity of the underlying transactions.

This reasonable assurance is based on my own judgment and on the information at my disposal, such as the results of self-assessment, ex post controls and remarks by the Internal Audit Service, as well as the lessons learned from the reports of the Court of Auditors for financial years prior to that for which this declaration is being made.

I also confirm that I am not aware of any fact not set down herein that could be prejudicial to the interests of the Institution.

Done at
on
Signature

Brunel
30/1/18



6. ANNEXES

6.1. 2017 budget implementation statement

6.1.1. Current appropriations as at the end of December - Financial year 2017 (nature 0)

Poste	Intitule	Credits Initiaux	Virements Budg. Suppl.	Credits Actuels	Engagements contractes	% Util.	Paiements effectues	Soldes des Engag	Credits disponibles
3020	FRAIS DE RECEPTION ET DE REPRESENTATION	36.600,00	0,00	36.600,00	18.726,68	51,17	14.658,46	4.068,22	17.873,32
3042	REUNIONS, CONGRES ET CONFERENCES	80.000,00	80.000,00	160.000,00	93.239,90	58,27	50.938,81	42.301,09	66.760,10
3043	FRAIS DIVERS D'ORGANISATION DES ASSEMBLEES PARLEMENTAIRES, DES DELEGATIONS INTERPARLEM. ET AUTRES DELEGATIONS	1.005.000,00	-510.200,00	494.800,00	336.995,52	68,11	184.634,12	152.361,40	157.804,48
3200	ACQUISITION D'EXPERTISE: ÉTUDES, EXPERTS ET AUTRES PERSONNALITÉS	850.000,00	-198.376,00	651.624,00	622.924,50	95,6	251.858,40	371.066,10	28.699,50
3220	DEPENSES DE DOCUMENTATION ET DE BIBLIOTHEQUE	10.000,00	-7.500,00	2.500,00	1.150,95	46,04	1.150,95	0	1349,05
3230	SOUTIEN A LA DEMOCRATIE ET RENFORCEMENT DES CAPACITES PARLEMENTAIRES DES PARLEMENTS DES PAYS TIERS	1.175.000,00	0,00	1.175.000,00	949.050,13	80,77	704.393,16	244.656,97	225.949,87
3244	ORGANISATION ET ACCUEIL DE GROUPE DE VISITEURS, PROGRAMME EUROSCOLA ET INVITATIONS DE MULTIPLICATEURS D'OPINION DE PAYS TIERS	200.000,00	-200.000,00	0	0	0	0	0	0
TOTAL GENERAL		3.356.600,00	-836.076,00	2.520.524,00	2.022.087,68	80,22	1.207.633,90	814.453,78	498.436,32

6.1.2. Automatic carryovers as at the end of December - Financial year 2017 (nature 2)

Poste	Intitule	Credits Reportes	Credits Actuels	Engagements contractes	Paiements effectues	% Util.	Credits disponibles
03020	FRAIS DE RECEPTION ET DE REPRESENTATION	19.041,52	19.041,52	19.041,52	10.678,30	56,08	8.363,22
03042	REUNIONS, CONGRES ET CONFERENCES	23.256,87	23.256,87	23.256,87	13.606,81	58,51	9.650,06
03043	FRAIS DIVERS D'ORGANISATION DES ASSEMBLEES PARLEMENTAIRES, DES DELEGATIONS INTERPARLEM. ET AUTRES DELEGATIONS	114.709,48	114.709,48	114.709,48	88.344,72	77,02	26.364,76
03200	ACQUISITION D'EXPERTISE: ÉTUDES, EXPERTS ET AUTRES PERSONNALITÉS	383.042,00	383.042,00	383.042,00	350.944,24	91,62	32.097,76
03230	SOUTIEN A LA DEMOCRATIE ET RENFORCEMENT DES CAPACITES PARLEMENTAIRES DES PARLEMENTS DES PAYS TIERS	140.937,72	140.937,72	140.937,72	108.119,12	76,71	32.818,60
TOTAL GENERAL		680.987,59	680.987,59	680.987,59	571.693,19	83,95	109.294,40

- 6.1.3. **Non-automatic carryovers as at the end of December** - Financial year 2017 (nature 6) - Not applicable.
- 6.1.4. **Specific expenditure appropriations/assigned revenue as at the end of December** - Financial year 2017 (nature 7) - Not applicable.
- 6.1.5. **Specific expenditure appropriations/assigned revenue carried over as at the end of December** - Financial year 2017 (nature 5) - Not applicable.
- 6.1.6. **Specific expenditure commitments/assigned revenue carried over as at the end of December** - Financial year 2017 (nature 3) - Not applicable.
- 6.1.7. **Specific expenditure appropriations/assigned revenue as at the end of December** - Financial year 2017 (nature 9) - Not applicable.

6.2. Report on compliance with payment deadlines

<u>Invoices paid in 2017</u>		Default interest payable automatically (> €200)	Default interest payable on request (<=€200)	No default interest payable	Total
Paid by the time limit	Number of invoices			566	566
	Total invoiced (€)			1.255.744,89	1.255.744,89
Paid outside time limit	Number of invoices		50		50
	Total invoiced (€)		66.436,95		66.436,95
	Amount of default interest (€)		49,66		49,66
Total number of invoices			50	566	616
Total invoiced (€)			66.436,95	1.255.744,89	1.322.181,84

DG EXPO has decreased the number of late payments in 2017 (50 compared to 86 in 2016). More than 20 late payments had only one day of delay. The late-payment interest is below the threshold of EUR 200 that triggers automatic payment of interest, so it is only payable if requested by the service provider. As none of the service providers requested such payment, no interest was paid. If they all would have requested, the late interest to be paid would amount to EUR 49,66.

DG EXPO average payment delay was 14,75 days, which is below the EP average payment delay and well below the maximum payment delay of 30 days.

6.3. List of exceptions - derogations from the rules
List of waivers/cancellations of receivables (Articles 91 and 92 RAP)

Exceptions to procedures

Decisions to make an exception to the applicable procedures and rules							
Document ref. (Finord ref, contract, etc.)	Relevant Authorising Officer	Subject	Amount	Verifiers' opinion		Decision	
				favourable with statement /unfavourable	Justification	Relevant Authorising Officer	Justification
OD/869/45	Rute AZEVEDO	Reimbursement of travel expenses under a Framework Contract, more than 2 years after the event.	EUR 1 600	NON- CONFORME	FR Budgetary principle: chapter 2 Principle of annuality not respected. ED signed on 15.12.2016 for an event occurred on 10.12.2015. No carryover of the necessary appropriations has been made in 2015.	PASSER OUTRE	Event on 10/12/2015. Related expenses should have been paid until 31/12/2016. However, the invoice was only received on 15/12/2017. Such expenses are not always claimed. EP services were not informed on time. The amount is due and needs to be paid. GEDA(2017)13826.
OD/869/88	Rute AZEVEDO	Reimbursement of expenses to the correct beneficiary, but the original commitment had been liquidated.	EUR 1 031.26	NON- CONFORME	Breach of the EU's FR article 86. In respect of any measure which may give rise to expenditure chargeable to the budget, the authorising officer responsible shall make a budgetary commitment before entering into a legal commitment with third parties. ED 20230/2016 established in 07.10.2016 after the event and respective legal commitments that were borne before (31.05.2016).	PASSER OUTRE	The original commitment (ED 20102 of 26/04/2016) was liquidated on 07/11/2016 and only after it was noticed that this amount was due, since it had been paid to a beneficiary (for which money was recovered). Further details explained in the Geda note 23920.

Waivers/cancellations of receivables

Receivable waiver/cancellation procedures				
Document ref. (Finord ref.)	Relevant Authorising Officer	Subject	Amount	Authorising officer's reasons for waiver/cancellation
Payment order: 869/41/5; Recovery order: 601-90/5; Debit note: 2015-929 of 22/06/2015; Cancellation of recovery order: 601/192/7.	Bernard HELLOT	Funds transferred in 2015, in error, to the Washington transport Company, Platinum Limousine Service	USD 1962.89 (EUR 1809,95)	<ul style="list-style-type: none"> • Low amount in question; • Failure of the repetitive actions undertaken over more than two years; • The last courier was dispatched in June 2017 with no response; • The foreseeable cost of recovery would exceed the amount to be recovered; • The waiver doesn't seem to harm the image of the Union; <p>Further details in the Geda note: D (2017) 36671 of 25/09/2017.</p>

6.4. Long-term contractual obligations

Not applicable.

6.5. Exceptional negotiated procedures (Articles 53 and 134) and competitive procedure with negotiation (135 RAP)

Name(s) of successful tenderer(s)	Subject	Amount	Legal basis	Grounds	Applicants		Eligibility criteria	Contract reference	PPF opinion date
					Invited:	For negotiations			
Deutsche Gesellschaft für Zusammenarbeit (GIZ)	Election observation mission to Kosovo 8-13/06/2017	EUR 15.094,76	NP article 134 1.b) ii)	For technical reasons, the European Parliament has to have the same service provider than the European Commission. To implement the logistical, security and administrative aspects during the election observation missions in cooperation with the European Commission, a direct contract has been awarded to the same economic operator the European Commission contracted following a call for tender for an individual contract (reference 2017/386-328). It was not possible to use the Framework Contract (EC+EP) in place (with reopening of competition), due to last minute decision to participate in this EOM.	1	1	Eligible	2017/20145-01	Not applicable

6.6. Results of ex-post evaluation

No ex-post controls were done.

6.7. Sensitive posts

Following the note of the Secretary General of 19 May 2016 (GEDA (2016) 11955), several posts were selected in accordance with the methodology established and were scrutinised. A reduced exercise was done, since a more comprehensive one had been done in 2016.

The results were similar to the results of the previous exercises. In general, the results of this assessment show that the posts scrutinised in DG EXPO are not sensitive or if there is any sensitive post by inference, the control environment is sufficient to compensate for the resulting risks.

There are 11 ADs for more than 7 years in the same post, due to mobility, most of the cases were already appointed to a new post, in one of the cases, the person is retiring and in another case, due to age, the person is no longer subject to mobility.

6.8. Assessment of the implementation of the Minimum Internal Control Standards

Self-assessment summary table

Standard No	Achieved	Almost	Partly	Started	To be started / NA
Section 1: Mission statement and values					
1. Duties	✓				
2. Ethical and organisational values	✓				
Section 2: Human resources					
3. Allocation of staff and mobility	✓				
4. Staff assessment and development	✓				
Section 3: Planning and risk management					
5. Objectives and performance indicators	✓				
6. Risk management process	✓				
Section 4: Operations and control activities					
7. Operational set-up	✓				
8. Processes and procedures	✓				
9. Supervision by management	✓				
10. Business continuity		✓			
11. Document management		✓			
Section 5: Information and financial reporting					
12. Information and communication		✓			
13. Accounting and financial information	✓				
Section 6 Evaluation and auditing					
14. Evaluation of activities	✓				
15. Evaluation of internal control systems		✓			
16. Audit reports	✓				

Comments on the outcome of the annual self-assessment of MICS performance

Section 1: Mission statement and values - Achieved

DG EXPO's mission is clearly defined and available in DG EXPO's intranet. The objectives of the DG are set taking into consideration this mission cascaded down to Directorates. There is a link between the DG objectives and the objectives of its different services and of the staff objectives. The values - as expressed in the Guide to the Obligations of Officials and Other Servants of the European Parliament - Code of Conduct" - are also clearly communicated to the staff, in the intranet as well as in the DG communications to staff (ie. annual meeting, newsletters, specific requests for information, etc).

Section 2: Human resources

Allocation of staff and mobility - Achieved

Staff recruitment is done in accordance with the rules. All jobs interviews are carried out professionally and recruitment procedures are fully documented. Staff recruited have the expertise, experience, skills and competencies required to perform its tasks and meet its objectives. Recruitment is planned in the long run for the cases of mobility and retirement.

Temporary shift of human resources between units is done, in order to alleviate workload peaks. These exchanges, which are a cooperation between the units, can cover a mission or a

project of short duration, or spread over several months; these exchanges can mean that colleagues work for more than one unit at a time or change units in succession. Cooperation with other units are mentioned in staff reports. All vacancy notices explain that colleagues may be required to assist other DG EXPO services in case of need.

Mentoring is in place to ensure that new staff members learn from their experienced colleagues.

Temporary measures, like recruitment of contractual agents, are used to fill short-term gaps, however, due to budget reduction; some constraints are being faced for the replacement of staff on long-term sick leave. The new rules concerning the length of contract and renewals for contractual agents are fully implemented - and contractual agents are recruited not for a specific unit, but rather for the DG.

Concerning staff mobility, staff is encouraged to express its preferences on allocation and reallocation and posts in mobility are communicated to staff concerned, in order to ensure a maximum of transparency of the procedure.

Staff assessment and development - **Achieved**

The performance of all staff is assessed through the annual staff assessment procedure. Staff objectives are clearly indicated at the beginning of the year.

A career counselling service is available in order to provide assistance on career development.

Training objectives are determined annually within the annual training programme. In each unit the HoU and the training correspondent are in charge of evaluating specific training needs. Moreover, staff specific training needs are discussed, identified and included in their staff report. The annual training plan is discussed within the group of correspondents, validated by the HoU and then adopted by the Management Team.

Specific external or internal training is developed in order to cover specific training needs that are not covered by the training services (i.e. HEAT trainings on security, temporary imprest account training only for DG EXPO and management of external studies).

Section 3: Planning and risk management

Objectives and performance indicators - **Achieved**

Objectives are defined and revised annually for the Directorate-General, as well as for each directorate and unit. Personal objectives for staff members are defined at the beginning of the year, and are in line with the DG's objectives and mission.

2017 was a remarkable year, since a lead indicator has been defined for the whole DG, which signals our efforts to deploy our resources more efficiently and to strengthen the Parliament's impact in external policies by projecting a unified message. DG EXPO lead indicator is "joint activities to improve the coherence and consistency of EU external action".

In order to measure this lead indicator, several key performance indicators were defined and the first reporting phase concerned the 2nd quarter of 2017. This first exercise revealed the need of slightly adjusting some of the indicators that have been defined. Further details are included in annex 6.9.

Risk Management - **Achieved**

Risk Management is done in line with the guidance provided by the Risk Manager of the European Parliament. DG EXPO's risk register is updated periodically. Risk assessment is an ongoing process.

Section 4: Operations and control activities

Operational set-up - **Achieved**

DG EXPO has a centralised system for financial matters. The files are initiated by the operational units, but the financial initiation, verification and authorisation is centralised in the Finance Unit, in the Directorate of Resources.

At the beginning of the year the authorising officer by delegation signs the sub-delegations. All authorising officers by sub-delegation are informed of their responsibilities and duties.

All DG EXPO staff is informed of all financial actors in place, there is a list published on the intranet that is periodically updated.

Processes and procedures - **Achieved**

Processes and procedures are in line with the relevant regulations, provisions and rules in place. There are processes and procedures clearly established, not only on the financial side, but also on the operational side. Information, including instructions, notes from the DG, templates, handbooks, etc., are available on DG EXPO's intranet.

Some of DG EXPO activities are similar to the ones performed by DG IPOL. So, whenever possible, harmonisation of procedures between both DGs is encouraged and put in place.

Exceptions (avis non-conform) are reported to the management. This information is also included in the intermediate reports as well as in the Annual Activity Report.

Info-sessions are organised, on a regular basis, to discuss best practices and raise some awareness on the procedures in place.

There is a clear segregation of duties, especially between the financial actors.

A new IT tool is being developed - Mission Organisation and Preparation (MOP) tool - that will help streamlining processes and improve the organisation of missions.

Supervision by management - **Achieved**

Regular reporting on budget execution is addressed to the management.

Risk assessment is done and so far the need for performing ex-post controls was not identified. DG EXPO deals with a particular "business", since the number of financial transactions is high, but most of them of very low value. Ex-ante controls are performed for all transactions.

Business continuity - **Almost Achieved**

DG EXPO has a back-up system in place for staff. As well as in case of retirement, leave on personal grounds, transfer or long absence (annual or special leave), a handover of the files is done.

Each time a member of the management is off, a delegation is done and all units are informed.

In case of absence of staff, the business continuity is ensured; however, in case of major disruptions there is no updated business continuity management plan, only for our DG. This exercise is being coordinated centrally and in the course of 2017 significant improvements were achieved. A Business Impact Assessment and a Risk Analysis was done. Next step is the plan.

For the outgoing delegations, in case of a crisis the Crisis Cell of the EP is ready to intervene.

Document management - **Almost Achieved**

Staff is familiar with procedures for registration and filling of the different types of documents. There is a team dealing with document management where all units are represented by a staff member and they meet periodically. New GIDOC filing plan was approved but its implementation is still starting and can be improved.

There are also specific procedures in place for handling EU classified information.

Section 5: Information and financial reporting

Information and communication - **Almost Achieved**

This standard is considered almost achieved, since some measures are still need to be implemented, concerning electronic handling of EU classified information, however it does not depend only on DG EXPO. A new project will be implemented by DG ITEC. For the moment a secure reading room is operational.

Accounting and financial information - **Achieved**

The accounting data, annual accounts and financial reporting are prepared in accordance with the Financial Regulation and its rules of implementation, with the general accounting principles as well as in accordance with the internal rules.

DG EXPO has a centralised system, since the main financial actors are in the finance unit, so the financial initiation, verification and authorisation are done by the staff of the finance unit. The operational initiation is done by the staff in the operational units.

Information and financial reporting on budget implementation is provided by the finance unit to the responsible units in order to allow an accurate monitoring of the budget consumption.

DG EXPO's budget implementation is monitored and reported periodically, in accordance with, the relevant EP decisions and resolutions, mainly addressed by the Secretary General and DG FINS. It includes activity reports, preparation of budget estimates, discharge procedures, mopping-up exercises, information discussed in management meetings, etc.

DG EXPO also contributes to the preparation of the financial statements (finalised by DG FINS) to facilitate the decision making process of the EP's political bodies (Conference of Presidents and Bureau). The financial statements are estimates of expenses and are prepared when requests for delegations, missions and hearings are submitted to the authorisation of the political bodies (for the 6-month programmes).

The quality of the reporting could be improved with an efficient IT financial system.

Section 6: Evaluation and auditing

Evaluation of Activities - Achieved

Activities are evaluated by the management in order to ensure an efficient use of resources and to check if the objectives were achieved. The result of this evaluation might be the discontinuity of an activity (i.e. check of the mission orders by the local service - checks are only done by the central service; preparation of the individual financial statements by the financial unit). Special attention is dedicated to new activities, which are evaluated in order to decide its continuity or not.

Evaluation of internal control systems - Almost Achieved

Some functions are centralised at the finance unit level. There is a straight cooperation between the finance unit and DG EXPO management.

For the self-assessment, several sources of information are gathered through contacts with the management, information from the management meetings, reports issued (financial and operational), observations and recommendations from the ex-ante verifiers, notes from the AOSD, etc.

Improvements can be made (i.e. creation of errors register) and some internal guidelines need to be prepared or updated.

Audit Reports - Achieved

The finance unit in DG EXPO ensures that action plans following the audits are implemented. Close follow-up and reporting is done. During 2017, there was a horizontal internal audit on the Annual Activity Reporting Process, for which meetings were conducted and comments provided to the draft reports. There is also the follow-up of the implementation of the action plan of two other internal audits: one Business Continuity Management and another one on the implementation of the Code on Multilingualism (for which an Operational Coordination Group of representatives of the DGs concerned was created).

6.9. Key Performance Indicators

2nd semester 2017

Percentage of half-day EXPO committee meetings in Brussels and Strasbourg to which a committee, a delegation or the DEG / CDSA lead Member was associated (to a majority of substantive points) before the agenda of the meeting was set:	45%
Percentage of meetings of working groups, monitoring groups and other groups held by EXPO's Directorate A (committees) in Brussels and Strasbourg to which a committee, a delegation or the DEG / CDSA lead Member was associated before the agenda of the meeting was set:	43%
Percentage of EXPO committee reports that were sent for contribution to all relevant secretariats (in Directorates A, B and D, as well as in IPOL) during the drafting stage:	50%
Percentage of missions organised by EXPO's Directorate A (committees) on which another secretariat (of a different committee in EXPO or IPOL, a delegation or Directorate D) was consulted during the planning stages:	88%
Percentage of missions organised by EXPO's Directorate A (committees) that were joined by one or more delegation Chair(s) and/or Member(s) representing another committee(s), including rapporteurs:	50%
Percentage of delegation meetings and incoming IPMs in Brussels and Strasbourg in which a committee, delegation or EXPO's Directorate D secretariat was formally involved (in writing) before the agenda of the meeting was set:	37%
Percentage of IPM conclusions (joint statements, recommendations, etc.) that were sent in draft form for contribution to committee secretariats and/or other EP bodies' secretariats (policy department, delegations or units in EXPO's Directorate D) before the meeting:	64%
Percentage of missions outside the EP places of work organised by EXPO's Directorate B that were joined by a representative (usually rapporteur) of a committee (in EXPO or IPOL), another delegation's chair, or a CDSA lead Member:	50%
Percentage of formal "Inter-Parliamentary Committee" meetings held (including JPCs, PCCs, PACs and SAPCs) with a country that was the destination of an EOM since the last IPM, in which the EOM report was included as a formal point on the agenda:	50%
Percentage of draft committee reports received by delegation secretariats on which comments were provided:	60%
Percentage of ad hoc press statements issued by delegation chairs (not as part of the conclusions of an IPM) that were issued jointly with another delegation chair, committee chair or a CDSA lead member:	50%
Percentage of briefings for the President prepared by the Policy Department counted above on which input was requested in writing from other secretariats (committees, delegations or Directorate D):	84%

Percentage DG EXPO staff travelling outside EU on official business (external missions) who had received HEAT training:	63%
Percentage of DG EXPO staff travelling outside EU on official business (external missions) who had received first aid training:	35%
Percentage of DG EXPO staff travelling outside EU on official business (external missions) who had received training on Imprest accounts:	79%
Percentage of DG EXPO staff travelling outside EU on official business (external missions) who had received Crisis Cell training "How to react in case of emergency":	34%
Percentage of DG EXPO staff travelling outside EU on official business (external missions) who had attended an MCM training session:	26%
Percentage of external (outside the EP places of work) events (EOMs, mediation, conferences) organised by the Directorate for Democracy Support that were coordinated with committees and delegations before the event:	76%
Percentage of internal events (in the EP places of work) organised by the Directorate for Democracy Support that were coordinated with committees and delegations before the event:	100%
Number of events organised by the Directorate for Democracy Support that were coordinated with other actors:	69%
Percentage of Directorate D events (including conferences, missions, visits) about which feedback was provided to the relevant committee(s), delegation(s) or working group(s):	82%