EU decentralised Agencies' report to the European Parliament on the follow-up to the 2017 budgetary discharge

August 2019

Contents

1. Introduction

On 26 March 2019 the European Parliament voted on the "*Discharge 2017: performance, financial management and control of EU agencies, European Parliament resolution of 26 March 2019 on discharge in respect of the implementation of the budget of the European Union agencies for the financial year 2017" a* report by MEP Petri Sarvamaa.

Discharge was granted to all Agencies with the exception of one Agency.

The final document consisted of 49 comments and recommendations. The EU Agencies Network (EUAN) drafted this follow-up report addressing a selected number of recommendations from the Parliaments document.

The report consists of two parts:

- Horizontal messages prepared by the EUAN Coordination on behalf of the Network;
- Individual EU Agencies fiches.

Information in this report was collected in the form of an online survey. Altogether 32 Agencies replied.

2. Follow up to the 2017 discharge recommendations

2.1 Budget and financial management

10. Calls on the Commission, the Network and the individual agencies to work together and provide constructive feedback throughout the negotiations for the post-2020 Multiannual Financial Framework, and to explore new sources of financing for the agencies in addition to the existing Union budget contributions; insists that future decisions on resources should not be made on a global basis, but rather should be linked to the tasks the agencies are entrusted to carry out based on legislation in force; stresses in this regard the importance of the agencies' thematic bundling and cooperation according to fields of policy;

The Network welcomes the support of the European Parliament and the invitation to provide the EU Institutions with constructive feedback in the framework of the post-2020 Multiannual Financial Framework negotiations.

Each Agency was invited to each perform an analysis of the MFF 2021-2027 proposal, as circulated by the Commission in July 2018. A consolidated version with Agencies' analyses is foreseen to be further discussed with the EU Institutions in October 2019.

11. Notes that the audited budgetary implementation reports of certain agencies differ from the level of detail provided by most other agencies, which demonstrates the need for clear guidelines on agencies' budget reporting; acknowledges the efforts made in order to ensure consistency in the presentation and reporting of accounts; observes discrepancies in certain *information and documents disclosed by the agencies, especially regarding staff related figures, including in reports on the establishment plan (posts filled in, or maximum posts authorised under the Union budget); points out that some agencies do not state clearly in their reports the budgetary performance indicators used, and that the agencies have not always computed the respective amounts and percentages coherently through using the same elements for calculation; calls on the Commission, the Network and the individual agencies to work on streamlined and harmonised indicators and report to the discharge authority on the measures taken in this regard; furthermore, calls on the Commission in the coming years to automatically provide the discharge authority with the official budget (in commitment appropriations and in payment appropriations) and staff figures (establishment plan, contract agents and seconded national experts as of 31 December of the year in question) of the 32 decentralised agencies;*

The decentralised Agencies are following the European Commission's 'Guidelines for the Single Programming Document', (Ref. Ares(2014)4305716 - 19/12/2014):

[https://ec.europa.eu/transparency/regdoc/rep/3/2014/EN/3-2014-9641-EN-F1-1-ANNEX-1.PDF]

These guidelines indicate which elements should be part of the SPD (e.g. establishment plan). Following the new Financial Framework Regulation, these guidelines are currently being revised, and the comments from the European Parliament will be taken in consideration in the discussions between the Agencies' network and the Commission to ensure a better alignment between Agencies. The new guidelines are expected before the end of 2019.

Additionally, regarding administrative indicators, the Agencies should use in their SPD and annual report, the list of compulsory administrative KPIs (incl. budgetary) included in the Commission staff working document SWD (2015) 62 final (Guidelines on key performance indicators (KPI) for directors of EU decentralised Agencies).

[https://ec.europa.eu/transparency/regdoc/rep/10102/2015/EN/10102-2015-62-EN-F1-1.PDF]

Finally, in 2014 the Heads of Agencies endorsed the "Handbook and catalogue of indicators" (Annex II.) prepared by the Performance Development Network (PDN). The PDN is expected to update the handbook, to better reflect the current situation, with a focus on composite indicators measuring effectiveness, efficiency, added value, and impact.

Agencies have shared their indicators through a common repository focusing on KPIs included in their SPD/CAAR. Currently more than 386 updated indicators were shared, though the process is on-going. In parallel an analysis will be conducted highlighting, among other things, the changes made since 2014. The analysis of the repository of Agencies' specific indicators will help to update the more generic catalogue.

In many cases, the categorisation of indicators differs across Agencies. The PDN is working on proposing a more consistent approach. After a formal endorsement by the Heads of Agencies, the outcome of the PDN working group on indicators could be shared with the European Parliament in Q4 of 2019.

2.2 Procurement

35. S*hares the Court's view regarding the use of similar tools and a single solution for the procurement of supplies or services (e-procurement) to achieve a more harmonised IT framework among agencies; calls on the Network to report to the discharge authority on progress made in this regard;*

The Network of Agencies Procurement Officers (NAPO) reported in its 2018 annual report the following in relation to e-procurement:

Throughout 2018, NAPO actively promoted the use of forums on the EUAN extranet, populating and updating the 18 forums with latest information and email exchanges on technical topics in an effort to disseminate NAPO discussions and useful information as widely as possible. The forums with the highest number of posts relate to "Technical Q&A" and "Questions to CFS", other forums include:

- Procurement case law;
- e-procurement;
- process improvements;
- EDPS;
- e-signature;
- Financial Regulation changes.

During the annual NAPO meeting 2018 topics discussed and expertise shared included updates on e-procurement (DG-DIGIT); procurement case law; impact of EMAS certification on procurement (EEA); common audit findings in agencies (ECA); e-signature (FRONTEX). During 2018 there was an increase in the number of inter-agency calls launched by NAPO members. This trend leads to a closer cooperation between the agencies and a shared interest of harmonisation of the administrative and technical systems.

A working group was established to collect improvement suggestions of the e-prior/SEDIA suite. Subsequently the collection of ideas was forwarded to DG DIGIT and DG GROW, those responsible for further evolution of e-submission in the context of dedicated User Group. NAPO was invited to provide a representative for the User Group for evolution of e-Submission and e-Evaluation.

During 2019 NAPO has established a joint working group on certified e-signature. This working group will liaise with the IALN and ICTAC network. On the Agenda for the 2019 annual NAPO meeting there are multiple speakers presenting topics related to a more harmonised IT framework, such as:

- JRC presenting the Public Procurement Management Tool (PPMT)
- DG DIGIT presenting the latest updates with systems for e-Procurement.
- The working group on e-signature presenting its findings.

2.3 Prevention and management of conflicts of interests and transparency

36. Notes that 77 % of agencies had already set up and implemented internal rules or guidelines on whistleblowing and the other 23 % are in the process of adopting them; urges the remaining agencies to set up and implement internal rules on whistleblowing without further delay; calls on the Network to report to the discharge authority on the adoption and implementation of these measures;

38. Notes that Declarations of Interest (DoI) of the management board members and senior management are in place in almost all agencies and that these are published by most of the agencies on their website , along with relevant CVs; calls on the Network to continue reporting to the discharge authority on this issue; stresses that management board members and senior management should submit declarations of interest instead of declarations of the absence of conflict of interests; reiterates that it is not for the members or management to declare themselves out of conflict of interest; recalls that a neutral body should assess the existence of conflict of interest;

The Conflict of interest (CoI) is a recurring topic in the annual discharge procedure. Agencies report on the status quo of their CoI policies in the horizontal and in their individual discharge reports.

In March 2019 the European Parliament's Policy Department for Citizen's Rights and Constitutional Affairs, Directorate General for Internal Policies (PETI) committee organised a workshop on CoI and the situation in the decentralised Agencies. Subsequently the Committee commissioned a study titled "Questionnaire on Conflicts of Interests in relation to EU decentralised Agencies". The study was conducted by the Maastricht University in a written consultation with the decentralised Agencies.

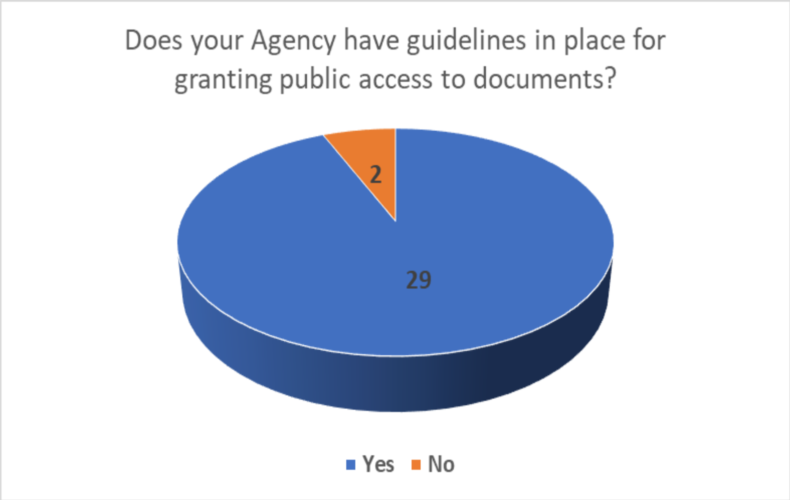
The study included some of the following elements:

- Definition of conflicts of interest;
- Actors declaring Declaration of Interest;
- Assessment of Conflicts of Interest;
- Interests that have to be declared;
- Screening of the declared interests;
- Investigative and control mechanisms in place;

It is foreseen that the study will be made available in Q4 of 2019 and should provide a comprehensive overview of the CoI policies in the different Agencies.

37. Welcomes the fact that 29 agencies (94 %) have guidelines in place for granting public access to documents; calls on the remaining agencies who do not have such guidelines to adopt them without further delay; approves the development of internal systems in place to handle the requests, including specially trained access-to-document teams, dedicated to handling the incoming requests in agencies facing a higher frequency and *complexity of requests; calls on the Network to develop common guidelines for applying public access to documents to be implemented by the agencies;*

It is worth noting that when it comes to public access to documents guidelines in Agencies, in general, the situation varies greatly.



Most Agencies (29 Agencies or 94%), except for CdT and eu-LISA, have guidelines in place for granting public access to documents.

Following the recommendation of the Parliament during the previous discharge procedure, CdT foresees to have guidelines in place on granting public access to documents before the end of this year.

eu-LISA is going to develop internal rules on how to handle requests to access public documents and endeavours to adopt such rules by Q2 of the coming year (2020).

39. *Recalls that a number of agencies, in particular those issuing authorisations to third parties for bringing products on the market, are vulnerable if they do not have and implement clear and effective rules to prevent conflicts of interest; calls on all agencies to participate in the inter-institutional agreement on the transparency register that is currently subject of negotiations between the Commission, the Council and the Parliament;*

The IALN Network regularly exchanges best practices in relation to the management of conflicts of interest. Agencies with a similar mandate (e.g. the Agencies under DG SANTE) have annual coordination meetings to align their respective policies.

Many agencies already have included in their policies the obligation to be registered with the Transparency register. The IALN will continue to promote its use.

Annex I. Individual Agencies replies

ACER

Human resources management

27. Calls on all agencies to disclose their level of staff turnover and to clearly indicate the positions, which are effectively occupied by 31 December of the relevant financial year, in order to ensure inter-agency comparability;*(clarification from CONT - years 2017 and 2018)*

Agency response:

	Turnover rate of officials (in %)	Turnover rate of temporary agents (in %)	Turnover rate of contract agents (in %)
31.12.2017	n/a	Turnover rate: 9,67% 1.1.2017: 61 31.12.2017: 63 Deparures in 2017: 6	Turnover rate: 34,04% 1.1.2017: 26 31.12.2017: 21 Departures in 2017: 8
31.12.2018	n/a	Turnover rate: 11,02% 1.1.2018: 63 31.12.2018: 64 Deparures in 2018: 7	Turnover rate: 18,6% 1.1.2018: 21 31.12.2018: 22 Deparures in 2018: 4

28. Regrets the gender imbalance in some agencies; calls on all agencies to constantly work on a balanced distribution on all levels of staff and report to the discharge authority on implemented measures and progress; What measures did your Agency undertake to address gender imbalance? Please specify:

Agency response: In accordance with Article 1d of the Staff Regulations and Articles 12(1) and 82(1) of the CEOS, the Agency applies an equal opportunities policy for its staff, adopting measures and taking actions to promote equal opportunities for men and women. Its targets can be broken down into several types of measures:

- Removal of all barriers to any gender discrimination in recruitment, training and career development paths;
- Reconciliation of personal and working life (e.g. implementing provisions on teleworking have been adopted with the Decision AB nº 25/2017);
- Awareness-raising session on issues of gender equality (in September 2017, with a visit of EIGE Director).

Prevention and management of interests and transparency

42. Notes with satisfaction that a large majority of the agencies do not present weaknesses in the implementation of their internal control standards concerning their business continuity plans; calls on the remaining agencies to improve their situation in order to mitigate any potential risks and to report to the discharge authority on the measures taken;
This question concerns GSA and EASO. The concerned Agencies (EASO, GSA) are invited to provide an update on the state of play of their business continuity plans.

Agency response: n/a

Other comments

44. ... notes moreover the possible impact on the revenue and activities of several non-London based agencies; calls on the agencies to prepare to mitigate any potential risks that may follow and report to the discharge authority on the implementation of such preparatory measures;

Did your Agency put in place relevant measures to mitigate any potential risks that may follow from Brexit? Please specify:

Agency response: In early 2018 ACER carried out a comprehensive analysis on the likely impact of Brexit on the Agency, which it has updated in line with subsequent developments at the EU level. The analysis indicates that Brexit will have few repercussions on the Agency's administration and day to day running (there are no UK staff members employed at the Agency, nor UK members of the Administrative Board or Board of Appeal, while there is one UK contractor). The main impact will concern the role of the UK national regulator in the Agency's Board of Regulators and working groups and arrangements concerning the implementation of the regulation of wholesale energy market integrity and transparency (REMIT), for which the Agency prepared alternative scenarios and mitigating measures.

On 8 January 2019 the Agency issued an Open Letter on the implications of the withdrawal of the UK from the EU on the registration of market participants and data reporting under REMIT. The Open Letter was coordinated with the Commission services in order not to interfere with the European Commission's negotiation mandate provided by the European Council. On 2 March 2019 the Agency further clarified to stakeholders, including national regulators and members of the Board of Regulators, the practical consequences of Brexit on the Agency in relation to REMIT and informed them on the Agency's mitigating measures.

BEREC Office

Human resources management

27. Calls on all agencies to disclose their level of staff turnover and to clearly indicate the positions, which are effectively occupied by 31 December of the relevant financial year, in order to ensure inter-agency comparability;*(clarification from CONT - years 2017 and 2018)*

Agency response:

	Turnover rate of officials (in %)	Turnover rate of temporary agents (in %)	Turnover rate of contract agents (in %)
31.12.2017	N/A	0%	11.76%
31.12.2018	N/A	0%	35.29%

28. Regrets the gender imbalance in some agencies; calls on all agencies to constantly work on a balanced distribution on all levels of staff and report to the discharge authority on implemented measures and progress; What measures did your Agency undertake to address gender imbalance? Please specify:

Agency response:

The selection process of staff at the BEREC Office is in full compliance with the current Staff Regulation. The selection committees pays a high attention in what regards the gender balance of the selected candidates.

Consequently the Agency achieved a good gender balance of its staff (52% female and 48% male on 31 December 2018), with an even gender balance in middle management positions (50% female and 50% male).

Prevention and management of interests and transparency

42. Notes with satisfaction that a large majority of the agencies do not present weaknesses in the implementation of their internal control standards concerning their business continuity plans; calls on the remaining agencies to improve their situation in order to mitigate any potential risks and to report to the discharge authority on the measures taken;
This question concerns GSA and EASO. The concerned Agencies (EASO, GSA) are invited to provide an update on the state of play of their business continuity plans.

Agency response:

Other comments

44. ... notes moreover the possible impact on the revenue and activities of several non-London based agencies; calls on the agencies to prepare to mitigate any potential risks that may follow and report to the discharge authority on the implementation of such preparatory measures;

Did your Agency put in place relevant measures to mitigate any potential risks that may follow from Brexit? Please specify:

Agency response: The BEREC Office carried out an analysis of the likely impact of BREXIT on its activity and identified the necessary mitigating steps.

At the BEREC Office there are no staff members with sole UK citizenship, therefore there are no risks related to HR issues.

No budget related risks have been identified.

The risks that may follow Brexit are the following:

- the risk that members of the British NRA Ofcom still receive information, either via e-mail or via access to the BEREC intranet (BERECNet). To mitigate this risk, the IT team of BEREC Office has been instructed to prepare a quick cleaning of mailing list, exploders and lists of access rights to BERECNet once the Brexit becomes effective. The IT team is ready to do this cleaning within a couple of hours after being informed about the date and time Brexit becomes effective.

- The risk that members of Ofcom still attend BEREC meetings after Brexit becomes effective. This risk is limited to meetings taking place shortly after the Brexit and invitation have been sent out before the Brexit. To mitigate this risk, the staff members of the Office that are in charge of organizing the relevant meetings have been instructed to contact the invited Ofcom members and withdraw the invitation.

CdT

Human resources management

27. Calls on all agencies to disclose their level of staff turnover and to clearly indicate the positions, which are effectively occupied by 31 December of the relevant financial year, in order to ensure inter-agency comparability;*(clarification from CONT - years 2017 and 2018)*

Agency response:

	Turnover rate of officials (in %)	Turnover rate of temporary agents (in %)	Turnover rate of contract agents (in %)
31.12.2017	2.61%	1.57%	16.33%
31.12.2018	1.09%	4.35%	4.44%

28. Regrets the gender imbalance in some agencies; calls on all agencies to constantly work on a balanced distribution on all levels of staff and report to the discharge authority on implemented measures and progress; What measures did your Agency undertake to address gender imbalance? Please specify:

Agency response: In 2006, an Equal Opportunities Policy was adopted by the Translation Centre and published for the attention of all staff. Through this decision, the Centre has stated its full commitment to providing equal opportunities for all its employees through its employment practices, policies and procedures.

In order to help reconcile the personal and working life of its staff, the Centre applies the relevant provisions of the Staff Regulations, including those related to parental leave, part time, maternity leave and breast-feeding. The Centre also has flexitime and teleworking policies with a view to strength gender balance and equal opportunities for women and men.

Prevention and management of interests and transparency

42. Notes with satisfaction that a large majority of the agencies do not present weaknesses in the implementation of their internal control standards concerning their business continuity plans; calls on the remaining agencies to improve their situation in order to mitigate any potential risks and to report to the discharge authority on the measures taken;
This question concerns GSA and EASO. The concerned Agencies (EASO, GSA) are invited to provide an update on the state of play of their business continuity plans.

Agency response:

Other comments

44. ... notes moreover the possible impact on the revenue and activities of several non-London based agencies; calls on the agencies to prepare to mitigate any potential risks that may follow and report to the discharge authority on the implementation of such preparatory measures;

Did your Agency put in place relevant measures to mitigate any potential risks that may follow from Brexit? Please specify:

Agency response: During risk assessment exercises some specific risks that may follow from Brexit were identified.

Subsequently the following meassures were put in place:

As far as staff is concerned, derogation decisions were taken for existing staff from the UK.

For economic operators from the UK, a clause was included in the tender specifications that tenderers from the UK may be excluded from procurement procedures.

CEDEFOP

Human resources management

27. Calls on all agencies to disclose their level of staff turnover and to clearly indicate the positions, which are effectively occupied by 31 December of the relevant financial year, in order to ensure inter-agency comparability;*(clarification from CONT - years 2017 and 2018)*

Agency response:

	Turnover rate of officials (in %)	Turnover rate of temporary agents (in %)	Turnover rate of contract agents (in %)
31.12.2017	18.7	5.3	3.8
31.12.2018	7.6	2.7	0

28. Regrets the gender imbalance in some agencies; calls on all agencies to constantly work on a balanced distribution on all levels of staff and report to the discharge authority on implemented measures and progress; What measures did your Agency undertake to address gender imbalance? Please specify:

Agency response: On 31 December 2017 the overall gender balance at Cedefop was 59% female to 41% male. Women are well represented at all grades including at management level.

Cedefop is an equal opportunity employer. This is mentioned in all vacancy notices. Vacancy notices are drafted using gender-neutral language. All vacant posts are open to all suitably qualified candidates. Vacancy notices avoid references to characteristics or characteristics that directly or indirectly apply to a particular type of person.

Prevention and management of interests and transparency

42. Notes with satisfaction that a large majority of the agencies do not present weaknesses in the implementation of their internal control standards concerning their business continuity plans; calls on the remaining agencies to improve their situation in order to mitigate any potential risks and to report to the discharge authority on the measures taken;
This question concerns GSA and EASO. The concerned Agencies (EASO, GSA) are invited to provide an update on the state of play of their business continuity plans.

Agency response:

Other comments

44. ... notes moreover the possible impact on the revenue and activities of several non-London based agencies; calls on the agencies to prepare to mitigate any potential risks that may follow and report to the discharge authority on the implementation of such preparatory measures;

Did your Agency put in place relevant measures to mitigate any potential risks that may follow from Brexit? Please specify:

Agency response: Cedefop has introduced a clause for British candidates or tenderers in its call for tenders based on the advice provided by DG BUDG.

CEPOL

Human resources management

27. Calls on all agencies to disclose their level of staff turnover and to clearly indicate the positions, which are effectively occupied by 31 December of the relevant financial year, in order to ensure inter-agency comparability;*(clarification from CONT - years 2017 and 2018)*

Agency response:

	Turnover rate of officials (in %)	Turnover rate of temporary agents (in %)	Turnover rate of contract agents (in %)
31.12.2017	NA	6,6	37,5*
31.12.2018	NA	18,75*	16,6*

*The turnover includes those staff members (2TA in 2018, 3 CA in 2017 and 1 CA in 2018) that have been successful in their application for a different, higher-graded position on CEPOL for which they were treated as external candidates. If these staff members would not be included, the turnover rates would be reduced to 12,5 (TA in 2018), 18,75 (CA in 2017) and 13,3 (CA in 2018)

28. Regrets the gender imbalance in some agencies; calls on all agencies to constantly work on a balanced distribution on all levels of staff and report to the discharge authority on implemented measures and progress; What measures did your Agency undertake to address gender imbalance? Please specify:

CEPOL does not have a significant gender imbalance. The overall gender balance at CEPOL on 31 December 2018 was 56% female to 44% male (on 31 December 2017 this was 54% to 46%); Women are well represented at all grades including at management level. The CEPOL management team (Executive Director, Heads of Departments, Heads of Units) on 31 December 2018 consists of 3 women and 3 men. CEPOL is an equal opportunity employer. Vacancy notices are drafted using gender-neutral language. All vacant posts are open to all suitably qualified candidates.

Agency response:

Prevention and management of interests and transparency

42. Notes with satisfaction that a large majority of the agencies do not present weaknesses in the implementation of their internal control standards concerning their business continuity plans; calls on the remaining agencies to improve their situation in order to mitigate any potential risks and to report to the discharge authority on the measures taken;
This question concerns GSA and EASO. The concerned Agencies (EASO, GSA) are invited to provide an update on the state of play of their business continuity plans.

Agency response: N/A to CEPOL

Other comments

44. ... notes moreover the possible impact on the revenue and activities of several non-London based agencies; calls on the agencies to prepare to mitigate any potential risks that may follow and report to the discharge authority on the implementation of such preparatory measures;

Did your Agency put in place relevant measures to mitigate any potential risks that may follow from Brexit? Please specify:

Agency response:

In 2018 CEPOL re-assessed the likely Brexit impact on its operations and accounts, which was formalised in the risk register, with the conclusion that Brexit has a limited impact on CEPOL. This is a consequence of the fact, that as stated in recital 25 of Regulation (EU) 2015/2219 , (the 'CEPOL Regulation'), United Kingdom (UK) is not taking part in its adoption, has not opted-in to it and is not bound by it or subject to its application. This means that UK is considered to be a third country for any CEPOL operational activities. It is to be added that the cooperation of CEPOL with third countries is governed by a specific provision of Regulation (EU) 2015/2219 that refers to the conclusion of working arrangements and that up-to-date no such arrangement exists with the UK.

Regarding staff, concerned impact is also considered limited, with 2 staff members affected, one of which is nearing retirement age.

CPVO

Human resources management

27. Calls on all agencies to disclose their level of staff turnover and to clearly indicate the positions, which are effectively occupied by 31 December of the relevant financial year, in order to ensure inter-agency comparability;*(clarification from CONT - years 2017 and 2018)*

Agency response:

	Turnover rate of officials (in %)	Turnover rate of temporary agents (in %)	Turnover rate of contract agents (in %)
31.12.2017	0	0	0
31.12.2018	0	2.85	20

28. Regrets the gender imbalance in some agencies; calls on all agencies to constantly work on a balanced distribution on all levels of staff and report to the discharge authority on implemented measures and progress; What measures did your Agency undertake to address gender imbalance? Please specify:

Agency response: The gender balance is 56-44 with the weight towards female staff. There are no women in the management which needs to be adressed in up-coming recruitements.

Prevention and management of interests and transparency

42. Notes with satisfaction that a large majority of the agencies do not present weaknesses in the implementation of their internal control standards concerning their business continuity plans; calls on the remaining agencies to improve their situation in order to mitigate any potential risks and to report to the discharge authority on the measures taken; This question concerns GSA and EASO. The concerned Agencies (EASO, GSA) are invited to provide an update on the state of play of their business continuity plans.

Agency response:

Other comments

44. ... notes moreover the possible impact on the revenue and activities of several non-London based agencies; calls on the agencies to prepare to mitigate any potential risks that may follow and report to the discharge authority on the implementation of such preparatory measures;

Did your Agency put in place relevant measures to mitigate any potential risks that may follow from Brexit? Please specify:

Agency response: Nothing was necessary for Brexit impact beyond operational issues

EASA

Human resources management

27. Calls on all agencies to disclose their level of staff turnover and to clearly indicate the positions, which are effectively occupied by 31 December of the relevant financial year, in order to ensure inter-agency comparability;*(clarification from CONT - years 2017 and 2018)*

Agency response:

	Turnover rate of officials (in %)	Turnover rate of temporary agents (in %)	Turnover rate of contract agents (in %)
31.12.2017	n/a	2.1%	2.6%
31.12.2018	n/a	4.1%	4.8%

28. Regrets the gender imbalance in some agencies; calls on all agencies to constantly work on a balanced distribution on all levels of staff and report to the discharge authority on implemented measures and progress; What measures did your Agency undertake to address gender imbalance? Please specify:

Agency response:

EASA monitors gender distribution and encourages female applications during selection procedures. EASA has established favourable working conditions, including opportunities for maternity leave, part time working, special part time arrangements for breast feeding, flexi-leave and teleworking. EASA has also signed the Declaration on Equal Opportunities of the Commission's Women in Transport Platform, a gender balance advocacy group formed in 2018 to raise awareness of gender balance issues.

Prevention and management of interests and transparency

42. Notes with satisfaction that a large majority of the agencies do not present weaknesses in the implementation of their internal control standards concerning their business continuity plans; calls on the remaining agencies to improve their situation in order to mitigate any potential risks and to report to the discharge authority on the measures taken;
This question concerns GSA and EASO. The concerned Agencies (EASO, GSA) are invited to provide an update on the state of play of their business continuity plans.

Agency response:

Other comments

44. ... notes moreover the possible impact on the revenue and activities of several non-London based agencies; calls on the agencies to prepare to mitigate any potential risks that may follow and report to the discharge authority on the implementation of such preparatory measures;

Did your Agency put in place relevant measures to mitigate any potential risks that may follow from Brexit? Please specify:

Agency response:

In close coordination with DG MOVE, legislative and procedural measures have been taken in 2018 and 2019, to mitigate the expected risks of a UK withdrawal from the EU without a Withdrawal Agreement in the short term.

EASO

Human resources management

27. Calls on all agencies to disclose their level of staff turnover and to clearly indicate the positions, which are effectively occupied by 31 December of the relevant financial year, in order to ensure inter-agency comparability;*(clarification from CONT - years 2017 and 2018)*

Agency response:

	Turnover rate of officials (in %)	Turnover rate of temporary agents (in %)	Turnover rate of contract agents (in %)
31.12.2017	EASO does not measure past turnover per category of staff, but only overall staff turnover. EASO turnover rates for TAs and CAs together are: 31/12/2017: 7.39%		
31.12.2018	EASO does not measure past turnover per category of staff, but only overall staff turnover. EASO turnover rates for TAs and CAs together are: 31/12/2018: 10.14%		

28. Regrets the gender imbalance in some agencies; calls on all agencies to constantly work on a balanced distribution on all levels of staff and report to the discharge authority on implemented measures and progress; What measures did your Agency undertake to address gender imbalance? Please specify:

Agency response: Currently the gender balance in EASO is 42% Male – 58% Female, this imbalance is in both administrative and operational posts. EASO attracts more applications from female candidates and takes the best scoring candidates from reserve lists where there are proportionally more women than men.

Prevention and management of interests and transparency

42. Notes with satisfaction that a large majority of the agencies do not present weaknesses in the implementation of their internal control standards concerning their business continuity plans; calls on the remaining agencies to improve their situation in order to mitigate any potential risks and to report to the discharge authority on the measures taken;
This question concerns GSA and EASO. The concerned Agencies (EASO, GSA) are invited to provide an update on the state of play of their business continuity plans.

Agency response: EASO has instituted, on the 16th of April 2019, the Business Continuity Governance Board, composed of representatives from different parts of the Agency. At a recent meeting, the Board has agreed to deliver, by the end of 2019, an updated Business Continuity Policy, the Business Impact Analysis and the Draft EASO Business Continuity plan as the cornerstones of the business continuity assurance in EASO.

Other comments

44. ... notes moreover the possible impact on the revenue and activities of several non-London based agencies; calls on the agencies to prepare to mitigate any potential risks that may follow and report to the discharge authority on the implementation of such preparatory measures;

Did your Agency put in place relevant measures to mitigate any potential risks that may follow from Brexit? Please specify:

Agency response: EASO has identified different areas of its work which will be affected by Brexit (operational support, information analysis, trainings, provision of experts, practical cooperation activities and exchange of best practices) as well as impact on its British statutory staff. The Agency will follow-up on developments with regard to Brexit and its implications on the Agency in close consultation with DG Home.

EBA

Human resources management

27. Calls on all agencies to disclose their level of staff turnover and to clearly indicate the positions, which are effectively occupied by 31 December of the relevant financial year, in order to ensure inter-agency comparability;*(clarification from CONT - years 2017 and 2018)*

Agency response:

	Turnover rate of officials (in %)	Turnover rate of temporary agents (in %)	Turnover rate of contract agents (in %)
31.12.2017	n/a	8.10%	7.30%
31.12.2018	n/a	5.10%	15%

28. Regrets the gender imbalance in some agencies; calls on all agencies to constantly work on a balanced distribution on all levels of staff and report to the discharge authority on implemented measures and progress; What measures did your Agency undertake to address gender imbalance? Please specify:

Agency response: EBA maintained the same gender balance figures for 2017 and 2018 (47% female and 53 % male staff). We consider these figures well- balanced and therefore no specific measures were taken to address gender balance.

Prevention and management of interests and transparency

42. Notes with satisfaction that a large majority of the agencies do not present weaknesses in the implementation of their internal control standards concerning their business continuity plans; calls on the remaining agencies to improve their situation in order to mitigate any potential risks and to report to the discharge authority on the measures taken;
This question concerns GSA and EASO. The concerned Agencies (EASO, GSA) are invited to provide an update on the state of play of their business continuity plans.

Agency response:

Other comments

44. ... notes moreover the possible impact on the revenue and activities of several non-London based agencies; calls on the agencies to prepare to mitigate any potential risks that may follow and report to the discharge authority on the implementation of such preparatory measures;

Did your Agency put in place relevant measures to mitigate any potential risks that may follow from Brexit? Please specify:

Agency response: The most important potential operational risk identified by the EBA arises in the case of a hard Brexit, whereby the UK contribution will not be forthcoming. The reduction in revenue from the UK has been estimated and is being taken account of in budgetary planning.

In the policy area, the EBA conducted an analysis and published a note on Brexit related issues and provided guidance in approaches credit institution should take in case of Brexit without a withdrawal agreement. This work served as a base for the EBA opinion on Brexit published subsequently in June 2018. The EBA also worked on identifying risks to financial stability stemming from the departure of the UK from the European Union, as well as supervisory convergence issues arising from Brexit.

ECDC

Human resources management

27. Calls on all agencies to disclose their level of staff turnover and to clearly indicate the positions, which are effectively occupied by 31 December of the relevant financial year, in order to ensure inter-agency comparability;*(clarification from CONT - years 2017 and 2018)*

Agency response:

	Turnover rate of officials (in %)	Turnover rate of temporary agents (in %)	Turnover rate of contract agents (in %)
31.12.2017	n/a	Retention rate: 98 % Turnover rate: 7.2 %	Retention rate: 97 % Turnover rate: 2.1 %
31.12.2018	n/a	Retention rate: 98% Turnover rate: 8.7 %	Retention rate: 98% Turnover rate: 9.8 %

28. Regrets the gender imbalance in some agencies; calls on all agencies to constantly work on a balanced distribution on all levels of staff and report to the discharge authority on implemented measures and progress; What measures did your Agency undertake to address gender imbalance? Please specify:

Agency response: The Centre's overall workforce (both temporary agents and contract agents) consists of 62% % women and 38 % men. However, in management positions (Director and Heads of Unit) the ratio is 33 % women and 67% men. Worth noting though is that among temporary agents with expertise directly related to the Centre's field of operations the ratio is 47 % women and 53 % men. The Centre considers the gender balance as important, and it's taken into account by the appointing authority in recruitments. Moreover, the gender balance is taken into account when appointing selection committees in recruitment processes as to further strengthen the view of both genders and encourage a mixed collaboration in the important work of finding the most competent candidates.

Prevention and management of interests and transparency

42. Notes with satisfaction that a large majority of the agencies do not present weaknesses in the implementation of their internal control standards concerning their business continuity plans; calls on the remaining agencies to improve their situation in order to mitigate any potential risks and to report to the discharge authority on the measures taken;
This question concerns GSA and EASO. The concerned Agencies (EASO, GSA) are invited to provide an update on the state of play of their business continuity plans.

Agency response:

Other comments

44. ... notes moreover the possible impact on the revenue and activities of several non-London based agencies; calls on the agencies to prepare to mitigate any potential risks that may follow and report to the discharge authority on the implementation of such preparatory measures;

Did your Agency put in place relevant measures to mitigate any potential risks that may follow from Brexit? Please specify:

Agency response: ECDC has analysed the impact of Brexit on the following areas: procurement and grants, access to databases, staff, data protection, existing collaboration agreements, expert involvement and meeting participation.

ECDC has taken mitigation measures where this is legally possible. One of the measures was to temporarily suspend sending fellows as part of ECDC's Fellowship Programme to UK Host sites, where the duration of the programme would go beyond the foreseen date of the exit of the UK from the European Union. Disclaimers have been added to procurement documents and meeting invitations sent to UK participants to alert them about the uncertainties posed by Brexit. ECDC has also prepared data protection agreements, should UK contractors no longer be subject to the rules of the GDPR.

ECHA

Human resources management

27. Calls on all agencies to disclose their level of staff turnover and to clearly indicate the positions, which are effectively occupied by 31 December of the relevant financial year, in order to ensure inter-agency comparability;*(clarification from CONT - years 2017 and 2018)*

Agency response:

	Turnover rate of officials (in %)	Turnover rate of temporary agents (in %)	Turnover rate of contract agents (in %)
31.12.2017	n/a	2.9%	6.1%
31.12.2018	n/a	1.3%	3.3%

28. Regrets the gender imbalance in some agencies; calls on all agencies to constantly work on a balanced distribution on all levels of staff and report to the discharge authority on implemented measures and progress; What measures did your Agency undertake to address gender imbalance? Please specify:

Agency response: ECHA does not have a gender imbalance (as at 31 December 2018), the staff male / female percentages of Temporary Agents (TA) was 52% / 48% while, for Contract Agents (CA), the rate was 42% / 58%.

Prevention and management of interests and transparency

42. Notes with satisfaction that a large majority of the agencies do not present weaknesses in the implementation of their internal control standards concerning their business continuity plans; calls on the remaining agencies to improve their situation in order to mitigate any potential risks and to report to the discharge authority on the measures taken;
This question concerns GSA and EASO. The concerned Agencies (EASO, GSA) are invited to provide an update on the state of play of their business continuity plans.

Agency response: n/a

Other comments

44. ... notes moreover the possible impact on the revenue and activities of several non-London based agencies; calls on the agencies to prepare to mitigate any potential risks that may follow and report to the discharge authority on the implementation of such preparatory measures;

Did your Agency put in place relevant measures to mitigate any potential risks that may follow from Brexit? Please specify:

Agency response: ECHA has in place a Brexit Task Force which is analysing the implications of Brexit to the activities of the Agency, both operational and administrative. ECHA is also reporting regularly to the Commission. The Brexit preparedness of the Agency is thoroughly explained to the stakeholders on ECHA's website including updated Q&A section. https://echa.europa.eu/uk-withdrawal-from-the-eu

EEA

Human resources management

27. Calls on all agencies to disclose their level of staff turnover and to clearly indicate the positions, which are effectively occupied by 31 December of the relevant financial year, in order to ensure inter-agency comparability;*(clarification from CONT - years 2017 and 2018)*

Agency response:

	Turnover rate of officials (in %)	Turnover rate of temporary agents (in %)	Turnover rate of contract agents (in %)
31.12.2017	0% Effectively occupied: 4	2.4% Effectively occupied: 122	10.5% Effectively occupied: 66
31.12.2018	28.6% Effectively occupied: 3	3.3% Effectively occupied: 119	7.8% Effectively occupied: 63

28. Regrets the gender imbalance in some agencies; calls on all agencies to constantly work on a balanced distribution on all levels of staff and report to the discharge authority on implemented measures and progress; What measures did your Agency undertake to address gender imbalance? Please specify:

Agency response: EEA is an equal opportunities employer and accepts applications without any distinction of gender. While the EEA adheres strictly to the principle of all recruitments being based solely on merit, i.e. strict application of objective recruitment criteria and selection only of the highest qualified candidate(s), the EEA is committed to promoting a balanced gender distribution among its staff, and has invested considerable attention since August 2017 in trying to ensure a better gender balance, in general but more specifically in management functions.

However, owing to the size of the EEA, and not least the recent 10% establishment table reductions, the staff turnover in the TA function group has been very limited in the recent years, making it difficult to achieve major changes in the gender balance in a short or even medium term, limiting therefore also specifically senior (or more correctly: middle) management opportunities .

The additional focus on gender balance among Heads of Programme has however resulted in a slight improvement, in that as of March 2019, out of the 8 Heads of Programme, 2 are now female and 6 are male.

The EEA is committed to continuing to raise awareness and strive towards a better gender balance with a view to future opportunities arising – bearing in mind though that the concrete possibilities may be limited for quite some time still for the above reasons.

With regard to the next management level, i.e. the level below Head of Programme level, the gender distribution is slightly better balanced, 6 women against 10 men, though an improved balance here will also continue to have the Agency's attention

Prevention and management of interests and transparency

42. Notes with satisfaction that a large majority of the agencies do not present weaknesses in the implementation of their internal control standards concerning their business continuity plans; calls on the remaining agencies to improve their situation in order to mitigate any potential risks and to report to the discharge authority on the measures taken;
This question concerns GSA and EASO. The concerned Agencies (EASO, GSA) are invited to provide an update on the state of play of their business continuity plans.

Agency response:

Other comments

44. ... notes moreover the possible impact on the revenue and activities of several non-London based agencies; calls on the agencies to prepare to mitigate any potential risks that may follow and report to the discharge authority on the implementation of such preparatory measures;

Did your Agency put in place relevant measures to mitigate any potential risks that may follow from Brexit? Please specify:

Agency response: The Agency informed and sought guidance from its Management Board on the internal preparedness measures along two scenarios (with and without a withdrawal agreement) on the identified issues entailed by the withdrawal of the United Kingdom from the European Union, including on staff related matters; contracts and services; UK data and information handling at the Agency, including access rights; impacts on state of the environment reporting at the Agency; and membership of the Agency and the Eionet, including membership of governing bodies. Owing to the high level of uncertainty regarding the ongoing negotiations, the Agency will continue seeking further guidance and follow closely the European Commission's instructions.

EFCA

Human resources management

27. Calls on all agencies to disclose their level of staff turnover and to clearly indicate the positions, which are effectively occupied by 31 December of the relevant financial year, in order to ensure inter-agency comparability;*(clarification from CONT - years 2017 and 2018)*

Agency response:

	Turnover rate of officials (in %)	Turnover rate of temporary agents (in %)	Turnover rate of contract agents (in %)
31.12.2017	No officials	6.7%	0%
31.12.2018	No officials	5%	0%

28. Regrets the gender imbalance in some agencies; calls on all agencies to constantly work on a balanced distribution on all levels of staff and report to the discharge authority on implemented measures and progress; What measures did your Agency undertake to address gender imbalance? Please specify:

Agency response: In its efforts to continue to enhance gender balance, the Agency states clearly in all its vacancy notices that it is an equal opportunity employer and accepts applications without discrimination on the grounds of age, race, political and/or religious beliefs, sex or sexual orientation, marital and/or family status and regardless any kind of disability.

As part of awareness-raising on gender balance, a course on selection interviewing with focus on gender balance was organised in 2018. Advice from the course is being followed up, including during the preparation of vacancy notices.

Prevention and management of interests and transparency

42. Notes with satisfaction that a large majority of the agencies do not present weaknesses in the implementation of their internal control standards concerning their business continuity plans; calls on the remaining agencies to improve their situation in order to mitigate any potential risks and to report to the discharge authority on the measures taken;
This question concerns GSA and EASO. The concerned Agencies (EASO, GSA) are invited to provide an update on the state of play of their business continuity plans.

Agency response:

Other comments

44. ... notes moreover the possible impact on the revenue and activities of several non-London based agencies; calls on the agencies to prepare to mitigate any potential risks that may follow and report to the discharge authority on the implementation of such preparatory measures;

Did your Agency put in place relevant measures to mitigate any potential risks that may follow from Brexit? Please specify:

Agency response: Yes. In the last quarter of 2018, EFCA initiated a reflection with representatives from Member States (MS) and European Commission to present and discuss the potential circumstances and impacts of a no-deal BREXIT and possible contingency measures for monitoring, control and surveillance of fisheries and fisheries related activities, including trade in the EU27 waters, ports, transport routes and BIPs.

On this basis, EFCA, in tight cooperation with MS, has conducted a risk assessment on the potential implications of BREXIT for the North Sea and Western Water fisheries (February 2019). This risk assessment addressed main areas and the below main threats:

1) Illegal fishing activities due to the increase of fishing effort in a given area;
2) Misrecording of catches;
3) Gear conflicts at sea;
4) Illegal fishing activities by UK vessels in EU waters;
5) Illegal fishing activities by EU vessels in UK waters;
6) Illegal transhipments at sea.

A draft operational plan detailing the contingency measures under a possible no-deal scenario was prepared, agreed upon with relevant MS and ready by March 2019. The idea was to have such operational plan integrated as an Annex to the North Sea and Western Waters Joint Deployment Plans.

EFCA is now planning to update the risk assessment and operational plan at a dedicated meeting to take place in September 2019.

EFSA

Human resources management

27. Calls on all agencies to disclose their level of staff turnover and to clearly indicate the positions, which are effectively occupied by 31 December of the relevant financial year, in order to ensure inter-agency comparability;*(clarification from CONT - years 2017 and 2018)*

Agency response:

	Turnover rate of officials (in %)	Turnover rate of temporary agents (in %)	Turnover rate of contract agents (in %)
31.12.2017	5/5 (100%)	Including accepted offer letters: 96,2% (306/318) Excluding accepted offer letters: 95,9% (305/318)	Including accepted offer letters: 98,4% (123/125) Excluding accepted offer letters: 96,0% (120/125)
31.12.2018	5/5 (100%)	Including accepted offer letters: 97,5% (306/314) Excluding accepted offer letters: 97,1% (305/314)	Including accepted offer letters: 97,6% (122/125) Excluding accepted offer letters: 96,0% (120/125)

28. Regrets the gender imbalance in some agencies; calls on all agencies to constantly work on a balanced distribution on all levels of staff and report to the discharge authority on implemented measures and progress; What measures did your Agency undertake to address gender imbalance? Please specify:

Agency response: -Gender balance monitored in all EFSA workforce, including panel applicants.

-Overall prevalence of women in EFSA staff. Slight imbalance in middle managerial positions. F/M balance: senior management (management team) 3/2 (60% women) // middle management (heads of unit) 8/12 (40% women) // team leaders 18/23 (44% women) (numbers of 16.05.2019)

-Terms of published vacancy notes to prevent any kind of discrimination

-Balanced selection board composition

-Verification step at end of selection procedure to assess impact of potential recruitment in terms of gender balance, if relevant

Prevention and management of interests and transparency

42. Notes with satisfaction that a large majority of the agencies do not present weaknesses in the implementation of their internal control standards concerning their business continuity plans; calls on the remaining agencies to improve their situation in order to mitigate any potential risks and to report to the discharge authority on the measures taken; This question concerns GSA and EASO. The concerned Agencies (EASO, GSA) are invited to provide an update on the state of play of their business continuity plans.

Agency response: not applicable

Other comments

44. ... notes moreover the possible impact on the revenue and activities of several non-London based agencies; calls on the agencies to prepare to mitigate any potential risks that may follow and report to the discharge authority on the implementation of such preparatory measures;

Did your Agency put in place relevant measures to mitigate any potential risks that may follow from Brexit? Please specify:

Agency response: EFSA has done an assessment of the Brexit on all aspects of its operations and derived from that an EFSA action plan to ensure EFSA's preparedness for the Brexit which was presented to its Management Board

EIGE

Human resources management

27. Calls on all agencies to disclose their level of staff turnover and to clearly indicate the positions, which are effectively occupied by 31 December of the relevant financial year, in order to ensure inter-agency comparability;*(clarification from CONT - years 2017 and 2018)*

Agency response:

	Turnover rate of officials (in %)	Turnover rate of temporary agents (in %)	Turnover rate of contract agents (in %)
31.12.2017	n/a	14,8	27
31.12.2018	n/a	11	21

28. Regrets the gender imbalance in some agencies; calls on all agencies to constantly work on a balanced distribution on all levels of staff and report to the discharge authority on implemented measures and progress; What measures did your Agency undertake to address gender imbalance? Please specify:

Agency response: EIGE acknowledges that the gender divide in subject choices of education contribute to the situation where the majority of applicants for posts at the Institute are from women (77% in 2018). The profile of EIGE requires that candidates have both, educational and professional experience in Social Sciences, and more specifically, gender related studies, to qualify for posts at the Institute. The Institute has a limited Establishment Plan, and the higher grades are concentrated in the Research area.

Addressing the current gender imbalance remains an ongoing challenge for the Institute, currently just over 26% of staff are male; The Institute has adopted some good practices that may help to address this imbalance. In 2017 EIGE provided training to all staff on gender sensitive recruitment and awareness raising on the impact in the workplace of unconscious bias leading to expressions of Sexism and stereotypes. The sessions on awareness raising on combating sexism in the workplace will be repeated in September 2019.

Prevention and management of interests and transparency

42. Notes with satisfaction that a large majority of the agencies do not present weaknesses in the implementation of their internal control standards concerning their business continuity plans; calls on the remaining agencies to improve their situation in order to mitigate any potential risks and to report to the discharge authority on the measures taken;
This question concerns GSA and EASO. The concerned Agencies (EASO, GSA) are invited to provide an update on the state of play of their business continuity plans.

Agency response:

Other comments

44. ... notes moreover the possible impact on the revenue and activities of several non-London based agencies; calls on the agencies to prepare to mitigate any potential risks that may follow and report to the discharge authority on the implementation of such preparatory measures;

Did your Agency put in place relevant measures to mitigate any potential risks that may follow from Brexit? Please specify:

Agency response: n/a

EIOPA

Human resources management

27. Calls on all agencies to disclose their level of staff turnover and to clearly indicate the positions, which are effectively occupied by 31 December of the relevant financial year, in order to ensure inter-agency comparability;*(clarification from CONT - years 2017 and 2018)*

Agency response:

	Turnover rate of officials (in %)	Turnover rate of temporary agents (in %)	Turnover rate of contract agents (in %)
31.12.2017	0	4%	15%
31.12.2018	0	9%	12%

28. Regrets the gender imbalance in some agencies; calls on all agencies to constantly work on a balanced distribution on all levels of staff and report to the discharge authority on implemented measures and progress; What measures did your Agency undertake to address gender imbalance? Please specify:

Agency response: EIOPA has taken gender balance as a priority from the beginning of its existence. In this respect, different measures were implemented over the years, like for example the gender balance of Selection Committee panel members in recruitment campaigns and of Staff Committee members. Additionally gender balance forms part of the Human Resources Unit's portfolio of continuous analysis of the data related to both staff and candidates for new positions. We see our actual balanced workforce as a direct result of our successful and consistent application of the gender balance concept. As a result, in 2017 out of 151 staff members 78 were females (52%) and 73 males (48%).

Prevention and management of interests and transparency

42. Notes with satisfaction that a large majority of the agencies do not present weaknesses in the implementation of their internal control standards concerning their business continuity plans; calls on the remaining agencies to improve their situation in order to mitigate any potential risks and to report to the discharge authority on the measures taken;
This question concerns GSA and EASO. The concerned Agencies (EASO, GSA) are invited to provide an update on the state of play of their business continuity plans.

Agency response: N/A

Other comments

44. ... notes moreover the possible impact on the revenue and activities of several non-London based agencies; calls on the agencies to prepare to mitigate any potential risks that may follow and report to the discharge authority on the implementation of such preparatory measures;

Did your Agency put in place relevant measures to mitigate any potential risks that may follow from Brexit? Please specify:

Agency response: In 2018 EIOPA set up an interdepartmental project "Institutional & corporate implications of Brexit for EIOPA" with an overall objective to develop a plan to prepare and stand ready for immediate implementation of necessary institutional and corporate actions in case of any Brexit scenario. EIOPA's focus is on the following areas: Legal and Security aspects, Data Processes, Risk Free Rate (RFR), Corporate Support services, Management of Access and Voting Rights and Monitoring the impact on EIOPA's Annual Work Programme 2019 (AWP2019). Focus on those specific areas is to achieve specific objectives i.e.:

- to facilitate a quick application of a decision related to access, voting rights;

- to ensure aspects related to confidentiality, transparency and data protection are handled in a legally sound and safe manner;

- to ensure continuation of data collection, analytical and statistical products and dissemination of data and derived reports (scope and detail depends on the scenario);

- to ensure that the production of the technical information relating to risk-free interest rate term structures is not interrupted;

- to monitor Brexit impact and associated risks on EIOPA's AWP2019 products and services;

- to ensure necessary actions within Accounting, Procurement, Training & Events, Document Management areas are being conducted.

EIOPA also prepared a Brexit contingency plan, which aims at anticipating any potential budget adjustments resulting from a no-deal Scenario. The plan entails concrete suggestions on how to absorb budget reductions in the 2019 budget.

With above actions, the Authority is addressing the relevant institutional and corporate potential risks arising from the UK decision to leave the EU and has in a comprehensive manner identified all necessary mitigation measures to ensure business continuity in all scenarios. The interdepartmental project group continues to monitor possible risks and assesses on a regular basis if adjustments are required to the plans. Also, EIOPA keeps its Management Board and Board of Supervisors well informed and involved for key Brexit related matters.

EIT

Human resources management

27. Calls on all agencies to disclose their level of staff turnover and to clearly indicate the positions, which are effectively occupied by 31 December of the relevant financial year, in order to ensure inter-agency comparability;*(clarification from CONT - years 2017 and 2018)*

Agency response:

	Turnover rate of officials (in %)	Turnover rate of temporary agents (in %)	Turnover rate of contract agents (in %)
31.12.2017	N/A	10%	10%
31.12.2018	N/A	7%	10%

At the end of 2018, 43 out of the 44 authorised TA positions, 20 out of the 22 CA positions and 1 out of the 2 SNE positions were occupied (altogether 64 posts out of the 68 authorised occupied).

28. Regrets the gender imbalance in some agencies; calls on all agencies to constantly work on a balanced distribution on all levels of staff and report to the discharge authority on implemented measures and progress; What measures did your Agency undertake to address gender imbalance? Please specify:

Agency response: EIT's recruitment guidelines lay down general principles as well as practical arrangements to be implemented at selection procedures. The gender ratio of staff at year-end was balanced with 59% female (38 staff) and 41% male (26 staff). In terms of geographical diversity, the EIT had nationals of 20 Member States as staff members in 2018, which is remarkable for a small organisation of 64 staff.

Prevention and management of interests and transparency

42. Notes with satisfaction that a large majority of the agencies do not present weaknesses in the implementation of their internal control standards concerning their business continuity plans; calls on the remaining agencies to improve their situation in order to mitigate any potential risks and to report to the discharge authority on the measures taken;
This question concerns GSA and EASO. The concerned Agencies (EASO, GSA) are invited to provide an update on the state of play of their business continuity plans.

Agency response: NA

Other comments

44. ... notes moreover the possible impact on the revenue and activities of several non-London based agencies; calls on the agencies to prepare to mitigate any potential risks that may follow and report to the discharge authority on the implementation of such preparatory measures;

Did your Agency put in place relevant measures to mitigate any potential risks that may follow from Brexit? Please specify:

Agency response: In the context of its mandate EIT works towards enhancing the innovation capacity of Europe and the Member States through establishing and supporting the activities of its Knolwedge and Innovation Communities (KICs) across Europe. In this regard, it works with all MSs, and has supported through its grants the establishment of different capacities and development of networks in its areas of strategic focus in many EU member states, including in the UK and/or with the participation and inclusion of UK entities. EIT, being part of the Horizon 2020 Framework Programme, is observing carefully the developments in relation to BREXIT, and has performed together with the KICs its internal analysis aimed at business continuity vs possible disruptions related to possible partial or total exclusion of the UK and its entities from different existing and/or planned funding by the EIT. In addition to that, the EIT follows the guidelines shared by the Commissions, regulating the measures that all EU institutions need to follow in regard to working with UK entities in the context of its grants, procurement and other activities.

EMA

Human resources management

27. Calls on all agencies to disclose their level of staff turnover and to clearly indicate the positions, which are effectively occupied by 31 December of the relevant financial year, in order to ensure inter-agency comparability;*(clarification from CONT - years 2017 and 2018)*

Agency response:

	Turnover rate of officials (in %)	Turnover rate of temporary agents (in %)	Turnover rate of contract agents (in %)
31.12.2017	N/A	18 leavers in 2017. 3.1% turnover Headcount on 31.12.17: 583 out of 596 (or 591 as of 1.1.2018, i.e. 98.6% occupancy)	12 leavers in 2017. 8.2% turnover Headcount on 31.12.17: 147 out of 158 (93% occupancy)
31.12.2018	N/A	23 leavers in 2018. 3.9% turnover Headcount on 31.12.18: 581 out of 591 (i.e. 98.3% occupancy)	11 leavers in 2018. 6.8% turnover Headcount on 31.12.18: 170 out of 180 (94.4% occupancy)

28. Regrets the gender imbalance in some agencies; calls on all agencies to constantly work on a balanced distribution on all levels of staff and report to the discharge authority on implemented measures and progress; What measures did your Agency undertake to address gender imbalance? Please specify:

Agency response: Please note that the gender balance of EMA's workforce largely represents the job applications received by EMA. For example, in 2017, 60.29% of all job applications received by EMA were from female candidates and only 39.71% from male applicants. The Agency runs reports every 6 months to check gender balance between different categories of staff and these are published in the work programme and annual report.

Nevertheless, we can confirm that EMA is very committed to the equality of opportunity for all its (current and future) staff members independent of gender, nationality, ethnic or social origin, religion or belief. This is enshrined in the Agency's policies and procedures.

The Agency will continue to aspire to reach a more gender balanced organisation whilst adhering to principles of fair treatment and meritocracy.

The Agency will resume broader activities in the domain after its relocation to Amsterdam is completed and the transition period is finished since at this moment HR resources of the Agency are fully reallocated to Brexit-driven activities and maintenance of the core activities.

Prevention and management of interests and transparency

42. Notes with satisfaction that a large majority of the agencies do not present weaknesses in the implementation of their internal control standards concerning their business continuity plans; calls on the remaining agencies to improve their situation in order to mitigate any potential risks and to report to the discharge authority on the measures taken;
This question concerns GSA and EASO. The concerned Agencies (EASO, GSA) are invited to provide an update on the state of play of their business continuity plans.

Agency response:

Other comments

44. ... notes moreover the possible impact on the revenue and activities of several non-London based agencies; calls on the agencies to prepare to mitigate any potential risks that may follow and report to the discharge authority on the implementation of such preparatory measures;

Did your Agency put in place relevant measures to mitigate any potential risks that may follow from Brexit? Please specify:

Agency response: In order to ensure that its core activities are not disrupted, the Agency has been preparing to mitigate any potential risks since the result of the referendum in 2016.

The move to Amsterdam has been planned since November 2017.

Close cooperation with the Dutch authorities to prepare and organise the move took place throughout 2018, including a dedicated joint governance structure to steer and oversee the relocation-to-Amsterdam project.

The seat agreement between the Netherlands and EMA was signed on 1 July 2018.

In order to address the challenges presented by Brexit the Agency created, in June 2016, the 'Operations and Relocation Preparedness task force'.

The work of the ORP task force is organised into 2 areas of activities:

- EMA Brexit preparedness and implementation, and

- EMA-Dutch Authorities' collaboration for the relocation to Amsterdam.

Each area of activity is divided into various work streams, including:

- Scientific committees procedures and inspections, which focus on the preparedness of the scientific committees and working parties, in particular with respect to how the scientific assessment and monitoring of medicines will be shared between the MSs in view of the UK's withdrawal from the EU, and to the necessary activities to be undertaken to enable as much as possible an undisrupted supply of medicines.

- Brexit preparedness business continuity plan (BCP) developed to address a situation where a "business as usual" scenario is no longer possible. The BCP covers prioritisation of EMA activities in order to free-up the resources needed to prepare for Brexit, particularly for the relocation, and to address potential staff loss which cannot be compensated through recruitment of replacement resources.

- Staff relocation and support, which encompasses the work to address HR-related aspects of the EMA Brexit preparedness and its implementation;

- Communication activities, covering both internal and external communication to EMA's staff, its key stakeholders and the wider public.

To enable the Agency to prepare for the physical move to the new EMA premises in Amsterdam and to minimise its impact on the Agency's operations, the Agency implemented the first phase of its business continuity plan (BCP) in May 2017, ensuring delivery of its highest priority activities while temporarily scaling back or suspending lower priority activities. The second phase of the BCP was launched on 1 January 2018, affecting a further set of EMA activities, including medium priority activities. On 1 October 2018 the Agency implemented phase 3 of the BCP, in order to safeguard its core activities related to the evaluation and supervision of medicines, while intensifying the preparations for the Agency's physical move to Amsterdam in March 2019 and coping with an increased number of resignations. Phase 4 of the BCP started on 1 January 2019 to address further staff loss and to cope with the critical period relating to the physical move itself. The staff loss keeps being closely monitored and the review in this second quarter of 2019 will look at the Agency's priorities, measures and work to be undertaken in the second half of 2019.

EMCDDA

Human resources management

27. Calls on all agencies to disclose their level of staff turnover and to clearly indicate the positions, which are effectively occupied by 31 December of the relevant financial year, in order to ensure inter-agency comparability;*(clarification from CONT - years 2017 and 2018)*

Agency response:

	Turnover rate of officials (in %)	Turnover rate of temporary agents (in %)	Turnover rate of contract agents (in %)
31.12.2017	0%	1,58%	0%
31.12.2018	0%	0%	3.42%

28. Regrets the gender imbalance in some agencies; calls on all agencies to constantly work on a balanced distribution on all levels of staff and report to the discharge authority on implemented measures and progress; What measures did your Agency undertake to address gender imbalance? Please specify:

Agency response: Since 2007 the EMCDDA has a dedicated policy in place, which specifically addresses the issue of gender equality. See attached decision: http://home.emcdda.europa.eu/attachements.cfm/att_185059_EN_DEC-DIR-2012-31%20Equal%20oportunities.pdf

“Equal opportunities policy" : The EMCDDA is fully committed to providing equality of opportunity for all its employees through its employment practices, policies and procedures. It undertakes to provide a working environment that is sensitive to differences in gender, marital status, age and disability (physical and/or sensory differences which do not affect work performance), sexual preference, ethnicity, nationality and philosophical or religious beliefs.

The EMCDDA's policy is based on a model of best practice for sustaining a work ethos whereby all employees can achieve their full potential. The EMCDDA will ensure, both through the procedures in place and the fulfilment of its obligations imposed by the Staff Regulations, that no employee or job applicant is treated inequitably due to gender, marital status, age, sexual preference, disability, ethnicity or religious belief with regard to recruitment and selection, training/development, pay and conditions of work, and opportunities for career development and promotion.”

Prevention and management of interests and transparency

42. Notes with satisfaction that a large majority of the agencies do not present weaknesses in the implementation of their internal control standards concerning their business continuity plans; calls on the remaining agencies to improve their situation in order to mitigate any potential risks and to report to the discharge authority on the measures taken;
This question concerns GSA and EASO. The concerned Agencies (EASO, GSA) are invited to provide an update on the state of play of their business continuity plans.

Agency response: N/A

Other comments

44. ... notes moreover the possible impact on the revenue and activities of several non-London based agencies; calls on the agencies to prepare to mitigate any potential risks that may follow and report to the discharge authority on the implementation of such preparatory measures;

Did your Agency put in place relevant measures to mitigate any potential risks that may follow from Brexit? Please specify:

Agency response: The Agency prepared a document assessing the potential risks concerning its activities which was sent to its parent DG

EMSA

Human resources management

27. Calls on all agencies to disclose their level of staff turnover and to clearly indicate the positions, which are effectively occupied by 31 December of the relevant financial year, in order to ensure inter-agency comparability;*(clarification from CONT - years 2017 and 2018)*

Agency response:

	Turnover rate of officials (in %)	Turnover rate of temporary agents (in %)	Turnover rate of contract agents (in %)
31.12.2017	0	4.58	31.58
31.12.2018	0	1.47	6.78

28. Regrets the gender imbalance in some agencies; calls on all agencies to constantly work on a balanced distribution on all levels of staff and report to the discharge authority on implemented measures and progress; What measures did your Agency undertake to address gender imbalance? Please specify:

Agency response: The overall female/male ratio for all categories of EMSA staff was 36% of female to 64% of male employees (31.12.2018).

Whilst the gender balance is favourable at senior management level (2 female, 2 male at 31.12.2018), there is some margin for improvement for other categories of staff, especially Temporary Agents (AD) and SNEs, where we have a majority of male employees and the category of CA FGI-FGIII, where the majority of our staff is female. The categories TA AST of CA FGIV are quite balanced.

EMSA operates in mainly male dominated sectors (the ICT and the Maritime sectors), which affects the Agency's gender balance. To improve the gender balance, EMSA adopted in June 2018 an "Action Plan for Gender Balance" wherein three main goals were identified:

- Promotion of values of non-discrimination by gender.
- Equal Opportunities in attracting and recruiting staff.
- Retaining women.

Fourteen actions were established to achieve the above-mentioned goals. The implementation of the gender plan has started and is ongoing.

Prevention and management of interests and transparency

42. Notes with satisfaction that a large majority of the agencies do not present weaknesses in the implementation of their internal control standards concerning their business continuity plans; calls on the remaining agencies to improve their situation in order to mitigate any potential risks and to report to the discharge authority on the measures taken; This question concerns GSA and EASO. The concerned Agencies (EASO, GSA) are invited to provide an update on the state of play of their business continuity plans.

Agency response:

Other comments

44. ... notes moreover the possible impact on the revenue and activities of several non-London based agencies; calls on the agencies to prepare to mitigate any potential risks that may follow and report to the discharge authority on the implementation of such preparatory measures;

Did your Agency put in place relevant measures to mitigate any potential risks that may follow from Brexit? Please specify:

Agency response:

ENISA

Human resources management

27. Calls on all agencies to disclose their level of staff turnover and to clearly indicate the positions, which are effectively occupied by 31 December of the relevant financial year, in order to ensure inter-agency comparability;*(clarification from CONT - years 2017 and 2018)*

Agency response:

	Turnover rate of officials (in %)	Turnover rate of temporary agents (in %)	Turnover rate of contract agents (in %)
31.12.2017	N/A (no officials)	14%	0%
31.12.2018	N/A (no officials)	11%	19%

28. Regrets the gender imbalance in some agencies; calls on all agencies to constantly work on a balanced distribution on all levels of staff and report to the discharge authority on implemented measures and progress; What measures did your Agency undertake to address gender imbalance? Please specify:

Agency response: Gender balance

2017 (54% Male and 46% Female)

2018 (53% Male and 47%Female)

The overall gender balance among ENISA staff shows a male prevalence that is understandable given the scope of ENISA's core activity. However a slight increase from 2017 to 2018 can be noticed.

In line with the European Commission's objective to achieve 40 % female representation in managerial positions, ENISA nominated in 2016 and 2017 a French woman as Head of HR and a Swedish woman as Head of Finances and Procurement. Additionally, ENISA has 2 female representative in roles as team leader and team coordinator.

Moreover, within the last recruitment procedures since 2019, 4 female newcomers were recruited/offers sent out of which 2 offers were sent for high profiles as Budget Coordinator and DTS Team Coordinator, and 2 other covering a technical profile as NIS and another within the core operation as Public Affairs.

Lastly, as part of the gender balance measures, ENISA took part in the event organised by European Commission for women within the field of cybersecurity which took place on 8 of March 2019 where the focused was on the skills gap and enhancing the role of women in the field; issued videos largely disseminated on social networks (YouTube, LinkedIn, etc) and leaflets to encourage women applications; and is engaged in several workshops/conferences promoting the agenda of women in cyber.

Prevention and management of interests and transparency

42. Notes with satisfaction that a large majority of the agencies do not present weaknesses in the implementation of their internal control standards concerning their business continuity plans; calls on the remaining agencies to improve their situation in order to mitigate any potential risks and to report to the discharge authority on the measures taken;
This question concerns GSA and EASO. The concerned Agencies (EASO, GSA) are invited to provide an update on the state of play of their business continuity plans.

Agency response: N/A

Other comments

44. ... notes moreover the possible impact on the revenue and activities of several non-London based agencies; calls on the agencies to prepare to mitigate any potential risks that may follow and report to the discharge authority on the implementation of such preparatory measures;

Did your Agency put in place relevant measures to mitigate any potential risks that may follow from Brexit? Please specify:

Agency response: Based on an internal assessment and on the current available information, there should be very little financial and operational impact of Brexit on ENISA for the immediate future years. Relevant internal processes have been revised (i.e.procurement / recruitment) to mitigate potential risks.linked to the BREXIT.

ERA

Human resources management

27. Calls on all agencies to disclose their level of staff turnover and to clearly indicate the positions, which are effectively occupied by 31 December of the relevant financial year, in order to ensure inter-agency comparability;*(clarification from CONT - years 2017 and 2018)*

Agency response:

	Turnover rate of officials (in %)	Turnover rate of temporary agents (in %)	Turnover rate of contract agents (in %)
31.12.2017	NA	5	0
31.12.2018	NA	0	9

28. Regrets the gender imbalance in some agencies; calls on all agencies to constantly work on a balanced distribution on all levels of staff and report to the discharge authority on implemented measures and progress; What measures did your Agency undertake to address gender imbalance? Please specify:

Agency response: The Agency, as a technical agency has adopted two clear approaches. The first, as a member of the Women in Transport – EU platform for Change, is focussed on raising awareness of the opportunities in Rail, seeking to encourage more women to choose Rail as an area of employment and hence to also consider the Agency as an attractive option. Currently Rail is a male-dominated environment. Secondly we have established a project internally with the following objectives;

1. Revised recruitment process to add gender balance as one of the criteria the contracting authority can take into account and to ensure the publications/interviews are gender neutral.

2. Establishment of a scholarship fund to support women in taking Railway engineering related studies e.g. Railway Systems Masters.

3. Carry out a gender audit to identify areas that could be addressed to unlock further progress.

4. Establish a mentoring/career path system for women at the Agency.

Prevention and management of interests and transparency

42. Notes with satisfaction that a large majority of the agencies do not present weaknesses in the implementation of their internal control standards concerning their business continuity plans; calls on the remaining agencies to improve their situation in order to mitigate any potential risks and to report to the discharge authority on the measures taken; This question concerns GSA and EASO. The concerned Agencies (EASO, GSA) are invited to provide an update on the state of play of their business continuity plans.

Agency response:

Other comments

44. ... notes moreover the possible impact on the revenue and activities of several non-London based agencies; calls on the agencies to prepare to mitigate any potential risks that may follow and report to the discharge authority on the implementation of such preparatory measures;

Did your Agency put in place relevant measures to mitigate any potential risks that may follow from Brexit? Please specify:

Agency response: The Agency took the following steps;

1. Review of the risks to the interests of the Agency in the event of losing UK staff on a case by case basis. The current (4) UK Nationals were granted an exception to the requirement to be an EU/EEA National.

2. Review and preparation to restrict access of UK to EU level registers managed by the Agency.

3. Review of the data on Agency databases to establish whether there might be potential operating issues.

ESMA

Human resources management

27. Calls on all agencies to disclose their level of staff turnover and to clearly indicate the positions, which are effectively occupied by 31 December of the relevant financial year, in order to ensure inter-agency comparability;*(clarification from CONT - years 2017 and 2018)*

Agency response:

	Turnover rate of officials (in %)	Turnover rate of temporary agents (in %)	Turnover rate of contract agents (in %)
31.12.2017	Not applicable	6.5%	6.7%
31.12.2018	Not applicable	7.0%	6.9%

28. Regrets the gender imbalance in some agencies; calls on all agencies to constantly work on a balanced distribution on all levels of staff and report to the discharge authority on implemented measures and progress; What measures did your Agency undertake to address gender imbalance? Please specify:

Agency response: ESMA is committed to strive for gender balance at all levels in the organisation. This commitment is reflected in the key HR and management policies, such as recruitment, career development, and flexible working arrangements. Statistical data confirms the good results achieved so far. The evolution of the gender balance (in all staff groups) over the last seven years indicates that the proportion of female staff members has progressively increased from 37% in 2012 to 48% in 2018. In 2018, the proportion of women in al management and co-ordination functions, namely Senior Management (Chair, Executive Director), Middle Management (Heads of Departments and Heads of Units), and co-ordinators (Team Leaders) reached 38%. As regards the higher management roles (Chair, Executive Director and Heads of Departments only), the percentage of women has increased significantly over the past few years: whereas there was only 1 woman out of the top 8 positions at the end of 2011, a total numerical equality male/female was reached in 2018.

Prevention and management of interests and transparency

42. Notes with satisfaction that a large majority of the agencies do not present weaknesses in the implementation of their internal control standards concerning their business continuity plans; calls on the remaining agencies to improve their situation in order to mitigate any potential risks and to report to the discharge authority on the measures taken;
This question concerns GSA and EASO. The concerned Agencies (EASO, GSA) are invited to provide an update on the state of play of their business continuity plans.

Agency response:

Other comments

44. ... notes moreover the possible impact on the revenue and activities of several non-London based agencies; calls on the agencies to prepare to mitigate any potential risks that may follow and report to the discharge authority on the implementation of such preparatory measures;

Did your Agency put in place relevant measures to mitigate any potential risks that may follow from Brexit? Please specify:

Agency response: Brexit is one of the current main priorities of ESMA and we are consistently monitoring developments to ensure that risks for our organisation can be mitigated in a timely manner. ESMA has conducted a detailed analysis on the operational impact of Brexit on ESMA as an organisation. This assessment has been endorsed by our Board and is divided in six subsections: staff, budget, contracts, non-application of EU law in the UK, governance and IT and data exchange. ESMA has dedicated staff allocated to work on Brexit-related issues, in order to provide strategic advice and regular reporting to ESMA management and Management Board/Board of Supervisors on ESMA's Brexit-related activities. While ESMA's objectives of investor protection, orderly markets and financial stability will not be changed by Brexit, ESMA may need to adapt its activities depending on developments, and to accommodate the new future relationship with the UK, and thus make amendments to its work programme.

ETF

Human resources management

27. Calls on all agencies to disclose their level of staff turnover and to clearly indicate the positions, which are effectively occupied by 31 December of the relevant financial year, in order to ensure inter-agency comparability;*(clarification from CONT - years 2017 and 2018)*

Agency response:

	Turnover rate of officials (in %)	Turnover rate of temporary agents (in %)	Turnover rate of contract agents (in %)
31.12.2017	n.a.	5.6%	7.5%
31.12.2018	n.a.	1.2%	7.6%

28. Regrets the gender imbalance in some agencies; calls on all agencies to constantly work on a balanced distribution on all levels of staff and report to the discharge authority on implemented measures and progress; What measures did your Agency undertake to address gender imbalance? Please specify:

Agency response: ETF recruitment is based on merit and applications from both male and female candidates are treated equally. Following a recruitment procedure the ETF normally offers the position to the highest scoring and most suitable candidate.

However, in the event of equal merit between a male and female candidate, the gender balance is taken into consideration and the post is offered to the candidate whose gender is under-represented.

Prevention and management of interests and transparency

42. Notes with satisfaction that a large majority of the agencies do not present weaknesses in the implementation of their internal control standards concerning their business continuity plans; calls on the remaining agencies to improve their situation in order to mitigate any potential risks and to report to the discharge authority on the measures taken;
This question concerns GSA and EASO. The concerned Agencies (EASO, GSA) are invited to provide an update on the state of play of their business continuity plans.

Agency response: n.a.

Other comments

44. ... notes moreover the possible impact on the revenue and activities of several non-London based agencies; calls on the agencies to prepare to mitigate any potential risks that may follow and report to the discharge authority on the implementation of such preparatory measures;

Did your Agency put in place relevant measures to mitigate any potential risks that may follow from Brexit? Please specify:

Agency response: The ETF's mandate only covers third countries and its activities are not influenced by Brexit.

eu-LISA

Human resources management

27. Calls on all agencies to disclose their level of staff turnover and to clearly indicate the positions, which are effectively occupied by 31 December of the relevant financial year, in order to ensure inter-agency comparability;*(clarification from CONT - years 2017 and 2018)*

Agency response:

	Turnover rate of officials (in %)	Turnover rate of temporary agents (in %)	Turnover rate of contract agents (in %)
31.12.2017	N/A	3,51%	3.12%
31.12.2018	N/A	4,1%	3.23%

28. Regrets the gender imbalance in some agencies; calls on all agencies to constantly work on a balanced distribution on all levels of staff and report to the discharge authority on implemented measures and progress; What measures did your Agency undertake to address gender imbalance? Please specify:

Agency response: In order to facilitate the balance of private and professional life for the staff members of the Agency definite measures have been introduced, like flexitime and teleworking. The eu-LISA vacancy notices include a statement encouraging women to apply. It should be noted that under-representation of women in organisations operating in the IT work environment is a broader issue. This has been associated with the specifics of the educational pattern for ICT studies and is further evidenced by the numbers of the applications submitted to eu-LISA by female and male applicants.

Prevention and management of interests and transparency

42. Notes with satisfaction that a large majority of the agencies do not present weaknesses in the implementation of their internal control standards concerning their business continuity plans; calls on the remaining agencies to improve their situation in order to mitigate any potential risks and to report to the discharge authority on the measures taken;
This question concerns GSA and EASO. The concerned Agencies (EASO, GSA) are invited to provide an update on the state of play of their business continuity plans.

Agency response:

Other comments

44. ... notes moreover the possible impact on the revenue and activities of several non-London based agencies; calls on the agencies to prepare to mitigate any potential risks that may follow and report to the discharge authority on the implementation of such preparatory measures;

Did your Agency put in place relevant measures to mitigate any potential risks that may follow from Brexit? Please specify:

Agency response: As regards the operations related aspects of the Brexit, following the UK withdrawal the UK will no longer have access to the EU large-scale information systems under the operational management of eu-LISA, unless there would be an agreement stating otherwise.

In close cooperation with the European Commission and the Member States, eu-LISA has made all the necessary technical preparations for disconnecting the UK from the IT-systems, including removal of the respective network connections.

The Agency is financed under its constituent act from EU general budget subsidy, and from amounts recovered from Schengen Associated Countries. As such it does not expect a direct effect on its revenue deriving from the UK withdrawal. An indirect effect may materialise on the 2021-2027 MFF, should the withdrawal occur. However, at this stage it is not possible to quantify the effect on the general budget heading supporting the Agency.

EU-OSHA

Human resources management

27. Calls on all agencies to disclose their level of staff turnover and to clearly indicate the positions, which are effectively occupied by 31 December of the relevant financial year, in order to ensure inter-agency comparability;*(clarification from CONT - years 2017 and 2018)*

Agency response:

	Turnover rate of officials (in %)	Turnover rate of temporary agents (in %)	Turnover rate of contract agents (in %)
31.12.2017	n/a	5.13	4.00
31.12.2018	n/a	0.00	4.00

28. Regrets the gender imbalance in some agencies; calls on all agencies to constantly work on a balanced distribution on all levels of staff and report to the discharge authority on implemented measures and progress; What measures did your Agency undertake to address gender imbalance? Please specify:

Agency response: EU-OSHA is an equal opportunities employer and is strongly committed to promoting equality, diversity and respectful behaviour as part of its workplace culture. While recruitment is based on merit and the position is offered to the most suitable candidate, EU-OSHA does take into consideration the gender balance before engaging new staff members.

In 2018, EU-OSHA had 71% female staff and 29% male staff. In recent years, the Agency has experienced a low turnover and it expects that improvement of gender balance through recruitment will naturally be accomplished on a medium and long-term basis.

Prevention and management of interests and transparency

42. Notes with satisfaction that a large majority of the agencies do not present weaknesses in the implementation of their internal control standards concerning their business continuity plans; calls on the remaining agencies to improve their situation in order to mitigate any potential risks and to report to the discharge authority on the measures taken;
This question concerns GSA and EASO. The concerned Agencies (EASO, GSA) are invited to provide an update on the state of play of their business continuity plans.

Agency response: Not applicable

Other comments

44. ... notes moreover the possible impact on the revenue and activities of several non-London based agencies; calls on the agencies to prepare to mitigate any potential risks that may follow and report to the discharge authority on the implementation of such preparatory measures;

Did your Agency put in place relevant measures to mitigate any potential risks that may follow from Brexit? Please specify:

Agency response: EU-OSHA has performed an exercise to assess and mitigate the risks of a "no-deal" and of an "orderly managed" Brexit. In late 2018, in addition to the ongoing internal discussions and assessments, the Agency set up a "Brexit Task Force" that looked at the impact of risks in the following areas: (i) on-going procurement activities; (ii) contract management of existing contracts with UK-based suppliers; (iii) payments to UK-based contractors (incl. VAT issues); (iv) accounting. None of the identified risks were assessed to have a material impact on the ongoing operations of the Agency.

In early 2019 the Agency also undertook a basic stress-test to assess the impact of a budget reduction on its ongoing operations for the year 2019. The test demonstrated that the Agency would have been able to cope - with no material impact – with a reduction of 5% of its 2019 budget. At the same time, a reduction of 15% would have had a significant impact on the operations of the Agency. A stress-test for 2020 and beyond has not been carried-out.

EUROFOUND

Human resources management

27. Calls on all agencies to disclose their level of staff turnover and to clearly indicate the positions, which are effectively occupied by 31 December of the relevant financial year, in order to ensure inter-agency comparability;*(clarification from CONT - years 2017 and 2018)*

Agency response:

	Turnover rate of officials (in %)	Turnover rate of temporary agents (in %)	Turnover rate of contract agents (in %)
31.12.2017	17 % (2 staff out of 12 Officials left)	3% (3 staff out of 78 TAs left)	20% (2 out of 10 CAs left)
31.12.2018	0%	4% (3 out of 80 TAs left)	33% (3 out of 9 left)

28. Regrets the gender imbalance in some agencies; calls on all agencies to constantly work on a balanced distribution on all levels of staff and report to the discharge authority on implemented measures and progress; What measures did your Agency undertake to address gender imbalance? Please specify:

Agency response: Overall, in 2018 Eurofound had 56% female staff and 44% male staff. At management level the ratio is 50:50. Great attention is given to clearly present Eurofound as an equal-opportunity employer and gender balance is regularly monitored to ensure equal gender representation also in the future.

Prevention and management of interests and transparency

42. Notes with satisfaction that a large majority of the agencies do not present weaknesses in the implementation of their internal control standards concerning their business continuity plans; calls on the remaining agencies to improve their situation in order to mitigate any potential risks and to report to the discharge authority on the measures taken;
This question concerns GSA and EASO. The concerned Agencies (EASO, GSA) are invited to provide an update on the state of play of their business continuity plans.

Agency response: n/a

Other comments

44. ... notes moreover the possible impact on the revenue and activities of several non-London based agencies; calls on the agencies to prepare to mitigate any potential risks that may follow and report to the discharge authority on the implementation of such preparatory measures;

Did your Agency put in place relevant measures to mitigate any potential risks that may follow from Brexit? Please specify:

Agency response: Eurofound did closely monitor the possible Brexit-related risks: the risks in relation to staff with single UK citizenship, external experts with UK citizenship and/or working for UK-based organisations, contractors located in the UK, procurement of goods and services from potential tenderers based in the UK, involvement of UK in specific Eurofound projects. Together with the support of the Commission and the Network of EU Agencies, all aspects were tackled in a timely manner which results now in a very low level of (acceptable) residual risk (i.e. little potential impact) should Brexit become a reality - July 2019

EUROJUST

Human resources management

27. Calls on all agencies to disclose their level of staff turnover and to clearly indicate the positions, which are effectively occupied by 31 December of the relevant financial year, in order to ensure inter-agency comparability;*(clarification from CONT - years 2017 and 2018)*

Agency response:

	Turnover rate of officials (in %)	Turnover rate of temporary agents (in %)*	Turnover rate of contract agents (in %)
31.12.2017	N/A	5.6% (11 out of 196 staff left, 202 TA on 31.12.2017))	27.5% (8 out of 29 staff left, 21 CA on 31.12.2017))
31.12.2018	N/A	1.5% (3 out of 203 staff left, 207 TA on 31.12.2018)	61.1% (11 out of 18 staff left, 16 CA on 31.12.2018)

*turnover calculations are based on an average number of staff throughout the year

28. Regrets the gender imbalance in some agencies; calls on all agencies to constantly work on a balanced distribution on all levels of staff and report to the discharge authority on implemented measures and progress; What measures did your Agency undertake to address gender imbalance? Please specify:

Agency response: The gender balance on 31 December 2018 was 68% female to 32% male. Eurojust continued throughout 2018 to encourage applications from male candidates to enhance the diversity of its workforce. Eurojust had seven middle management positions by 31 December 2018. Of these seven positions, three were filled by female staff (42.8%).

Prevention and management of interests and transparency

42. Notes with satisfaction that a large majority of the agencies do not present weaknesses in the implementation of their internal control standards concerning their business continuity plans; calls on the remaining agencies to improve their situation in order to mitigate any potential risks and to report to the discharge authority on the measures taken;
This question concerns GSA and EASO. The concerned Agencies (EASO, GSA) are invited to provide an update on the state of play of their business continuity plans.

Agency response: N/A

Other comments

44. ... notes moreover the possible impact on the revenue and activities of several non-London based agencies; calls on the agencies to prepare to mitigate any potential risks that may follow and report to the discharge authority on the implementation of such preparatory measures;

Did your Agency put in place relevant measures to mitigate any potential risks that may follow from Brexit? Please specify:

Agency response: Eurojust is in regular contact with the Commission concerning the ongoing negotiations and developments in relation to the withdrawal agreement and the future cooperation between Eurojust and the UK after Brexit.

Brexit was already considered a relevant influencing factor impacting Eurojust in the Single Programming Document 2018-2020 and onwards. Internally, Eurojust has been analysing and continues to analyse the legal implications of the withdrawal on police and judicial cooperation matters, the possible operational implications and the scenarios for possible future cooperation with the UK to be prepared for the period following Brexit. The budgetary impact of the UK withdrawal was considered during the negotiations on the Eurojust Budget 2019 and the upcoming Multi-Annual Financial Framework 2021-2027. Further, Eurojust is contributing to the work of the EU Agencies Network in analysing the impact of the withdrawal of the UK from an administrative perspective; and is following up the indications of the European Commission in areas such as procurement and recruitment.

EUROPOL

Human resources management

27. Calls on all agencies to disclose their level of staff turnover and to clearly indicate the positions, which are effectively occupied by 31 December of the relevant financial year, in order to ensure inter-agency comparability;*(clarification from CONT - years 2017 and 2018)*

Agency response:

	Turnover rate of officials (in %)	Turnover rate of temporary agents (in %)	Turnover rate of contract agents (in %)
31.12.2017	Not applicable	7.58% (out of 535 TAs in 2017)	16.45% (out of 159 CAs in 2017)
31.12.2018		7.65% (out of 555 in 2018)	11.9% (out of 201 in 2018)

28. Regrets the gender imbalance in some agencies; calls on all agencies to constantly work on a balanced distribution on all levels of staff and report to the discharge authority on implemented measures and progress; What measures did your Agency undertake to address gender imbalance? Please specify:

Agency response: While Europol is led by a female Executive Director since May 2018, the organisation remains committed to ensuring balanced gender representation In 2015, a “Gender Balance and Diversity Steering Group” was established at Europol which has now evolved in the “Diversity and Inclusion Steering Group.”

In December 2018, the Management Board of Europol endorsed the new Europol Strategy, with Diversity being added as a new Europol Value. The essence statement of the Europol Value Diversity is: “We foster diversity in the workplace and uphold an inclusive corporate culture and conditions where all staff members have equal opportunities to develop and contribute to the success of the organisation.”

In 2019, Europol has chaired the Justice and Home Affairs (JHA) Agencies network, with diversity and inclusion as key governance agenda topic. The Europol Diversity Day on 4 July 2019, followed by an expert meeting on 5 July 2019, focused on current diversity and inclusion practices, challenges and opportunities in law enforcement, with a view to identifying best practice approaches to attract, recruit and retain diverse talents.

In addition, Europol has in particular taken the following measures, namely to:

- Promote and apply the use of family friendly working conditions within the framework of the EU Staff Regulations. A positive approach is taken with the implementation of the working time regime and adjustment of the organisation of work, allowing for flexible working arrangements and possibilities for part-time work and parental leave;

- Emphasise the aspect of equal opportunities for women and men in all vacancy notices of Europol. This is also highlighted in the Europol Recruitment Guidelines, published on Europol’s website (including gender neutral terminology). Women, in particular in the law enforcement sector, are encouraged to apply for posts at Europol, complemented with a balanced gender representation in Selection Committees, next to training on unconscious bias which is of relevance in the recruitment process. At Europol, the Recruitment Team is led by a female staff member who take due care of gender aspects on a continuous basis;

- Develop gender-sensitive work culture, including a gender and diversity review for internal Europol policies and instruments of a regulatory nature that are newly developed or reviewed;

- Support training opportunities, e.g. to participate in management training (e.g. Lead your team training), career development, promotions, internal mobility.

From an overall perspective, Europol has identified positive trends. While in 2017, there were 16% of female applicants to senior posts (temporary agents, function group AD7 or higher, as referred to in Europol's Establishment Plan), with 28% of female applicants being successful, in 2018 there were 25% of female applicants, of which 43% were successful.

In addition, women in middle and senior management (Head of Unit or equivalent and above) accounted for 12% in 2018 (6% in 2017), while women in all staff categories (temporary agents, contract agents and seconded national experts) accounted for 33% in 2018 (32% in 2017).

From an overall perspective, Europol's female gender rates, including in senior positions, are better when compared with relevant statistics concerning women employed in law enforcement around the world (e.g. "Good practice case studies in the advancement of women in policing", Ward, A. & Prenzler, T., 2016. Key finding: Women remain a minority in police departments throughout the world, and the better performing departments have, on the whole, achieved female representation at only 25%, with senior women at 10%.

Source: http://journals.sagepub.com/doi/abs/10.1177/1461355716666847).

Prevention and management of interests and transparency

42. Notes with satisfaction that a large majority of the agencies do not present weaknesses in the implementation of their internal control standards concerning their business continuity plans; calls on the remaining agencies to improve their situation in order to mitigate any potential risks and to report to the discharge authority on the measures taken;
This question concerns GSA and EASO. The concerned Agencies (EASO, GSA) are invited to provide an update on the state of play of their business continuity plans.

Agency response: Not applicable to Europol

Other comments

44. ... notes moreover the possible impact on the revenue and activities of several non-London based agencies; calls on the agencies to prepare to mitigate any potential risks that may follow and report to the discharge authority on the implementation of such preparatory measures;

Did your Agency put in place relevant measures to mitigate any potential risks that may follow from Brexit? Please specify:

Agency response: Europol continuously monitors the BREXIT related developments. In view of the importance of law enforcement cooperation between Member States, Europol and UK law enforcement authorities, preparations have predominantly focussed on the continuation operational cooperation with and through Europol.

Scenario based planning ensures that Europol remains ready to adapt to any of the possible outcomes of the ongoing process in relation to the withdrawal of the UK from the EU under Article 50 of the Treaty on European Union (TEU). These activities take place in close consultation with the European Commission, with a view to ensuring that Europol's preparations are in line with the Union's policy.

The main topics of the preparations are: (a) the employment of UK nationals at Europol; (b) the use of tools, systems and access to data; (c) security and data protection matters and (d) contractual engagements with UK companies and organisations.

FRA

Human resources management

27. Calls on all agencies to disclose their level of staff turnover and to clearly indicate the positions, which are effectively occupied by 31 December of the relevant financial year, in order to ensure inter-agency comparability;*(clarification from CONT - years 2017 and 2018)*

Agency response:

	Turnover rate of officials (in %)	Turnover rate of temporary agents (in %)	Turnover rate of contract agents (in %)
31.12.2017	None	97.2%, 72 authorized, 70 filled in	93.8%, 32 authorized, 30 filled in [86.9%, actual number of FTE 27.8]
31.12.2018	None	98.6%, 72 authorized, 71 filled in	96.9%, 32 authorized, 31 filled in [89.7%, actual number of FTE 28.7]

28. Regrets the gender imbalance in some agencies; calls on all agencies to constantly work on a balanced distribution on all levels of staff and report to the discharge authority on implemented measures and progress; What measures did your Agency undertake to address gender imbalance? Please specify:

Agency response:

In November 2018, a new organisational structure was introduced, to enhance mutual support and further strengthen outputs. One additional operational unit has been established to strengthen inter-departmental cooperation on projects and enhance capacity for real-time responses without endangering multiannual research.

The salient element of the reorganisation is that it addresses the European Parliament's comment on the gender balance in management positions. The percentage of women in these positions increased from 20 % to 50%.

Prevention and management of interests and transparency

42. Notes with satisfaction that a large majority of the agencies do not present weaknesses in the implementation of their internal control standards concerning their business continuity plans; calls on the remaining agencies to improve their situation in order to mitigate any potential risks and to report to the discharge authority on the measures taken; This question concerns GSA and EASO. The concerned Agencies (EASO, GSA) are invited to provide an update on the state of play of their business continuity plans.

Agency response:

N/A (Question not addressed to FRA)

Other comments

44. ... notes moreover the possible impact on the revenue and activities of several non-London based agencies; calls on the agencies to prepare to mitigate any potential risks that may follow and report to the discharge authority on the implementation of such preparatory measures;

Did your Agency put in place relevant measures to mitigate any potential risks that may follow from Brexit? Please specify:

Agency response:

Since mid. 2017, potential negative impact of Brexit on the work of FRA is a part of annual risk assessment. FRA closely monitors developments and remains in close contact with the relevant services of the European Commission. FRA has already implemented and / or prepared a number of mitigating measures, in line with applicable legal frameworks e.g. in areas of procurement, employment, data protection, governance, events organisation, stakeholder consultations etc.

FRONTEX

Human resources management

27. Calls on all agencies to disclose their level of staff turnover and to clearly indicate the positions, which are effectively occupied by 31 December of the relevant financial year, in order to ensure inter-agency comparability;*(clarification from CONT - years 2017 and 2018)*

Agency response:

	Turnover rate of officials (in %)	Turnover rate of temporary agents (in %)	Turnover rate of contract agents (in %)
31.12.2017	no officials	rate = 20/262 = 7,6 % TA turnover 2017 = 20 staff TA total staff = 262	rate = 23/151 = 15,2 % CA turnover 2017 = 23 staff CA total staff = 151
31.12.2018	no officials	rate = 28/303 = 9,2 % TA turnover 2018 = 28 staff TA total staff = 303	rate = 25/187 = 13,4 % CA turnover 2018 = 25 staff CA total staff = 187

28. Regrets the gender imbalance in some agencies; calls on all agencies to constantly work on a balanced distribution on all levels of staff and report to the discharge authority on implemented measures and progress; What measures did your Agency undertake to address gender imbalance? Please specify:

Agency response: Overall, Frontex staff is quite gender balanced: at 31/12/2018 the composition of statutory staff (TA+CA+SNE) is 43% female and 57% male.

If we further analyse the 3 staff categories the situation is as follows:

- TA staff is generally balanced (41% female, 59% male)

- CA staff is not balanced (68% female, 32% male)…..

- SNE staff is not balanced (18% female, 82% male). For this category it has to be noted that staff seconded to FRONTEX is from EU nationals law enforcement corps and the majority of applications received are from male staff probably due to the imbalance situation already at national level.

Frontex openly and constantly applies an equal opportunities recruitment policy and promotes applicants to apply without any distinction on grounds of age, race, political, philosophical or religious conviction, sex or sexual orientation and regardless of disabilities, marital status or family situation.

Prevention and management of interests and transparency

42. Notes with satisfaction that a large majority of the agencies do not present weaknesses in the implementation of their internal control standards concerning their business continuity plans; calls on the remaining agencies to improve their situation in order to mitigate any potential risks and to report to the discharge authority on the measures taken;
This question concerns GSA and EASO. The concerned Agencies (EASO, GSA) are invited to provide an update on the state of play of their business continuity plans.

Agency response:

Other comments

44. ... notes moreover the possible impact on the revenue and activities of several non-London based agencies; calls on the agencies to prepare to mitigate any potential risks that may follow and report to the discharge authority on the implementation of such preparatory measures;

Did your Agency put in place relevant measures to mitigate any potential risks that may follow from Brexit? Please specify:

Agency response:

Frontex is Schengen-relevant. Therefore, the UK is less involved in the activities of the Agency.

Concerning governance: Frontex understands that the legal provisions on the UK's participation in the MB will not be in force anymore once the UK exits the EU.

Concerning operations: the Agency has taken stock of the contribution of the United Kingdom (e.g. for EMPACT or JADs) as well as of the impact of the UK becoming a third country (e.g. on physical infrastructure of border crossing points or for the purpose of ETIAS). In the future, the Agency's cooperation with the UK will need to be aligned with any overarching UK-EU framework.

Concerning procurement: Frontex has taken stock of the contracts it currently has in place with UK economic operators. Frontex acknowledges the fact that new contracts cannot be concluded with UK economic operators after the exit date.

Concerning HR & security: for contract and temporary agents, Articles 47 and 119 CEOS provide that, in principle, employment shall cease if an agent no longer has the nationality of a Member State i.e. for Brexit on 1 November 2019.

However, before that date, Frontex will follow a case by case approach to allow the Appointing Authority to authorise exceptions to the nationality clause (i.e. the contract will not cease to exist), seeking the best solution in the interest of the service. If the Appointing Authority authorises an exception, the UK agent's employment will not cease when the UK leaves the EU.

Also, Frontex coordinated workshops in the context of the EUAN where HR-related Brexit issues were discussed. This gave the Agencies a good forum to address common legal questions. Frontex also invited DG HR and a Security/Directorate Security representative to elaborate on the security-related aspects of Brexit in a EUAN Heads of Administration meeting.

GSA

Human resources management

27. Calls on all agencies to disclose their level of staff turnover and to clearly indicate the positions, which are effectively occupied by 31 December of the relevant financial year, in order to ensure inter-agency comparability;*(clarification from CONT - years 2017 and 2018)*

Agency response:

	Turnover rate of officials (in %)	Turnover rate of temporary agents (in %)	Turnover rate of contract agents (in %)
31.12.2017	n/a	3,73%	1,24%
31.12.2018	n/a	3,03%	4,24%

28. Regrets the gender imbalance in some agencies; calls on all agencies to constantly work on a balanced distribution on all levels of staff and report to the discharge authority on implemented measures and progress; What measures did your Agency undertake to address gender imbalance? Please specify:

Agency response: The Agency pays high attention to the gender balance and undertakes several measures to improve it.

In 2017, in a management training programme for potential managers, 50% of the selected participants were female colleagues.

Whenever possible, the Agency strives for an equal gender balance representation in various GSA boards and committees, such as selection committees, joint committee, disciplinary board etc.

Prevention and management of interests and transparency

42. Notes with satisfaction that a large majority of the agencies do not present weaknesses in the implementation of their internal control standards concerning their business continuity plans; calls on the remaining agencies to improve their situation in order to mitigate any potential risks and to report to the discharge authority on the measures taken; This question concerns GSA and EASO. The concerned Agencies (EASO, GSA) are invited to provide an update on the state of play of their business continuity plans.

Agency response: GSA is drafting three key business continuity (BC) documents in 2019:

(1) GSA BC Strategy (BCS), mostly defining GSA BC strategic choices, resources, governance and a BC midterm action list;

(2) GSA corporate BC Plan (BCP) defining what to do in case of a BC event;

(3) GSA corporate BC Procedure, defining how and when to act in a BC event.

The first draft for the BCS and BCP will be completed before the summer of 2019. Both documents and the BC Procedure will be subject to internal review that will be completed in 2019.

Other comments

44. ... notes moreover the possible impact on the revenue and activities of several non-London based agencies; calls on the agencies to prepare to mitigate any potential risks that may follow and report to the discharge authority on the implementation of such preparatory measures;

Did your Agency put in place relevant measures to mitigate any potential risks that may follow from Brexit? Please specify:

Agency response: The following actions have been put in place in order to avoid a negative impact of the potential UK's withdrawal from the European Union:

(1) Ongoing Contracts: the contracts signed by the GSA with UK prime contractors or subcontractors involved in security related matters have been identified and, where appropriate, amended in order to ensure that the contracts are performed by entities satisfying the participation conditions established at the time of tender (i.e. established in one of EU Member State (other than the UK after Brexit).

(2) Grant Procedures: UK companies acting as beneficiaries, affiliated entities or linked third parties may notably not comply with the eligibility conditions after Brexit.* Therefore, the GSA has informed such entities that they would not receive any contribution for their costs for the period after Brexit.

(3) European Union Classified Information (EUCI): UK entities holding EUCI on UK territory were required to return or destroy this information. UK persons will not be able to have access to EUCI after Brexit unless a security arrangement is concluded between the EU and UK.

(4) UK Staff: staff members of the GSA with UK citizenship cannot be employed by the Agency after Brexit unless the Executive Director grants them a derogation. Such measures have not been implemented yet given the postponement of Brexit.

* See .Regulation (EU) No. 1290/2013 of the European Parliament and of the Council of 11 of December 2013 laying down the rules for the participation and dissemination in Horizon 2020 – the Framework Programme for Research and Innovation (2014-2020) and repealing Regulation (EC) No 1906/2006 (OJ L 347, 20.12.2013, p.8

Annex II. PDN Performance indicators

EU Agencies Network
Performance Development Network

Performance indicators in EU agencies

Report from the

Working Group on Performance measurement of the

Performance Development Network of the EU Agencies

Coordination: Philippe Harant, ECDC, Chair of the WG

Final version: October 2014

Introduction

The present report was prepared by the working group on performance measurement, which is part of the Performance Development Network of the EU Agencies Network. This working group is composed of representatives of the following EU agencies who contributed to this report and to the catalogue:

Jesper BEJER	EU-OSHA	Saverio LIGUORI	FRA
Saša BORKO	ACER	Mike MOULDER	EUROJUST
Indra BORKUS	EMA	Silvia MANESSI	FRA
Elena CAPRIOLI	EFSA	Soraya OBURA	EMSA
Clara FERNANDEZ	EFCA	Antoine SIERRA	ERA
Philippe HARANT (Chair)	ECDC	Iben STANHARDT	EEA
Michael JURITSCH	FRONTEX	Nerimantas STEIKUNAS	EMA
Leelo KILG-THORNLEY	CEPOL		
George KOSTAKIS	CEDEFOP		

Part 1 of the report was initially prepared by the following drafting team, and reviewed by the rest of the Working Group:

- Jesper Bejer, EU-OSHA
- Clara Fernandez, EFCA
- Philippe Harant, ECDC
- Soraya Obura, EMSA

The work was initiated in early 2013, with the objective of raising awareness about performance indicators across agencies, and promoting the use of performance indicators as part of their management, especially in their programming documents and annual activity reports.

This document contains two parts:

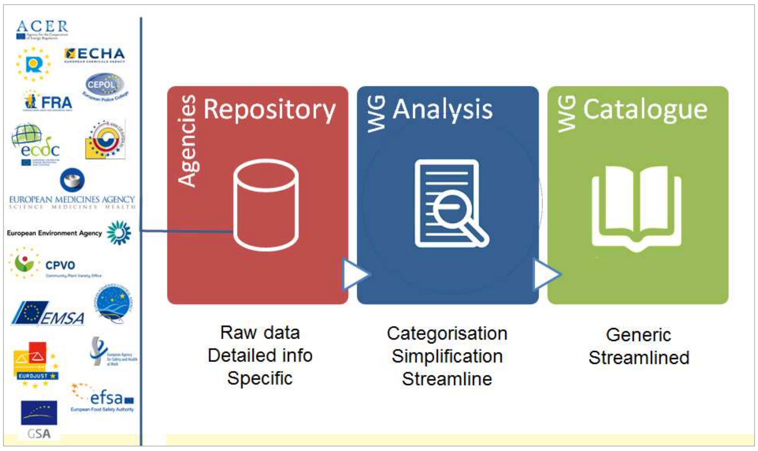
- a general introduction on the concept of indicators in the context of EU agencies, their role and how to use and develop them; this part is illustrated by concrete examples taken from EU agencies;
- a catalogue of generic indicators that can be used as an inspirational tool by agencies, and customised to their needs, when developing their own indicators

The starting point of this report is a repository of indicators, launched in 2013, where EU decentralised agencies were invited to input and document the key performance indicators they are using. 16 agencies initially contributed and more than 500 indicators were received. The repository is still open for new contributions in order to remain up to date. Based on new entries, the catalogue will be updated once a year. The repository was used as the basis for the catalogue, ensuring that the latter is built on the practice and experience of the agencies.

The repository is available at the following address:
https://troika.fra.europa.eu/pdn/Pages/keydocuments.aspx

The catalogue (in part 2 of this document) and the repository are linked: the former provides generic indicators grouped by category whereas the repository provides more practical illustrations of the indicators as used by the agencies.

Development process: 16 EU agencies contributed to the repository. The indicators in the repository are specific to the agencies. Based on the repository, the Working Group analysed the indicators and clustered them into categories. The indicators were simplified and made more generic in order to be more easily adaptable across agencies. To be used by an agency, the indicators in the resulting catalogue need to be customised to the organisation and its specificities.



The present report covers general performance indicators used in EU agencies. It addresses indicators of a general nature to be used for managerial purposes. It does not go into the detail of more technical indicators that could be developed for specific purposes in more specialised areas, such as communication, or science for example. However it can serve as a starting point to develop indicators in such areas.

In parallel to this work, the EU network of Agencies is developing a set of indicators to assess the performance of the Heads of Agencies. The two documents are not directly related.

Table of contents

Part 1

The use of performance indicators in the context of EU agencies

Introduction

The introduction of performance indicators in the public sector aimed to help institutions/organisations define and measure progress towards organisational goals. Measurement is essential in order to know where we are, to identify if we are on the right track, to assess if additional measures should be put in place and to evaluate if we have reached our goal/s.

Within the EU decentralised agencies, performance indicators are already referred to in some agencies' Founding Regulations (mainly in the new/recently revised ones), while in others they might have been introduced by the agency through the Internal Control Standards and/or as a best practice. As of today, article 29 (4) of the Framework Financial Regulation requires the use of performance indicators to monitor progress towards objectives.

Independently of their origin, the importance of measuring activities or results, in order to successfully achieve the multiannual and annual work programme and strategy, is commonly agreed. Moreover, Agencies have shown a strong focus on performance and the need to demonstrate results.

The European Parliament (EP), in the "2008 discharge: performance, financial management and control of agencies", stressed the importance of including RACER indicators in the annual work programmes for performance assessment purposes. In the European Parliament "2009 discharge: performance, financial management and control of EU agencies", the agencies were encouraged to formulate result oriented Key Performance Indicators (KPIs) and the Inter-institutional Working Group on Agencies[1] was requested to address the topic.

The need for better management and result-oriented monitoring systems was also pointed out by the European Court of Auditors[2] and in the Report on the Evaluation of the EU decentralised Agencies[3].

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[1] European Parliament, Council of the EU and the European Commission

[2] The European Court of Auditors, "The European Union's Agencies: getting results", Special report No 5, 2008.

The Common approach attached to the Joint Statement of the European Parliament, the Council of the EU and the European Commission on decentralised agencies[4], stated that: "Key performance indicators should be developed by the agencies and the Commission and be adapted to the agencies' specificities". In line with this, the Commission roadmap on the follow-up to the Common Approach on EU decentralised agencies[5] included under action 28: "Develop and use key performance indicators".

In this context, the Performance Development Network's working group on performance measurement was established[6], to strengthen agencies' awareness concerning the use of performance indicators and promote their use as part of their management, especially in their programming document.[7]

The present document aims to provide some guidelines and on how to develop and use performance indicators in EU agencies.

1.1. Definition of a performance indicator

The "performance-based management" approach aims to develop agreement on goals, strategies for achieving goals and performance measurement systems that provide sufficiently complete, accurate, and consistent data to document performance and support decision making[8]. Performance management has been strategic for many institutions facing an increasing demand for effectiveness and efficiency, accompanied by a decrease in the public budget.

An essential component of performance management is "performance measurement", the regular and careful monitoring of programme implementation and outcomes[9].

A **performance indicator** is a type of performance measurement. There are many general definitions for performance indicators. The Organisation for Economic Co-operation and Development (OECD) defines an indicator as "a qualitative or quantitative factor or variable that provides a simple and reliable means to measure achievement, to reflect changes connected to an intervention, or to help assess the performance of a development actor"[10].

Performance indicators are closely linked to goals and objectives and serve as touchstones by which to measure the degree of success in goal achievement.

The role and the classification of performance indicators are analysed in the following sections.

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[3] "Evaluation of the EU decentralised agencies in 2009", Ramboll, Euréval, Matrix insight, ABAC Contract. No. 30-CE-0230814/00-05, 2009, and "Community Fisheries Control Agency, five-year independent external evaluation", Blomeyer and Sanz, Centre for Strategy & Evaluation Services, Evalutility Ltd, CFCA/SER/2011/02/630, 2012.

[4] Joint Statement of the European Parliament, the Council of the EU and the European Commission on decentralised agencies, 18 June 2012

[5] Roadmap on the follow-up to the Common Approach on EU decentralised agencies, 19 December 2012

[6] Terms of reference for the EU agencies Performance Development Network, Helsinki, 12 October 2011.

[7] The EP, in the "2012 discharge: performance, financial management and control of EU agencies", has welcomed the steps taken by the agencies to focus more on performance reporting. The EP acknowledged from the Network that each agency has developed its own performance management system using the experience and best practice shared between agencies within the Network and that a specific sub-network has been created to reinforce the cooperation among agencies in this respect.

[8] "Performance-based management. Responding to the "Challenges" Joseph S. Wholey, Public Productivity & Management Review, Vol. 22, No. 3, 1999

[9] Patria de Lancer Julnes, International handbook of practice-based performance management, 2007.

[10] DAC Glossary of Key Terms in Evaluation, May 2002

Performance indicators and Key Performance Indicators (KPIs) are often used interchangeably and in some cases both concepts are used to describe the same group of indicators. It may, however, be useful to apply the two concepts to two different meanings.

KPIs are in general a subset of the performance indicators. The KPIs represent a set of measures focusing on the aspects of organisational performance that are most critical for the current and future success of the agency.[11] The qualification of performance indicators as KPIs is subjective and should be left to the appreciation of the agency. As long as the agency's goals are stable, the KPIs should in principle be stable as well. In order to be useful the number of KPIs should be relatively low[12].

As a complement, more specific performance indicators may be developed at operational levels, in order to track and monitor the performance of the organisation in its various parts. Ultimately these operational indicators should feed into the limited key performance indicators.

It is important to keep in mind the essence of the concept of *indicators.* Various authors have stressed that the information indicators provide has to be interpreted carefully. They should give *an indication, point out*[13]. Another related concern is that poorly defined indicators (or inadequate use of them) may have negative behavioural impacts. "Hitting the target, but missing the point"[14] describes a situation where the mission of the organisation is replaced by performance indicators without a clear link to the mission. In addition, indicators are not the most suitable for measuring impact, which can be measured through more relevant tools such as evaluations (see section 1.9 below).

1.2. SMART objectives and RACER indicators

Performance indicators are an integral part of management and programming tools, together with objectives and targets. They cannot be constructed in isolation; on the contrary, they should be closely interlinked and clearly connected. There should be at least one performance indicator per objective.

Objectives are required to meet **SMART** criteria (Specific, Measurable, Attainable, Relevant and Time-bound) in order to be relevant

Performance indicators are required to meet **RACER** criteria (Relevant, Accepted, Credible, Easy and Robust) to fit the requirements.

Some of the characteristics applying to performance measures are, *inter alia*: clear, concise, agreed, realistic, reviewed, easy to collect, related to efficiency and effectiveness, understandable, realistic, time scale and quantifiable.

It is not the intention of the document to challenge the use of one or other criteria, but to provide the tools that could better fit the purpose.

[11] David Parmentier, Key Performance Indicators (KPI): Developing, Implementing, and Using Winning KPIs, 2007

[12] For example, Kaplan and Norton recommend no more than 20 KPIs

[13] From the Latin *indicō,* point out.

[14] See e.g. Work Foundation, Public Value, Politics and Public Management: A literature review, 2006

The tables below describe the SMART and the RACER criteria.

SMART CRITERIA[15] for OBJECTIVES	
Specific	specify the target group and the factors/that will be measured
Measurable	written in a measurable format, quantifiable, e.g. number to be reached
Achievable	feasible, realistic
Relevant	result-based, result-oriented, consistent, instrumental to the activity, support the agency mission and the achievement of organisational goals
Timed	specify when the result(s) can be achieved, set a time frame

RACER CRITERIA for PERFORMANCE INDICATORS	
Relevant	closely linked to the objectives to be reached, consider policy support, past and future trends and sensitiveness
Accepted	by the management, the staff, the stakeholders and other users
Credible	accessible to non-experts, unambiguous and easy to interpret, transparent and sound
Easy	feasible to monitor and collect data at reasonable costs, no complex monitoring
Robust	not easily manipulated, traceable and reproducible

In the EU policy context, and for the purpose of measuring performance, RACER criteria are the generally accepted framework for indicators.

The RACER criteria provide a framework for developing or assessing indicators. The criteria can be further specified, or sub-criteria can be identified, in order to adapt the framework to the specificities of the organisation. Different sets of criteria may be preferred in different fields or for different purposes. For instance, where the focus is on stakeholder behaviour change and participation, slightly different criteria are often considered more appropriate, such as the SPICED properties (Subjective, Participatory, Interpreted (and communicable), Cross-checked, Empowering, Diverse and disaggregated)[16].

Guidance literature tends to cover the development of objectives and indicators together, as the quality of the objectives will reflect on the quality of the indicators. Striving for objectives that are as SMART as possible is recommended, in order to be able to define good indicators[17].The character of the indicators

15 Regulation (EU, EURATOM) No 966/2012 Of the European Parliament and of the Council of 25 October 2012 on the financial rules applicable to the general budget of the Union, Article 30(3).

16 Chris Roche, "Impact assessment for development agencies: learning to value change", Oxfam, 1999

17 "SMART objectives are needed to define good indicators. This in turn will allow you to monitor progress and evaluate the extent to which you have achieved your objectives." European Commission, Impact Assessment Guidelines, 15 January 2009, p. 28

will be influenced by the objectives they are intended to measure or to which they are linked. For example, the type of objective (e.g. input/output/outcome/impact[18]) will have an impact on the relevance of the indicator with respect to the organisation's mission and policy context; similarly the perspective of the objective (e.g. learning/internal processes/external/financial[19]), will have an impact on its acceptance by different stakeholders.

In short, it is important when using the criteria for indicators to bear in mind that the sets of criteria are indicative and need to be tailored to the specificities of the organisation and its mission; and, as detailed in section 1.3 below, different criteria within each set will weigh differently, depending on the purpose or role of the indicator.

1.3 Roles of performance indicators in the management of an agency

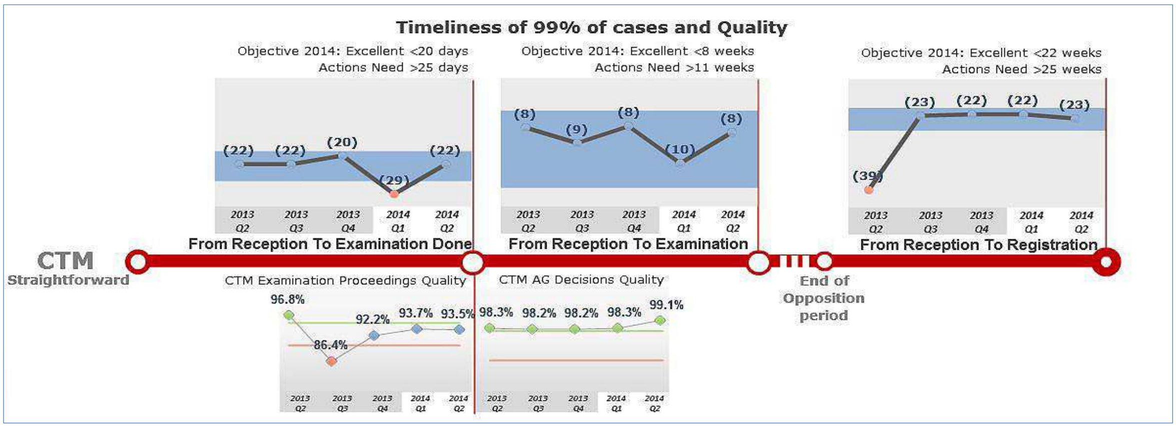
Performance indicators can serve several purposes and the requirements for indicators (see section 1.2) will depend on the purpose. It is therefore important to have a clear idea about how an indicator will be used before it is designed.

- Indicators are often used for **accountability** purposes, to provide internal and external stakeholders (including the general public) information on whether targets were achieved. Providing this information creates transparency and is essential to build trust among citizens. One of the characteristics of public bodies such as EU agencies is that they are accountable, amongst others to citizens and stakeholders. EU agencies are expected to explain in public what they do and achieve - and how they spend the resources made available to them. It is worth stressing that whereas a consumer may care about what is delivered to him/her, a citizen cares about what is delivered to others as well.

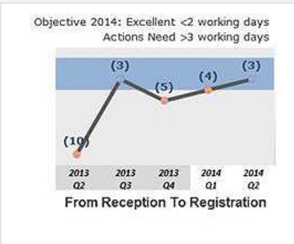
  In order to serve accountability purposes, it is important that indicators comply with the RACER criteria, and in particular that they are robust and credible. Whereas indicators on inputs and outputs in general can be designed so that they are credible and robust, this may be more difficult with indicators for outcomes and impacts. Agencies must therefore consider whether indicators on outcomes and results have been designed in a way that allows stakeholders to understand the information. Another criterion which is important when indicators are used for accountability purposes is that they are relevant to the objectives. Indicators which are not relevant do not provide information on whether the objectives were reached, (cf. the expression "hitting the target, missing the point").

[18] See below under 1.4
[19] See below under 1.3

Example: OHIM publishes quarterly on its website its performance in relation to its services/activities of its "Service Charter". The Service Charter measures OHIM's performance against the standards (commitments to its users and the IP community). The standards are revised annually to reflect feedback from users. The graphs below show the performance of OHIM in relation to the registration of a Community Trademark (CTM). The performance against each individual standard is represented by a colour. Red means that actions need to be implemented to get the performance back on track; blue means that the agency complies with the expected performance level; and green that the performance is achieving the excellence level target. Transparency and accountability of OHIM is further enhanced by informing users of the actions the Agency is taking when performance is below expectations (an example is provided below).[20]



Example of informing OHIM users of actions taken to get back on track:

Evolution	2014-Q1 Action	2014-Q2 Comments
	**Indicator: RCD Fast Track Registration** The latest case which prevented the result from reaching the compliance area should have been disqualified as "fast track" since it did not comply with the foreseen criteria. Examiners have been advised to be aware of any irregularities that prevent an application from being registered immediately (fast track), and to correctly rule out cases as "fast track" when necessary.	As expected after the first quarter, the result is returning to a normal situation. In addition, the advice to the examiners shows to be effective to prevent further deviations.

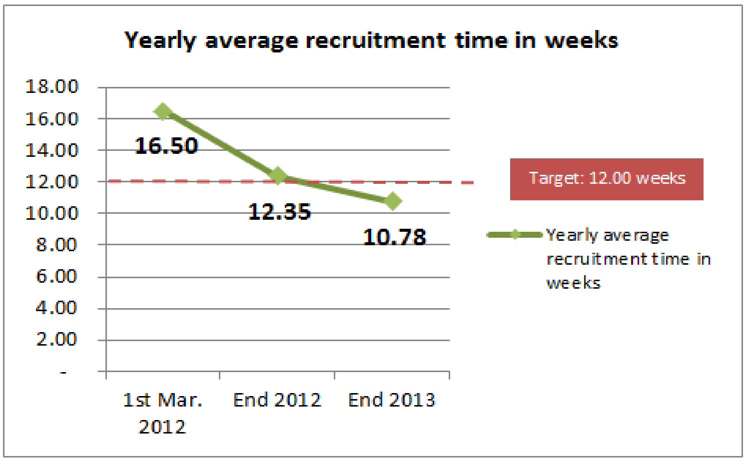
- Performance indicators are also used for **management** purposes. Here the objective is to provide management with the information needed to know whether strategic and operational objectives are being reached, and to allow for corrective measures and steer improvements if objectives are not being reached. Indicators designed for this purpose must allow management to intervene at a stage where corrective actions are still meaningful. For this reason *leading* indicators will often be used (see section 1.6 on leading vs. lagging indicators).

- Agencies may want to use performance indicators for **incentive** purposes, to drive performance or change and motivate staff. This is a specific case of the use of indicators for management purposes.

[20] Source/Link: https://oami.europa.eu/ohimportal/en/quality

Performance indicators can help focus on specific areas to which the agency has decided to give priority, (cf. the expression “what gets measured gets done”).

Example: In March 2012, ECDC considered that the time the agency took for recruitment of new staff was too long (over 4 months). It decided to set a target that any position should be filled within three months from the moment the vacancy note expired. An indicator was set up to monitor the progress. The recruitment time dropped dramatically and, as a result of regular monitoring of the indicator, the target was reached after 9 months and has been exceeded ever since.



- Information from performance indicators may also be useful when formulating the **budget or allocating resources**. Performance indicators can provide information on historical budget and resource use and help estimate similar situations in the future.

- Learning from experience is also a frequent purpose for performance indicators. For **improvement** purposes, the criteria of relevance and acceptance become very important. As the information provided on the indicators will typically be the starting point for a dialogue, the criteria of credibility and robustness become less important. Whereas for most other purposes, quantitative indicators may be preferable, for learning, qualitative indicators can often provide important added value.

- Finally, performance indicators may also provide input for **comparisons** or **benchmarking exercises**[21]. The relevance of the different criteria will depend on the context of the comparisons - comparisons may for example be used for accountability purposes, but they may also be used for learning purposes.

1.4 Classification of indicators

Indicators may serve different purposes as outlined in section 1.3. In addition performance indicators may measure different things. A standard classification is the following:

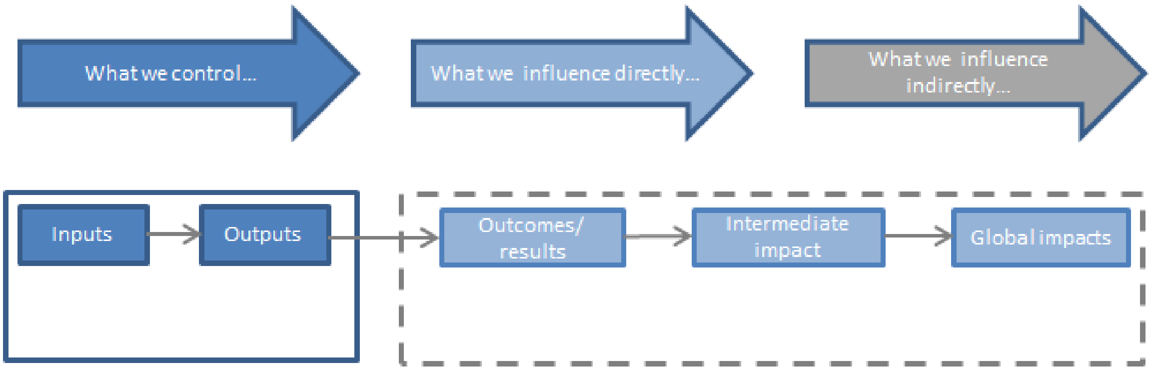
[21] Benchmarking is typically referred to as an exercise of “identifying, understanding, and adapting the best practices both inside and outside the organisation” (A Gunasekaran & Krishan M Gupta (2003), “Benchmarking in public administration and public policy” in *Encyclopedia of Public Administration and Public Policy.*

- **Resource or input** indicators: measure the resources available/used (e.g. budget amount, number of staff)
- **Output** indicators: refer to the products/services delivered. (e.g. number of reports published)
- **Outcome** indicators: Outcome (or result) indicators measure the direct effect of an output, (e.g. number of citations of a scientific or policy report published by the agency)
- **Intermediate impact** indicators: These indicators measure the short to medium-term effects of the agency's outputs, e.g. whether a publication led to a change in behaviour.
- **Global impact** indicators: These typically measure long-term effects of the activity and may refer to the impact on society, e.g. improved health (for part of the population). Impacts are usually only indirectly influenced by the agency's outputs.

When measuring effects it is important to keep in mind that effects may be intended and unintended as well as positive and negative.

Different indicator types can also be combined, e.g. a process indicator would measure the relationship between inputs and outputs (efficiency indicators) (e.g. Registration rate: number of trademarks granted vs. number of trademarks presented)

It is not always possible to classify indicators clearly in the categories defined above. What an indicator measures can only be defined in the concrete context where it is applied.



Source: Evaluating EU activities. A practical guide for the Commission services, July 2004, DG Budget, Evaluation Unit

Example: The Commission designated 2013 to be a 'Year of Air' due to a review of EU air quality policies. This resulted in a package of policy proposals published by the end of the year. The EEA supported and informed the process in many ways. In order to measure performance both quantitative metrics and qualitative feedback were gathered for an evaluation of EEA work and communication efforts. Some of the indicators were:

- ***Inputs:** EEA staff and budget*
- ***Outputs:** 12 EEA air reports, 13 press releases and web stories, EEA contribution to 6 air events with policy maker presence including four speeches by the EEA Executive Director, EEA air quality expert participation in many EU level meetings.*
- ***Outcomes:** In 2013, 26% of total EEA media coverage was on air quality, many articles were published in major national newspapers and EU media read by policy makers and influencers, main message picked up: more than 90% of people in European cities breathe air pollutants above WHO guidelines, awareness of EEA air quality assessments among EU officials involved in the review.*

- ***Intermediate impacts:*** *EEA findings used throughout the Commission impact assessment which underpinned the proposed package including references to 8 EEA reports, 2 databases and 8 figures.*
- ***Global impacts:*** *This would be a measurable improvement in Europe's air quality, but it is impossible to determine EEA contribution to this due to the many factors influencing air quality.*

1.5 What can really be measured?

The role of an indicator is to provide feedback in order to monitor progress towards the completion of an objective. Indicators can be of different types, according to what is measured.

a) Different types of measurement:

Indicators can be used to perform different types of measurements, for example:

- **Volume**: how many outputs or products are produced; these indicators can be useful in some situations, for instance at the early stage of implementation of a new function, or in the start-up phase of an agency.
- **Completion/implementation of a target**, where the result is compared to a predefined target; this type of measurement focuses more on the performance of the agency compared to its expectation. This kind of indicator can be expressed in percentage of achievement of the target.
- **Timeliness** of a process or action, i.e. how much time is needed to complete an action or a process or a certain step within a process.
- **Level of satisfaction**: this is generally done through forms or surveys. Satisfaction can be measured from the point of view of the users of a product or service (e.g. participants at a training session), but also of the stakeholders of the agency such as the Member States or the Commission.
- **Quality Compliance** of the output/product: this might be measured by quality checks, before producing the final output, or immediately afterwards, by measuring the level of satisfaction.

Other distinctions can also be made between:

- **Quantitative vs. qualitative indicators**: according to some authors, performance measurement can adequately represent the concept of quality, if related to quantitative measurements[22]. According to Jennifer C. Greene[23], the concept of quality, which attempts to measure the human experience, cannot be reduced to a single measure or set of measures, as different observers may have different conceptions of the quality of a service or product. Therefore quantitative measurements are needed, such as e.g. by measuring the level of satisfaction. In general, the qualitative evaluation of agencies work lies in the analysis of the information gathered via quantitative measurements. The analysis of the results needs to be considered in their context and compared to the objective to achieve. Qualitative evaluations can also be supported by other types of information or analysis (e.g. a comparison of key messages picked up by the media against the

[22] Patria de Lancer Julnes, Performance-Based Management Systems, CRC Press, 2009

[23] Greene, The inequality of performance measurements, *Evaluations* 5

intended message and tone or the direct feedback from policymakers or other important stakeholders or picked up in social media).

- **Leading vs. lagging indicators**: indicators can measure performance at different times. Leading indicators are used to predict the future outcome of a process; they focus on how a process should ideally run, to achieve a positive result. Lagging indicators describe past success or failure; they provide information on past performance which cannot be influenced anymore *(e.g. if the target is to publish 20 reports per year – leading indicator, the lagging indicator is to ensure that none of the report is delivered with a delay of more than a week).*
- **Efficiency indicators vs. effectiveness**: efficiency indicators measure a ratio between the amount of an input required to achieve an output (e.g. average cost per decision), while effectiveness indicators measure whether an objective was reached (e.g. percentage of implementation of internal control standards). For the EU agencies, this is summarised in the Framework Financial Regulation (art 29.2): "*The principle of efficiency concerns the best relationship between resources employed and results achieved. The principle of effectiveness concerns the attainment of the specific objectives set and the achievement of the intended results*".
- **Direct vs. indirect indicators**: direct indicators correspond to the results of an output. If such data are not directly available, or direct measures are not feasible, or require too many resources or too much effort, an indirect indicator (or proxy indicator), for which the data are still considered valid, can be used for monitoring instead. An example of a direct indicator is the number of events organised, whilst a proxy indicator would be to measure the number of declarations of interest completed by members of the Governing Bodies (to measure/mitigate the risk of conflicts of interest).

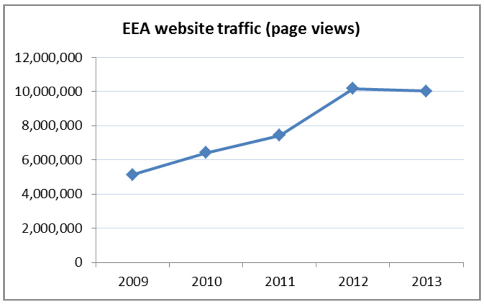
Example: CEDEFOP developed a proxy indicator that assesses the impact of its work on EU policy making. The indirect indicator used is the number of citations in EU policy documents.

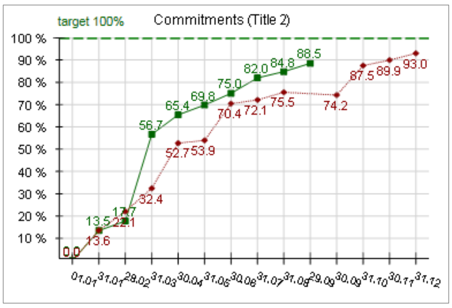
Title:	*Citations in EU-level policy documents*
Purpose:	*References to CEDEFOP's work in EU policy documents are one way to capture the take up of the agency's contribution.* *This indicator is meant to gather information about and monitor CEDEFOP's contribution to VET and VET related policy.*
Relates to:	*Policy advice provided to stakeholders*

b) Comparability of measurements

The continued use of the same indicators over time is necessary to ensure the comparability of results and monitor progress and improvements. It is important to keep stability in the formulation of indicators so that they can be compared over time, through historical time series (graphs). The same indicators reported at different times become a powerful tool to assess and show progress and trends towards an objective and target. Comparison of measurements with the previous year or quarter, for example are particularly useful.

Examples: the progression of website traffic over a period of several years; the comparison of budget execution compared to the previous year. Examples below show comparability over several years or by a comparison between year N-1 and year N.





It is important also that comparability is ensured in the indicators measured, between similar indicators, in order to allow for comparison between organisational units.

Comparing different agencies is very difficult and needs to be contextualised, as agencies operate in different policy fields; they have different mandates, objectives, stakeholders and power to influence the outcome and impact of their work. In some cases their direct impact may be measurable, whilst in others not.

c) Putting results in context

Explanatory notes are essential, in particular in the case of unexpected results or findings, or deviations from the usual range or expected results. They put the result into context and reduce the risk that data might be misinterpreted or misunderstood, in particular when indicators are used for accountability or benchmarking purpose. Explanatory notes can also be used to render explicit or document unusual/atypical hidden factors that might explain a certain result.

Examples: Comparing performance of the utilisation of building space by m2 per FTE can be misleading, as factors such as the average price per meter square in the city where the agency is located also need to be taken into account.

EUROJUST, for example uses its own building rather than external venues to host coordination meetings; without the correct adjustment, it would be misleading to compare the occupied space (m^2) per FTE with another agency, as it would be higher than it really is. Likewise, since hotel costs for coordination meetings are classified as title 3, whereas EUROJUST's own building lease costs are in title 2, then any comparison of e.g. title 3's ratio to total cost will likewise be distorted

Same is true for example when comparing the total payroll, the correction factor for the cost of living should be taken into account.

It is also useful to provide short (one or two pages) briefs to the management to highlight the notable findings of a series of indicators and help them grasp the significance of an array of results, where some of the key elements can be hidden. This should also be used to trigger alarms on results which might be of concern. In that way, indicators can be best used to support the decision making process.

1.6 How to develop indicators in an agency?

a) Bottom-up vs. top-down approach:

The distinction between bottom-up and top-down approaches tends to refer to the level of participation of certain stakeholders in the development of the indicators – or to the degree of foresight and coherence that has gone into the development of indicators.

- The **top-down** approach can be associated with accountability and compliance, and can be useful for comparisons. This approach can involve the use of existing or established indicators ("scientifically valid and generic"), which can have the advantage of being efficient in terms of the resources needed to develop and monitor them, and of responding easily to the criteria of ease and robustness. However the degree of legitimacy, acceptance and relevance for certain stakeholders and specific contexts may suffer. An example of a so-called "top-down" indicator is budget execution, a widely accepted indicator for which there are also common targets and penalties.
- For purposes such as learning, a **bottom-up** approach may be more appropriate. Where objectives are linked to changes in a target group, the latter's participation in the choice of indicators can be an important driver of change. To build up legitimacy among certain stakeholders, a participatory approach involving those stakeholders can be useful. Bottom-up approaches will tend to produce indicators that are more specific to the particular organisation and stakeholders involved[24].
  Bottom-up can also refer to a process of developing indicators that occurs in and by various organisational units in a relatively ad hoc manner, i.e. not coordinated 'from above'. This will tend to result in many indicators which are closely linked to distinct operational processes and short term objectives, rather than to the organisation's mission or strategy, and a predominance of lagging rather than leading indicators (see section 1.5.a). By contrast, top-down can refer to a highly coordinated approach to developing a coherent package of indicators.

In practice, organisations are likely to use both, depending on purpose, audience etc. The approach described below explicitly combines and coordinates bottom-up and top-down methods in an effort to achieve a balanced and holistic view.

b) Balanced approach:

A balanced approach, based on the organisational performance management tool known as the Balanced Scorecard has the advantage of acknowledging that there are multiple perspectives to an organisation and that each one has its place in the achievement of an organisation's mission.

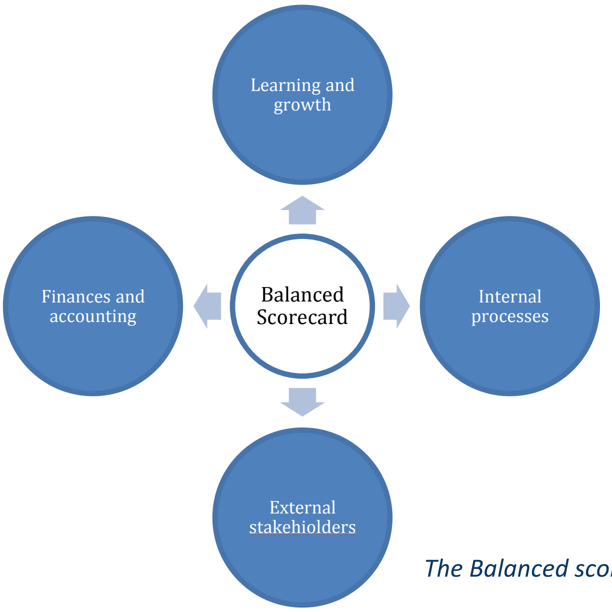
This approach provides a logical framework for the range of objectives/indicators across organisational units, functions, levels, and needs, helping to link multiple perspectives to each other and to the overall mission or strategy of the organisation, as well as to translate the latter into operational terms at all levels the organisation.

[24] "Top-down/bottom-up approach for developing sustainable development indicators for mining" A. Chamaret, M. O'Connor, G. Récoché, Université de Versailles Saint Quentin en Yvelines

The approach can help in the process of developing indicators, by ensuring that the key perspectives are covered and logically linked, or in mapping and selecting from existing ones to provide greater coherence and focus.[25]

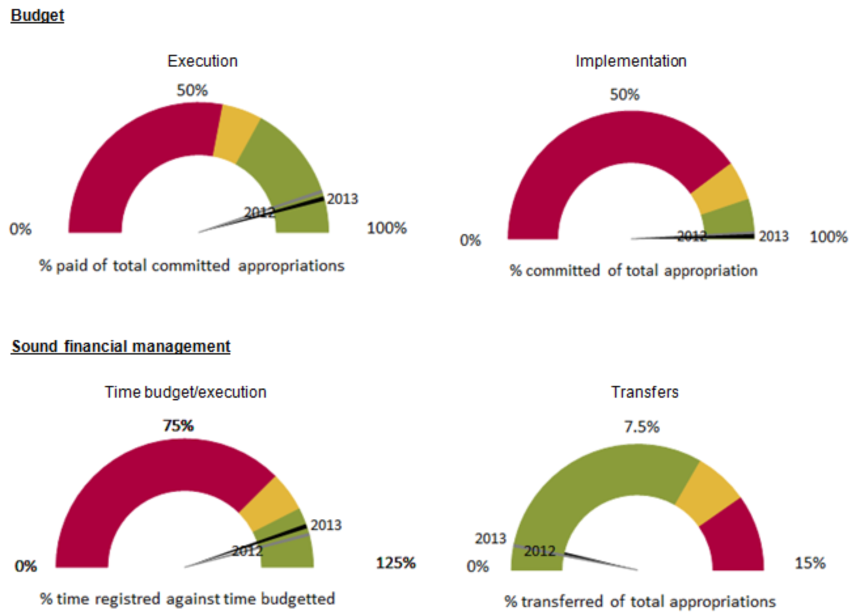
The balanced scorecard approach is not a template, and has to be adapted to the specificities of an organisation. Though there are many variations, the basic perspectives remain these four: learning and growth, internal business processes, customer and finance, which can be adapted in the agency context to:

- Learning and growth
- Internal processes
- External stakeholders
- Finance and accountability



The Balanced scorecard concept

Example: The EEA is using Balanced Scorecard and reporting on the indicators in the annual report. These are examples of indicators reported on under the finance perspective.



[25] Kaplan and Norton, "Using the Balanced Scorecard as a Strategic Management System", Harvard Business Review, 1996

c) Establishing clear definitions and data collection and processing methodologies:

This step in the development of indicators is worth highlighting as it is crucial for the continuity and comparability of the data over time, as well as for traceability and transparency. This step contributes significantly to the robustness of the indicator. Apparently simple indicators such as ‘number of reports produced’ should be well defined in terms of e.g. what constitutes a report and the organisational unit/staff responsible for providing the data.

It is necessary to define: the purpose of the indicator, the objective it relates to, its target, the data source, the formula for calculating its value, the frequency of collection, the level of reporting and analysis (organisational, activity or project), who collects data and who takes action.

d) Limiting the burden of data collection and processing:

The resources required to collect data have to be taken into account in the development of indicators. Using already or readily available data, where possible, will help to limit the burden of data collection. Indirect or proxy indicators can also be useful for this purpose (see 1.5.a below).

e) Reviewing indicators:

While it is important to ensure the stability of indicators over time, it is equally important to regularly assess the chosen set of indicators and make adjustments if necessary to the indicators, to the data collection and processing methodology or targets. Experience with the indicators and changes in the organisation or the context – for example increasing maturity of the organisation or the introduction of new tasks – are some of the factors that can make changes necessary. The adjustment of the strategic objectives over time will also require adjusting indicators.

A balance between stability and adaptability needs to be struck, and a transparent record of the changes and justification for changes should be kept.

f) Setting targets

Setting a target is necessary in order to establish a reference point that is agreed in advance, and ensure that the result measured is objective and not interpreted or biased.

<u>Definition of a target</u>: the ultimate situation desired, at a given time, expressed in quantitative or qualitative terms, measuring the achievement of objectives[26].

Targets can be set up e.g. on the basis of known historical data, accepted reference values from evaluation exercise, or based on comparisons with other agencies.

A target should be challenging enough to encourage the agency to improve its performance. Targets that are too easy to reach might reflect well but will not trigger improvements. It might be difficult when establishing a new indicator to set a target when no historical data is available; targets should be gradually sharpened over time.

[26] Suggestions for best Activity Based Management (ABM) reporting practices by regulatory agencies under DG SANCO's tutelle, Dec. 2011

Establishing targets can be challenging for new functions or processes or in the start-up phase of an agency where reference points are not available. In these cases the establishment of targets can be based on a best guess, and can be re-evaluated and fine-tuned once the first results are available.

Targets can be complemented by alarms, which are generally minimal values indicating a low performance, in order to trigger immediate corrective actions. A range of tolerance values (or acceptable values) can also be established. Significant deviations from the target should be explained, including any corrective action that may be needed.

1.7 Methods to measure indicators

Indicators can be measured in different ways and using different instruments depending on their specificities. One of the important criteria when establishing new indicators is to make sure their collection is not adding too much workload so that collecting an indicator does not overburden the staff. The collection of indicators should be as seamless as possible. This is one of the key requirements of the RACER criteria (Easy[27]: data should be collected and monitored at reasonable cost).

Among the methods to collect and measure indicators, the following could be mentioned as particularly useful in EU agencies:

- **Manual counting** is still used for outputs limited in number and for which automated solutions are not available; the counting can be compared to the set target, a baseline plan or an agreed list of expected achievements.
- **Systematic recording/log**. Systematic recording can be requested to ensure a tracking/measurement of actions. This is particularly useful in the case of the timeliness of a process for example. The recording can either be manual or through an IT system.
- **Comparison with an initial planned baseline** (including e.g. initial goal and scope, timeline, incl. monitoring of appropriate milestones, deliverables and resources allocated)
- **Automated monitoring systems**: when such IT systems are in place, automatic reports can be created to collect data or statistics seamlessly (e.g. internal management information systems, IT management system, ABAC for budget, staff IT system, procurement system , dedicated systems for core business operation)
- **Individual surveys**: surveys or feedback forms can be useful when assessing the satisfaction of individuals, for instance with a training session. Results need to be aggregated to provide an overview.
- **Staff survey**: the staff survey is a survey performed regularly for all staff of the agency that provides feedback on the perception of staff concerning their working conditions. It includes a wide range of questions. The staff survey is generally performed on an annual or biannual basis. The questions should remain as stable as possible in order to allow comparisons and detect improvements.

[27] see above section 1.2

Example: Since 2014, 21 EU agencies have set up a common framework contract for carrying out staff engagement surveys; this will allow being able to benchmark their results.

- **Stakeholder surveys**: these surveys can be particularly useful to assess the satisfaction level of the stakeholders of the agency. They should be conducted regularly, through questionnaires or interviews, and the questions should be stable enough to compare the results over time. Ad hoc surveys, with a more limited scope can also be conducted.
- **Specific analysis**: this can be the case for example in literature review exercises, where dedicated search tools can be used (e.g. Google scholar, Scopus, Thomson Reuter).
- **Ratio and formulas** can be used to calculate indicators. This is the case for example for efficiency indicators (output/input), but also for the use of specific measurements (e.g. impact factor, cf. catalogue of indicators p.38)
- **Monitoring through external sources**, for example analysis delivered by external media monitoring services or external tools for statistics, like web or social media statistics tools. The data can also be collected through external assessment or certification processes.
- **Benchmarking exercises** with other agencies, national agencies, or other partners

1.8 Reporting on indicators

Information on indicators can be provided through a range of reports, with different frequencies and using various tools. The choice will be closely linked to the role of the indicators (see section 1.3) and the related audience and reporting context.

a) Frequency

Frequent and timely reporting is important in order to keep management abreast of the status of activities and support operational decision-making. Regular updates are needed in areas of constant change, for example monthly reporting on budget execution and other budgetary and financial management indicators. Quarterly and mid-year reporting can serve to monitor progress throughout the year and annual reporting may be sufficient in areas where there is little fluctuation during the course of the year.

b) Breakdown at the relevant level

It is also important to be able to provide a breakdown of data by organisational unit/entity in order to ensure the involvement of and relevance to the range of staff, including middle management. A breakdown per activity, also in the sense of activity based budgeting and activity based costing (ABB/ABC) can also be useful. If the methodologies are transparent, these breakdowns can be useful for comparison between organisational units or activities.

Results can also be broken down by geographical area or country, or by target group, for example, according to the objective to achieve.

c) Tools for collecting/processing performance data.

Results can be collected/processed via a single document or platform. Technical aspects can be tackled by different types of tools, which can vary from a simple Word document or Excel file to more complex and automated solutions such as a dashboard on an IT platform (SAP-Business objects, Click view, Microstrategy, Oracle BI, Tableau, or application developed in-house…).

d) Tools for communication

Sharing indicators and results with staff is key to ensuring their involvement and awareness. Making data available to all staff through intranet or a KPI home page[28], or the sharing of online dashboards in a user friendly way helps ensure the best use of the results and increase motivation in the organisation.

Certain indicators can also be communicated to a wider range of stakeholders and the general public on a website or via other media in order to enhance transparency and accountability.

- The tools for communication can be: **Annual reports and work programmes/ single programming document**: Annual work programmes and annual reports of agencies are an important vehicle for information on key performance indicators. This is in line with the requirements of the Financial Regulation.

  "Specific, measurable, achievable, relevant and timed objectives shall be set for all sectors of activity covered by the budget of the Union body. The achievement of those objectives shall be monitored by performance indicators for each activity, and the information shall be provided to the management board by the director. That information shall be provided annually and at the latest in the documents accompanying the draft budget of the Union body." (Art 29.4 Framework Financial Regulation)

  "The annual work programme of the Union body shall comprise detailed objectives and expected results including performance indicators.[...]" (Art. 32.3 Framework Financial Regulation).

  The main purpose of indicators in these documents is accountability and compliance. The role of the Executive Directors, Management Boards and the Budgetary Authority are central in this reporting context.

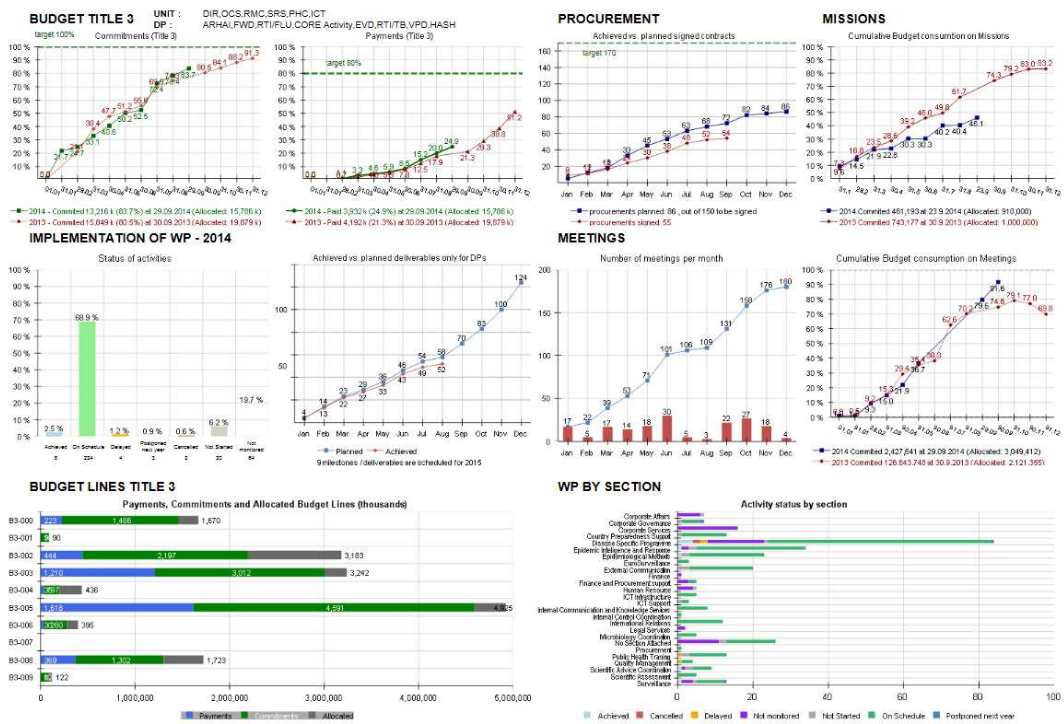
- **Dashboards:** Dashboard reports are characterised by a visual presentation of summary key data to facilitate decision-making. Dashboards are preferably limited to a single page to provide an overview. Spotlights tend to be used to indicate rapidly whether progress is on or below target, and flag whether corrective measures need to be taken.

  Dashboard reporting will tend to be used for management purposes and will tend to be more frequent, quarterly, monthly or even bi-weekly, and the audience will tend to be staff and management within the organisation.

[28] David Parmentier, Key Performance Indicators (KPI): Developing, Implementing, and Using Winning KPIs, 2007

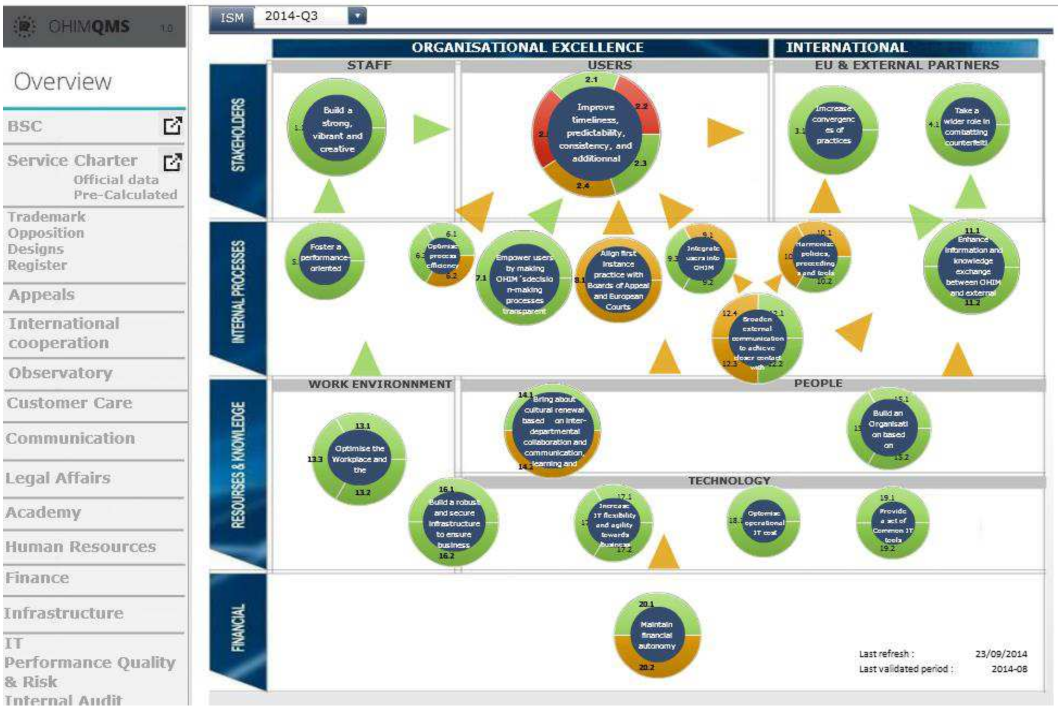
Example: OHIM has developed an interactive dashboard for management purposes regarding Community Trademarks. It provides information on e.g. the total number of applications, by origin (website, fax, mail, etc.), by language, amount of trademarks examined, published, opposed, registered, cancelled, appealed, etc. The user of the dashboard can adapt several parameters depending on his/her information needs.

Example: ECDC has developed an internal dashboard to provide real data information to its senior management on the financial and operational situation



- **Balanced Scorecard:** A balanced scorecard is a special type of dashboard report. It embodies the balanced scorecard approach which provides a coordinated view of an organisation and its objectives/indicators by balancing different perspectives (see section 1.7) Given the holistic vocation of the approach, the information it generates should be appropriate for a broader audience and a fuller range of internal and external stakeholders.

Example: The OHIM balance scorecard (BSC) measures the implementation of the Agency 5 year strategic plan. It shows the implementation from different perspectives (stakeholders, internal processes, resources and knowledge and finances). Each area of the BSC shows different objectives, measured by one or more indicators that change colours where attention is needed. The graph also shows relationships or dependencies of objectives. It is an interactive tool where the reader of the BSC can drill down to look at specific indicators, targets, etc.



Example of details:

- **Targeted reporting:** For specific purposes, for instance to drive change or promote learning in a certain area, an indicator or group of indicators could be set up, with a specific lifespan and specific reporting frequency and reporting method (see example of ECDC indicator on staff recruitment time in section 1.3 above).

1.9 Limitations of indicators.

a) Goal displacement

One of the risks using indicators to assess performance or drive organisational changes is referred to as goal displacement[29]. The risk is that individuals or the organisation, or part of the organisation change their behaviour when they are measured, in order to improve their performance rating. In that case, the focus moves to the areas which are measured to the detriment of other areas of their work.

b) Direct and indirect causality

Another difficulty, which is particularly important for EU agencies, is how to attribute the direct causality of an outcome, when in fact it results from the combined actions of several stakeholders. This is particularly true for EU agencies, which tend to provide support to the Member States or the Commission, whilst the latter tend to set up the concrete measures. In such cases it might be particularly challenging to demonstrate the impact of an action or a policy on the part of the agency as a factor that led to a positive change.

Example: In the areas of health, environment, education or training, where the agencies' role is to provide scientific advice to the Commission and the Member States that set up concrete measures following or not the agency's recommendations (risk assessment vs. risk management), it might be particularly difficult to assess the respective impact of the different actors involved to decrease pollution or mortality in specific areas.

c) The use of inadequate indicators

Indicators may be established that don't address the intended purpose or objective. For example, an objective can be to ensure better external communication or increasing the awareness of stakeholders. If the performance indicator set up is the number of reports produced annually, this can be misleading, as the stakeholders (for example the Commission and the Member States, or a group of professionals) might complain that an increased number of reports might not be a proper answer and that less more targeted or concise reports, with a better quality are needed. Therefore, a better indicator would be the level of satisfaction of the stakeholders with the quantity and quality of the reports produced.

d) Indicators vs. evaluations

Indicators might not be the most appropriate tools to measure the impact of policies or actions developed by agencies. Impact is probably one of the most difficult aspects to measure, as it can rely and depend on many different factors. Attribution to one measurable factor is often difficult or even impossible. Indicators are a good tool to measure input, output and – to an extent – outcomes, but of limited usefulness to measure impact, especially to demonstrate impact in an objective/unbiased way. This is better assessed by

[29] Bohte, J. Meier, K., Goal Displacement: Assessing the motivation for organizational cheating. Public Administration Review 60 (2), 2000

external parties. Generally speaking, the further we move to the right on the 'results chain' (see figure on p. 10), the less the agency has direct control over the outcomes and eventual impacts, and measuring through indicators becomes increasingly difficult and inappropriate.

Therefore, evaluations are considered more appropriate to draw conclusions and measure the ultimate impact. (cf. Evaluation handbook for EU Agencies, Performance Development Network, October 2014)

Part 2

Catalogue of indicators for EU agencies

List of indicators' categories

Introduction

The objective of this second part is to provide agencies with a reference list of performance indicators that can be used for the preparation of sets of indicators.

A starting point: the repository of indicators:

The present catalogue took as a starting point the **repository of indicators** established in 2013 by the performance development network, a database where EU agencies can enter their own set of indicators. The repository includes detailed information on e.g. *targets, coverage, frequency of reporting, source of information, method of calculation*. At the moment, 16 agencies already provided input into the repository.

The repository is a live database that should provide transparent information to all EU agencies. Agencies will be able to update their indicators as needed, to ensure the information is accurate. The repository is available through this link[30].

An analysis of the raw data from the repository was conducted by the working group, to get rid of duplications and redundancies (if not in wording then in essence) and present a list of indicators that is sufficiently generic, organised for easy reference and can that be used by all agencies, regardless of their core business area.

Purpose of the catalogue of indicators:

The objective of this **catalogue** is to provide a list of indicators that can be used as an **inspirational tool** by agencies, when developing their own sets of indicators, based on practices already in place across agencies. The objective is not to provide a list of compulsory indicators that should be applied across all agencies. For this reason the list presented is rather exhaustive, to allow for more options. Nevertheless it does not pretend to cover all possible indicators. A reasonable set of indicators to measure and report on performance of an Agency to its stakeholders and the outside world should not exceed 20 to 30 indicators[31].

For easier use, the repository has been split in four main areas and several sub-categories:
- Technical and operational indicators (core business)
- External stakeholders indicators
- Communication indicators
- Support and governance indicators

Overlaps have generally been removed during the analysis. There are few cases where some subcategories of indicators had to be split into different areas. The most appropriate category for such indicators will depend on factors such as the core business of an agency or the target audience of the indicator.

In order to be **generic and easily adaptable** to all agencies, narratives of the indicators initially posted in the repository (which normally are quite specific to an agency's organisation and business), have been simplified. The indicators have been streamlined to their common denominator to get rid of any specificity.

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[30] The link will be updated once the repository is transferred on the extranet from FRA (summer 2014) and at a later stage on the extranet of the Secretariat of the network of agencies.
[31] Addressed in part 1

However, to be practically used, they need in most case to **be customised** to the agency which should adapt them to its specific organisation and needs. Therefore the indicators presented here are just a skeleton that needs to be adapted as needed; this is particularly the case for technical and operational indicators (covering the core business of the agency), which by definition depends a lot of the area of intervention and the organisation of the agency's work.

As new entries are expected in the repository in the future, the catalogue will be **updated once a year**. The repository will also include reference to the catalogue. In this way individual indicators in the repository can be filtered and tracked back from the more generic indicators in the catalogue. This will allow seeing for those interested the possible variations of a generic indicator, get more detailed information as well as an idea of the recurrence of an indicator across agencies.

Statistical analysis:

A total of 539 indicators have been received from 16 agencies[32], on 1st May 2014. A summary of the numbers of indicators per category is provided in the table below. The categorisation by area and by type of indicators is given just for general information and reflects the categories initially given by the agencies that may have been changed during the analysis and consolidation work for the catalogue in the following ways:

- The categorisation of indicators by areas made by agencies themselves have been reviewed and in some case changed/reshuffled in order to avoid overlaps;
- In some cases, the categorisation by type of indicator (input/output/outcome/impact[33]) was made differently by different agencies for a same indicator, therefore it has been streamlined. Sometime a same indicator can however fall under different types (e.g. output or outcome) depending of factors such as its objective and target.

Category	Input	Output	Outcome/Result	Impact	Blank	Total
Technical and operational	91	53	121	20	6	**291**
Communication	1	31	35	7	1	**75**
External stakeholders	1	11	20	9	3	**44**
Support and Governance	10	38	43	5	0	**96**
Blank	3	10	17	1	2	**33**
Grand Total	**107**	**143**	**236**	**38**	**12**	**539**

It should be noted that the above table provides a snapshot at this point in time, as the repository is a living tool, where agencies are supposed to enter their new indicators or update them regularly.

[32] ACER, CDT, CEPOL, CPVO, ECDC, ECHA, EEA, EFCA, EFSA, EMA, EMSA, EU-OSHA, EUROJUST, FRA, GSA, OHIM

[33] Explained in part 1

Area 1: Technical and operational indicators (core business)

1. General introduction

Indicators related to core business are the most important ones, as they should really demonstrate how well the agency is doing in its work area to implement the missions assigned to it. However, given the highly diverse areas of work, it is quite challenging to provide a common pattern for the core business of agencies working in such a diverse way. Nevertheless some commonalities can be found.

Generally speaking, core business indicators are very specific to each agency, as they must match to the closest the role and the business of the agency. Therefore the indicators provided are intended more for inspiration, and to provide a pattern, as for actual use and application they would need to be specifically tailored and customised to each agency. These indicators are important, as they are the one that really show the performance of the agency from a business point of view.

2. Categorisation of the indicators

Core business indicators can refer to very different areas and differ a lot, depending of the business of the agency. These indicators are not universal and must be adapted. Two ways of categorisation could be applied.

- Either **by area of work** often linked to a common DG partner: for example all agencies working in the field of health under DG SANCO such as EMA, ECDC, EFSA, CPVO. Or agencies working in the area of Justice and Home Affairs (JHA), such as Eurojust, Europol, CEPOL, EU-Lisa, FRONTEX, EASO.

  However the business of these agencies might be quite different and scope of missions can vary a lot. It is for example difficult to compare core business indicators between ECDC (diversity of missions) and EMA (more process oriented), although the main areas of work are close.

- Or by the different **functions that agencies perform**. For example, regardless of their core business area, some agencies can have a role in providing assessments prior to regulatory decisions, or in providing scientific advice.

  It is this approach that was followed as it allows easier cross-cutting comparisons between different agencies, regardless of their area of work.

For easier reference, the indicators have been broken down in a number of subcategories according to what they measure:
- Implementation of activities and mandate
- Processes
- Guidance, opinions and scientific advice
- Decisions delivered / dossier processing
- Appeal / management of disputes
- Evaluations, assessments, analysis and inspections
- Data collection
- Reports and publications
- Requests
- External visits
- Impact

3. List of indicators:

Implementation of activities and mandate

These indicators can be easily used / customised in all agencies as they refer to the level of implementation of annual work programme activities or outputs.

Id	Proposed indicator	Short description	Type	How to measure the indicator	Comments
1	**Number of activities/ outputs (timely) implemented in a specific area**	Implementation of activities/ outputs in a specific area	Output	- Counts the number of activities/outputs produced - The proportion of activities/outputs delivered vs. initial plan can also be measured - Manual counting or reporting system - It can be also the proportion of planned activities undertaken to reach an objective	Indicator targeted to specific activities considered as critical or that the agency wants to highlight
2	**Project success rate:** **- Progress to complete the project** **- Efficient use of resources (delivered within planned timeline, budget and according to scope)** **- Has the intended goal been achieved?**	Shows the success of a specific project or set of projects	Input	- Measure of success based on comparison with initial planned baseline (initial goal and scope, timeline – incl. milestones and deliverables - and resources allocated) - Monitoring through regular review meetings, IT monitoring system, quarterly report, Gantt charts	Can cover all projects of the agency or specific ones considered key
3	**Percentage of actions prioritised by advisory board or external advisory party approved in annual work programme / total number of activities**	Shows the level of integration of recommendations/ priorities suggested by internal or external advisory committees in the approved work programme	Input	- Comparison between the proposed priorities and the total number of activities in the approved work programme	E.g. priorities suggested by internal advisory or scientific board or a panel of experts
4	**Proportion of products/decisions endorsed by external party**	Shows the endorsement of the work prepared by the agency	Outcome	- Proportion of outputs endorsed compared to the total of outputs submitted	External party can be e.g. the Commission, a specific committee
5	**EU documents for the preparation of which the agency has participated**	Input from the agency in the preparation of EU documents	Input	- Counting of the number of documents	
6	**Mandates and assignments given to the agency in policy documents**	Measures the official assignments given to an agency	Outcome	- Counts the number of assignments	

Processes

These indicators can be used in situations where processes need to be measured. This is particularly useful for agencies where the main activities are mostly process oriented and timeliness of the process is important.

Id	Proposed indicator	Short description	Type	How to measure the indicator	Comments
7	**Process timeliness:** - **for the whole process** - **from step A to step B of a process**	Process timeliness, for a whole process or any key phase of a process	Input	- Manual calculation, automated monitoring system - Can be compared to baseline target	
8	**Percentage of actions processed within a certain deadline / legal timeframe**	Percentage of timely actions	Input	- Manual calculation, automated monitoring system - Can be compared to target	This may address processes where the deadline is set by legal requirements
9	**Average time in hours for the resolution / response to emergency situations or incidents**	Timeliness of response to emergency situations	Input	- Manual calculation, automated monitoring system, logs - Can be compared to baseline target	
10	**Number of occurrences of a certain step of the process (e.g. appeal)**	Measures the regular occurrence or reoccurrence of a process	Input	- Manual calculation, automated monitoring system	

Guidance, opinions and scientific advice

These could be used by agencies in charge of providing guidance / scientific advice / opinions to the Commission/ Member States. This can cover also the development of standards.

Id	Proposed indicator	Short description	Type	How to measure the indicator	Comments
11	**Number of opinions/ guidance requested from stakeholders**	Volume of requests to the agency	Input	- Manuel counting or reporting system	
12	**Number of opinions/ guidance delivered**	Volume of opinions delivered	Output	- Manual counting or reporting system - Can be in comparison to plan	This can be different from indicator 10, as in some occasions not all requested guidance/ opinions can be addressed, and the agency could also decide to issue guidance/ opinions from its own initiative
13	**Proportion of scientific opinions/ guidance delivered (published) within the deadline/target**	Timeliness of opinions delivered (or published)	Output	- Manual counting or reporting system - Compared to target baseline	Target can be set by the agency or be a legal requirement

14	**Percentage of opinions endorsed by the Commission**	Measures the rate of opinions delivered which have been endorsed by the Commission	Output	- Manual counting	This is especially important for agencies which propose decisions that are formally endorsed by the Commission

Capacity building and knowledge management, including training for an external audience

These might be useful for agencies which support Member States / Commission in increasing capacity building (e.g. trainings for external audience, simulation exercises)

Id	Proposed indicator	Short description	Type	How to measure the indicator	Comments
15	**Number of people trained per year**	Volume of training performed by the agency	Output	- Manual counting or monitoring system	
16	**Number of training sessions organised per year**	Volume of training performed by the agency	Output	- Manual counting or monitoring system	Can also include e-learning
17	**Proportion of satisfied participants from training activities**	Measure the satisfaction by participants	Outcome	- Individual feedback forms/ surveys at the end of each session	This measures the level of satisfaction of the individual participants to a training
18	**Level of satisfaction from interested stakeholders with the content/ relevance of trainings**	Measure of satisfaction by stakeholders	Outcome	- Ad hoc surveys or as part of regular stakeholder survey	This measures the level of satisfaction of the external stakeholders (e.g. Member States, national institutes, Commission, industry) on whether the content of the trainings provided is in accordance with their needs/ the political objectives to achieve
19	**Number of training material developed or published**	Volume of support material developed	Output	- Manual counting or monitoring system	
20	**Percentage of a target category of professionals trained**	Target population trained	Outcome	- Manual counting or monitoring system - Number of trained professionals/total number of professionals targeted - Alternatively this could be just counting the number of people trained for a specific category (output)	To be used for targeted professionals at EU level: *e.g border guards, microbiologists in EU reference laboratories*
21	**Rate of achievement of the agreed learning objectives**	Usefulness of the training; increased knowledge as a result of the training	Outcome	- Comparison between agreed learning objectives and achievements	The learning objectives can be directly linked to the

				- Assessment of the trainees through e.g. tests	agency's core missions cf. Kirkpatrick's Four-Level Training Evaluation Model
22	**Rate of increase of a certain output / behaviour as a of the training**	Measure the usefulness of the training as a catalyst of change in the longer term		- Comparison of an expected output/ behaviour compared to the baseline before the training	cf. Kirkpatrick's Four-Level Training Evaluation Model
23	**Number of [simulation/ operational] exercises conducted**	Measure of capacity building exercises	Output	- Manual counting	

Decision delivered / dossier processing

These are useful for agencies in charge of regulatory decisions (authorisations, agreements, notifications, titles grant) and processing of dossiers.

Id	Proposed indicator	Short description	Type	How to measure the indicator	Comments
24	**Percentage of decisions* delivered within legal timeframe**	Timeliness of the process for delivering decisions	Output Timeliness	- Ideally though a (automated) monitoring system	*Can also be used for agreements, registrations, applications, notifications
25	**Number of completed decisions* per year**	Volume of decisions produced	Output Volume	- Manual counting or monitoring system	*Can also be used for agreements, registrations, applications, notifications
26	**Average cost per decision**	Cost effectiveness of decisions	Outcome	- Calculation made from database	Objective is either cost reduction through increased efficiency of the process or better awareness of the cost to invoice the client accordingly
27	**Percentage of unanimous or consensus decisions**	Part of unanimous decisions	Outcome	- Manual counting or monitoring system	This is important in some agencies where consensus decisions are expected

Appeal / management of disputes

Management of disputes is an important element, particularly for agencies providing decisions that might be challenged, including in Court.

Id	Proposed indicator	Short description	Type	How to measure the indicator	Comments
28	**Percentage of direct appeals to the agency**	Appeal rate	Input	- Manual counting or monitoring system	

29	**Percentage of appeals to Court**	Appeal to Court rate	Input	- Manual counting or monitoring system	
30	**Percentage of disputes processed within the legal timeframe**	Timeliness of the appeal process (for internal appeals)	Output	- (automated) monitoring system	
31	**Percentage of agency's decisions confirmed**	This addresses situations where an agency decision are objected/ challenged by partners or recipients, e.g. in Court	Outcome	- Counting	

Evaluations, assessments, analysis and inspections

These are useful for agencies that perform inspections or evaluations or compliance checks.

Id	Proposed indicator	Short description	Type	How to measure the indicator	Comments
32	**Number of inspections or evaluations/ assessments/ analysis per year**	Volume of evaluations/ inspections	Output	- Manual counting or monitoring system	Alternatively the number of evaluation/ assessment/ analysis reports can be monitored
33	**Number of reports per year**	Volume of reports	Output	- Manual counting or monitoring system	
34	**Percentage of planned inspections or evaluations completed**	Completion of planned evaluations	Output	- Manual counting or monitoring system - Compared to planned baseline	
35	**Timeliness of the evaluations/ assessments**	Evaluations or assessments performed in a timely manner	Output	- Compared to a target	
36	**Number of findings per year**	Number of findings in a given timeframe	Outcome	- Manual counting or (automated) monitoring system	"finding" is used here as a generic term, to be specified where relevant
37	**Rate of findings per inspection/visit**	Number of findings vs. number of inspections	Outcome	- Manual counting or (automated) monitoring system	"finding" is used here as a generic term, to be specified where relevant

Data collection

These refer to IT-based data collection as part of the core business of the agencies. They rather refer to the use of database and datasets. The performance of IT systems is addressed under the "Support and Governance section".

Id	Proposed indicator	Short description	Type	How to measure the indicator	Comments
38	**Number of unique records in the database**	Volume of data collected	Output	- System statistics	
39	**Number of searches/ requests in the database.**	Volume of searches performed	Output	- System statistics	This can be further detailed, for example by country, number of active users
40	**Proportion of data coverage/collection in a specific area**	Completeness of data collection / coverage	Output	- System statistics	This can be split by work area or geographic origin to show the gaps
41	**Proportion of data that meet a high level of timeliness**	Measures that data are timely collected	Output	- (automated) data analysis	This can be split by work area or geographical origin to show the gaps
42	**Proportion of data that meet a high level of validity**	Measures the quality of the data collected/ stored	Output	- automated or manual data analysis	This can be split by work area or geographical origin to show the gaps

Reports and publications

Reports and publications are also included in the Communication section, when it relates to their communication to external partners. Indicators in this section rather refer to their content.

Id	Proposed indicator	Short description	Type	How to measure the indicator	Comments
43	**Number of reports / publications / items in e-library published per year**	Volume of publication produced	Output	- Manual or automated monitoring	Higher volume is not always a sign of good quality or relevance for stakeholders
44	**Number of subscribers**	Measure of the audience of publications	Output	- Manual or automated monitoring	
45	**Number of citations of the reports/articles (e.g. in professional or scientific journals)**	Measure of the impact of the publications (citations)	Impact	- Analysis of literature through scientific databases (e.g. Scopus, Google scholar, Thomson Reuter) It can be the total number of citations or the average number of citation by report/article	
46	**Citations/ references to the agency reports and publications (Impact factor)**	Measure of the impact of the publications (citations)		- Impact factor = average number of publications citing the work per paper published during the two (or five) preceding years	
47	**Extent to which publications and reports are considered relevant, timely and reliable by stakeholders**	Satisfaction from stakeholders	Output	- Ad-hoc survey or regular stakeholder survey	

48	**Level of satisfaction expressed in feedback from users of agency produced guidance**	Measures the satisfaction of users of agencies produced guidance	Outcome	- Ad-hoc survey or included in regular stakeholder satisfaction survey	

Requests (planned or ad hoc)

Agencies receive planned or ad hoc requests from external stakeholders, such as requests for information, an opinion or for physical assistance (e.g. mission team in the field). These indicators should be customised accordingly.

Id	Proposed indicator	Short description	Type	How to measure the indicator	Comments
49	**Number of (total or ad hoc) requests / inquiries received**	Volume of requests received	Input	- Manual or automated monitoring	
50	**Proportion of requests/ inquiries answered (within target timeframe)**	Timeliness of the response	Output	- Manual or automated monitoring	
51	**Average response time and delivery for requests**	Timeliness of the response	Output	- Manual or automated monitoring	

External visits

To perform their mission, agencies can perform external visits for example in the Member States or associated countries.

Id	Proposed indicator	Short description	Type	How to measure the indicator	Comments
52	**Number of visits to countries**	Volume of the visits performed	Input	- Manual monitoring	
53	**Number of focal points visited**	Volume of the visits performed	Input	- Manual monitoring	
54	**Number of reports to visits produced**	Volume of the visits performed	Input	- Manual monitoring	

Impact

Measuring impact is difficult. These indicators could provide inspiration for agencies that want to measure the impact of their actions. This is always a challenging task for EU agencies, which normally support the work of the Member States and the Commission but cannot pretend alone to change policies and behaviours in countries. Generally the impact is the result of the joint actions of the Member States, the Commission and the EU agency, where the relative contribution of each is difficult to quantify.

Id	Proposed indicator	Short description	Type	How to measure the indicator	Comments
55	**Positive trends in the business area among stakeholders**	Development of positive trends in the area covered by the agency	Impact	- Stakeholder survey or evaluation - Needs analysis over a certain period of time	
56	**Progress made in one of the political objectives set by the agency**	Assessment of progress made toward the completion of an objective	Impact Progress	- Monitoring of milestones and deliverables to achieve an objective	
57	**Extent to which the agency contributes to a common shared understanding among stakeholders and decision makers**	Contribution to the strengthening of awareness	Impact	- Stakeholder survey or evaluation	

Area 2: External stakeholders

1. General introduction

Indicators on external stakeholders are relevant to almost all – if not all – agencies as they say something about how the relations are between the agency and its stakeholders. Agencies in general are set up to work closely with a number of other actors and success often depends on how relations with these other actors are managed. Some indicators may say something about a single activity while other indicators can be used as an input to assess the Agency's performance.

2. Categorisation of indicators

Agencies vary significantly and it is therefore no surprise that this is also the case for the indicators categorised under "External Stakeholders". To provide some guidance the indicators have been broken down in a number of subcategories according to what they measure:

- Volume of actions directed towards external stakeholders
- Support availability to external stakeholders
- Stakeholder satisfaction with actions
- Extent of engagement of stakeholders
- Changes in behaviours, practices etc. following agency actions
- Influence

3. List of indicators

Volume of actions directed towards external stakeholders

These indicators cover the various actions and initiatives from the agency directed towards external stakeholders. Generally they measure the volume of the actions or the achieved versus planned.

Id	Proposed indicator	Short description	Type	How to measure the indicator	Comments
58	**Implementation of stakeholder related activities**	Measures the number of actions carried out vs. planned	Output	- Count - Comparison with the plan - Completion of an agreed list of activities	E.g. seminars in the Member States
59	**Assessments visits to EU Member States and/or EU enlargement countries**	Measures the number of assessment visits to countries	Output	- Count - Comparison with the plan	
60	**Workshops with countries or other stakeholders groups**	Measures the number of workshops organised with countries	Output	- Count - Comparison with the plan	This could address more specifically certain categories stakeholders groups (e.g. ENP or enlargement countries)
61	**Support to the EU political initiatives (number of initiatives)**	Number of EU political initiatives supported	Output	- Count - Comparison with the plan	This indicator could be specified to a certain category of events, e.g. participation in Presidency events to provide policy advice

62	**Informative sessions where the Agency's work is addressed**	Measures the number of information sessions delivered to local audience	Output	- Count - Comparison with the plan	
63	**Public consultations**	Measures the number of public consultations launched	Output	- Count	
64	**Networks established at EU level and among national stakeholders**	Measures the number of networks established by the agency	Outcome	- Count	e.g. surveillance networks
65	**Strategic partnership initiatives launched**	Measures the number of strategic initiatives launched	Outcome	- Count	E.g. with third countries or other international partners

Support availability to external stakeholders

These indicators relate to the availability of support by the agency to its external stakeholders (e.g. helpdesk)

Id	Proposed indicator	Short description	Type	How to measure the indicator	Comments
66	**Availability of databases (or IT-services) to stakeholders**	Measures the availability of IT systems for external users	Output	- Count (might be automated, e.g. through a tickets system) - ICT statistics - Should be as close as possible to 100%, especially for critical systems	E.g. extranet, dedicated application at EU level, external database Similar to indicator 14, for external users
67	**External helpdesk questions answered within established timeframe**	Measures timeliness of support (IT and non IT) to external users	Output	- Rate of response within the target deadline	

Stakeholder satisfaction with actions

These measure the level of satisfaction of the external stakeholders with the general work or specific actions from the agency.

Id	Proposed indicator	Short description	Type	How to measure the indicator	Comments
68	**Level of external stakeholder satisfaction with agency's general work or specific actions**	Measures the satisfaction of stakeholders on the general work of the agency or on specific actions	Outcome	- Regular stakeholder satisfaction general or dedicated survey(s)	Definition of stakeholders should be established first. This can measure the general satisfaction on the agency's work or with specific aspects (e.g. communication with the stakeholders, international relations, thematic reports and handbooks)

69	**Extent to which network or committee members judge agency's networking activities / support satisfactory**	Measures the specific satisfaction of network members	Outcome	- Ad-hoc surveys (e.g. after a dedicated event or meeting) or included in regular stakeholder satisfaction survey	
70	**Usefulness of information and the analyses provided to stakeholders**	Measures the satisfaction of stakeholders with information received from the agency	Outcome	- Ad-hoc surveys or included in regular stakeholder satisfaction survey	

Extent of engagement of stakeholders

These indicators show how external stakeholders are engaged with the work of the agency, e.g. contribute or use the tools made available for them, attend agency's activities, or networks, or organise events related to the agency's work.

Id	Proposed indicator	Short description	Type	How to measure the indicator	Comments
71	**Number of users of IT systems / databases**	Measures the volume of users of IT systems	Output/ Outcome	- ICT statistics	
72	**Number of contributing members to shared tools**	Measures the volume of users that have contributing rights in shared (ICT) tools	Output/ Outcome	- ICT statistics	Shared tools can be e.g. databases where the agency and Member States exchange and share information
73	**Number of contributions to shared tools**	Measures the number of contributions	Output/ Outcome	- Count / ICT statistics	Shared tools can be e.g. databases where the agency and Member States exchange and share information
74	**External attendance at network meetings**	Measures the attendance at meetings of by networks members	Outcome	- Counting	
75	**Number of participants from associated countries to agency activities**	Measures the participation of associated countries to the agency's work	Outcome	- Counting	
76	**Number of events organised by national partners**	Measures the agency's influence/trigger of its partners	Outcome	- Counting	
77	**Number of joint actions with other EU agencies, , third countries or other international partners**	Measures the number of actions developed with external partners	Outcome	- Counting	
78	**Number of requests to the agency from EU institutions, broken down by initiator**	Measures the requests received and influence of the agency	Input/ Outcome	- Counting	

79	**Number of network members**	Measures the of the vitality of the network	Outcome	- Counting	

Changes in behaviours, practices etc. following agency actions

These show the changes in behaviours of the stakeholders following the agency's initiatives and actions.

Id	Proposed indicator	Short description	Type	How to measure the indicator	Comments
80	**Use of agency evidence to relevant actors**	Measures the change in behaviour among target groups	Impact	- Ad-hoc surveys or included in regular stakeholder	
81	**Sustainability of actions in a specific area**	Measures the change in behaviour among target groups	Impact	- Ad-hoc surveys or included in regular stakeholder	E.g. extent to which stakeholders joining together on an agency initiative have developed and maintained positive and productive working relationships

Influence

These measure the influence the agency has on its environment, particularly how the work of the agency is used by stakeholders, how the agency is credited in the legislation. Such indicators are important as they reflect how the agency is perceived and its work is used.

Id	Proposed indicator	Short description	Type	How to measure the indicator	Comments
82	**Proportion of agency's opinions advices, guidance and documents used by stakeholders (COM, MS)**	Use of the agency's input by stakeholders	Impact	- Evaluation, screening and analysis of literature - External stakeholder regular survey	
83	**Agency's references in the EU legislation or in EU policy documents**	Influence of the agency in legislation or the policy in its work area	Impact	- Evaluation, screening and analysis of literature	
84	**Degree to which stakeholders consider the agency's intervention to modify institutions/ bodies/ agencies approaches**	Influence of the role of the agency	Impact	- Evaluation, stakeholder survey or interviews	

Area 3: Communication

1. General introduction

Communication indicators can be used when evaluating communication efforts. It is useful to register data related to many of the indicators with a certain time interval to track progress. Some of the indicators are easy to measure quarterly. Others such as the level of stakeholder or user satisfaction would normally only be measured annually or multi-annually. For some of the indicators it makes more sense to use them only when evaluating a specific report launch, event or communication campaign.

2. Categorisation of the indicators

Communication indicators were submitted by six agencies. They have been divided into subcategories, mostly based on the communication channel they relate to:

- Events
- Media
- Social media
- Website
- Internal communication
- Speeches
- Other

3. List of indicators:

Agencies can choose the indicators that are useful for measuring progress towards their communication goals and also to tailor them according to their specific needs.

Events

These indicators focus on events organised by the agency.

Id	Proposed indicator	Short description	Type	How to measure the indicator	Comments
85	**Number of events organised**	Volume of events organised	Output	- Count	
86	**Percentage of events carried out vs. initial plan**	Volume of events vs. plan	Output	- Manual monitoring - Comparison with plan	
87	**Number of participants in key events**	Volume of participants	Output/ Outcome	- Count - Comparison with target - Percentage of attendees compared to invites	
88	**Level of participant satisfaction with events**	Measures the satisfaction with events organised by the agency	Outcome	- Satisfaction survey at the end of each public outreach event/ workshop/ training session (feedback form) or included in regular stakeholder satisfaction survey	

Media

This series of indicators relates to the work of the press office including published press material, media coverage and outreach.

Id	Proposed indicator	Short description	Type	How to measure the indicator	Comments
89	**Number of press communications published (press releases, web news)**	Volume of media material published by the agency	Output	- Count - Comparison with number of agency reports published	
90	**Number of media enquiries**	Volume of media enquiries	Outcome	- Count	
91	**Number of articles published**	Volume of media coverage	Outcome	- Media monitoring service which picks up articles when the agency is mentioned - Comparison with number of agency reports published	Some agencies might choose to only monitor the media in the context of certain events (e.g. crisis) or limit the monitoring to online source or specific publication relevant to their remit
92	**Key messages taken up by media**	Measures the influence of the agency in the media	Outcome	- Analysis of coverage - Can be calculated as percentage of media that have taken up at least one key message	It is useful to prepare a monitoring report for major agency outputs which includes qualitative elements and also reports on social media statistics and web traffic.
93	**Potential media outreach based on coverage in high ranking sources**	Potential number of people reached	Impact	- Audience measurements: Print - readership, Online - web traffic, Radio and TV -listeners and viewers statistics	Can be used as an indicator in relation to major report launches or communication campaigns.

Social media

These indicators cover social media communication, which increasingly supports and complements more traditional communications channels.

Id	Proposed indicator	Short description	Type	How to measure the indicator	Comments
94	**Number of social media items published**	Volume of social media material published	Output	- Count - Comparison with number of agency reports published	Social media can be e.g. Facebook, Twitter, LinkedIn, Instagram The number can be split by type of social media

95	**Number of social media followers**	Number of people following the Agency on social media	Outcome	- Social media stats	Social media can be e.g. Facebook, Twitter, LinkedIn, Instagram followers The number can be split by type of social media
96	**Number of social media content views**	Number of times social content was viewed	Outcome	- Social media stats	Equivalent to page views when measuring web traffic.
97	**Social media reach**	Number of unique people who saw social media content	Outcome/ Impact	- Social media stats	Equivalent to unique visitors when measuring web traffic.
98	**Number of followers interactions**	The number of times social media followers interact with an agency message	Outcome	- Social media stats	This could be e.g. shares, comments or likes on Facebook, or retweets on Twitter

Website and multimedia

Agencies' websites are an important channel for communicating to both the general public and specialised audiences. These indicators concern website data and multimedia content generated by agencies.

Id	Proposed indicator	Short description	Type	How to measure the indicator	Comments
99	**Number of page views/visits/unique visitors/returning visitors**	Website traffic	Outcome	- Google statistics	The stats can also show which are the pages/ sections of the website that are more consulted (can give a feedback on areas of agency's work where visitors are most interested)
100	**Number of report downloads**	Reports or other documents downloads	Outcome	- Website statistics	Shows the impact of document published at a time when agencies go paperless
101	**Number of multimedia products developed**	This could be video, animations or apps	Output	- Counting	
102	**Number of views related to multimedia products**	For example the number of times a video has been watched	Output	- Website statistics	On channels like Agency website or YouTube.
103	**Analysis of the most important sources that generate agency web traffic**	Sources can be search results generated via engines like Google, referrals from other websites, agency subscription services and social media	Outcome	- Website statistics	This is not a quantitative indicator, but awareness of which sources are mostly responsible for generating traffic to the agency website

					can help agency develop strategies which will increase traffic and thus outreach.

Internal communication

Internal communication is an important part of the general communication. In this area the agency staff should be seen as the target audience.

Id	Proposed indicator	Short description	Type	How to measure the indicator	Comments
104	**Level of staff satisfaction with internal communications**	User satisfaction	Impact	- Ad hoc survey or included in the regular staff survey	
105	**Audience reached by internal communication**	Measures the audience reached through different internal communication channels (e.g. intranet, newsletters, staff meetings)	Outcome	- Intranet statistics (general and by content) - Number of newsletter sent - Level of participation to staff meetings	

Speeches

These indicators cover speeches at external events, which can be a channel for agencies to increase outreach and influence.

Id	Proposed indicator	Short description	Type	How to measure the indicator	Comments
106	**Number of speeches at external events**	Measures the external influence of the agency	Output	- Count - Comparison with plan/target	
107	**Number of invitations to speak at events**	Measures the external influence of the agency	Outcome	- Count	This would be higher than the above but in essence they measure the same thing. It would be interesting to measure the impact of those speeches, though admittedly more challenging to do so
108	**Number of people reached**	Number of people reached during speeches or presentations at key events	Outcome	- Count of participants - If quotes from speeches are included in articles or on social media, it would be relevant to include it in the indicator	

Overall communication efforts

These indicators measure other overall agency communication efforts.

Id	Proposed indicator	Short description	Type	How to measure the indicator	Comments
109	**Number of hearings/briefings/ presentations given to key institutional stakeholders**	Focuses on presentations to key stakeholders	Output	- Count	
110	**Number of public enquiries**	This relates to requests from the general public	Outcome	- Count	See also indicator #49 (which relates to official requests from agency's institutional stakeholders). Requests from journalists are covered under #90.
111	**Number of subscribers to newsletter/ notification service**	Volume of subscribers	Outcome	- Count	
112	**Number of external visiting groups**	Groups visiting the agency	Outcome	- Count	
113	**Level of user satisfaction with the communication of agency products**	User satisfaction	Impact	- Survey	E.g. whether agency information is well communicated. Other aspects to consider when measuring user satisfaction with agency work are timeliness, topical coverage, availability and reliability (see also indicators #47 and #68).

Area 4: Support & Governance

1. Introduction

Indicators in the area of support and governance are important, as they allow reviewing the performance of the organisation from a generic point of view. They are also much more comparable than other type of indicators as they can be applied regardless of the core business, and can be found in several agencies, regardless of their area of intervention.

2. Categorisation of the indicators

Indicators in this category have been subdivided in the following subcategories:

- Management
- Legal
- Audit
- Quality Management
- Information and Communication Technologies (ICT)
- Finance
- Staff / Human Resources
- Procurement / Outsourcing
- Facilities / Environment
- Other

3. List of indicators:

Management

Indicators in the Management sub-category mainly cover the implementation of the agency's Work Programme as well as its planning activities and relations with its Governing Bodies.

Id	Proposed indicator	Short description	Type	How to measure ?	Comments
114	**Percentage of the Work Programme implemented**	Monitors the implementation of the work programme.	Output	- Quarterly review meetings automated monitoring system, quarterly or biannual report. - Status of each activity is compared to the initial plan.	
115	**Timeliness of documents dispatched to the Management Board / timeliness of Board decisions distributed**	Timeliness of document dispatch is key to ensure that Board members have sufficient time to prepare the meeting.	Output	- Compared to a target (number of days before/ after the meeting).	
116	**Timeliness of preparing planning documents**	Ensure that all documents are ready in time to ensure a smooth process.	Output	- Comparison with initial plan	

Legal:

Legal indicators are related to the declaration of interests in this sub-category. Some other legal indicators are included under the technical and operational indicators, for example regarding the management of disputes (p.8).

Id	Proposed indicator	Short description	Type	How to measure the indicator	Comments
117	**Percentage of declarations of interest completed**	Ensure a proper control of the declarations of interest and compliance with legal obligations	Input	- Annual assessment - Target should be 100% - Should cover members of governing bodies or committees (annual declaration + declaration for each meeting) + ad hoc declaration by experts in meetings	This indicator is now key in a context where conflicts of interest are getting higher political and media attention

Audit:

Audit indicators relate to the implementation of audit recommendations and the management of exceptions.

Id	Proposed indicator	Short description	Type	How to measure the indicator	Comments
118	**Number of critical and important recommendations received**	Shows the number of recommendations received by an agency after an audit	Output	- Count	This objective should be to reduce their number
119	**Percentage of accepted audit recommendations implemented within agreed deadline**	Assess whether recommendations of internal/ external audits have been timely implemented	Output	- Review and count - Compare with set deadlines	
120	**Number of exceptions in the agency's register of exceptions**	Exceptions in the register of exceptions	Output	- Count - Target should be none/0	Exceptions covered in the indicators can either be general exceptions or more specifically address certain types of exceptions such as on financial and accounting issues.

Quality Management:

These indicators relate to the agency's quality management system / policy; additional indicators for technical quality measurement are included under Core business indicators

Id	Proposed indicator	Short description	Type	How to measure the indicator	Comments
121	**Degree of fulfilment of ISO requirements for Quality Management elements**	Measures the fulfilment of quality standards in the agency	Output	- Score compared with manual/ target - The assessment / certification by an external party can be a way to demonstrate the degree of fulfilment/ compliance with the quality requirements	This indicator could be applied as well to other quality management systems, such as EFQM or CAF

122	**Number of complaints/ compliments received**	Measures the positive/negative feedback received; these might have legal implications	Outcome	- Count - Can be volume-based or a ratio (complaints vs. compliments)	This indicator might be especially useful for agencies delivering authorisations/ decisions
123	**Percentage of implementation of internal control standards**	Measures the level of implementation of the internal control standards	Output	- Review and count - Quarterly or biannual review - Target should be 100%	
124	**Percentage of policies/ processes/ SOPs pending review/ reviewed in set timelines**	Measures the efficiency and timeliness of policies, processes, SOPs review	Output	- Count - Comparison with set timelines	
125	**Staff training on quality management (policies, SOP) completed**	Staff training is an important element to ensure awareness/ good understanding and efficiency of a quality management processes	Output	- Count	
126	**Percentage of high level risks in the risk management system**	High level risk is a good indicator of vulnerabilities in the organisation	Input	- This should focus on the remaining risks after mitigation measures - High level risks should be minimised as much as possible	
127	**Proportion of actions complying with the agency's quality criteria**	Measures the level of compliance with quality standards	Input	- Check with internal criteria, quality manual	
128	**Deficiency rate**	Measures the rate of deficiency compared to achieve a required level of quality	Input	- Check with internal criteria, quality manual	
129	**Satisfaction with internal services**	Measure the satisfaction of the staff with the quality of internal services	Impact	- Measured through annual staff survey	Internal services can be e.g. procurement, finances, legal, communication, IT

Information and Communication Technologies (ICT)

Information technologies are also addressed under the technical and operational indicators area as related to the core business of the agency (e.g. data collection, system shared with Member States). Here the indicators address mostly the availability and support to IT system as an overall support role to the operational activities of the agency.

Id	Proposed indicator	Short description	Type	How to measure the indicator	Comments
130	**Hours of maximum continuous downtime (% availability) of a system**	Measures the availability of IT systems	Output	- Count (might be automated, e.g. through a tickets system)	This is a key indicator particularly for critical IT systems
131	**% availability to users**	Measures the availability of IT	Output	- Count (might be automated, e.g. through a tickets system)	

		systems for users		- ICT statistics - Should be as close as possible to 100%, especially for critical systems	
132	**Timeliness to handle users IT requests**	The measurement focuses on the timely response to users requests	Output	- Count (might be automated, e.g. through a tickets system) - Comparison to target timelines (that can vary by types of issues/systems)	
133	**Level of internal/ external user satisfaction with IT services / helpdesk**	Measures the satisfaction of IT users	Outcome	- Ad hoc or regular surveys - Systematic collection of users feedback after resolution of issues	This can be used either for internal users or external users (or both)
134	**Level of coverage of mission-critical systems in the business continuity solution**	Measures IT business continuity	Input	- Review and count	

Finances

Financial indicators should provide insight to assess the agency's performance and cost effectiveness.

Id	Proposed indicator	Short description	Type	How to measure the indicator	Comments
135	**Budget execution**	*Measures the budget execution (implemented vs. planned)*		- Data collated from accounting system (e.g. ABAC) - Monitoring should be regular (monthly at least) Should be as high as possible	
	- Percentage committed of commitment appropriations	Measures level of commitments	Input	- Commitments / commitment appropriations	
	- Percentage paid of commitments made	Measures level of payments out of the commitments made	Input	Payments/ commitments made	
	- Percentage paid of payment appropriations	Measures level of payments out of the payment appropriation	Input	- Payments/ payment appropriations	- Can be performed both for C1 (current year) and C8 (payments carried forward from year N-1)
136	**Percentage of carry forward of total commitment appropriations**	Measures the funds committed in year N and carried forward in N+1 for payment	Input	- Data collected from accounting system (e.g. ABAC) - Monitoring should be regular (monthly at least) - Should be as low as possible	
137	**Cancellation of funds carried forward**	Measures the funds carried forward in N+1 which have been cancelled	Input	- Amount cancelled of all funds (C1, C8, C2)/ total payment appropriations of year N - Should be as low as possible - Data collected from accounting system (e.g. ABAC) - Monitoring should be regular (monthly at least)	According to the last two budget circulars (2012-2013) this should be under 5% to avoid a reduction of the budget.

138	**Average number of days to make payments (compared to a set target)**	Measures the timely processing of payments	Input	- Comparison with target (in days or weeks)	Indicator of efficiency of the agency's payment process
139	**Percentage of recovery orders/debit notes issued within the deadline**	Measures the proactivity and efficiency of the agency to get money from a stakeholder	Input	- Should be as high as possible - Concerns agencies that e.g. receive fees and issue invoices - The starting point for calculation could be from e.g. date of the final deliverable, date of registration	
140	**Percentage of invoices paid above the deadline**	Measures the compliance (with the financial regulation) to timely pay invoices from contractors	Input	- Comparison with target (in days or weeks) as set in the financial regulation - Should be as low as possible	As an alternative: "Average number of days to make payments"
141	**Percentage of budget transferred between Titles, above the threshold of 10%**	Measures the proper planning of the budget	Input	- Comparison with 10% threshold - Should be as low as possible	
142	**Number of transfers between Titles**	This measures the total number of transfers performed	Input	- Data collected from accounting system (e.g. ABAC)	

Human Resources

Human resource indicators are useful to assess the agency's staff resources satisfaction and adequacy to the agency's needs.

Id	Proposed indicator	Short description	Type	How to measure the indicator	Comments
143	**Staff level of satisfaction**	Measure of staff satisfaction	Outcome	- From staff satisfaction surveys - Measured annually or biannually	· This can be based on an index. There is currently a framework contract in which participate 21 agencies to conduct staff engagement surveys. · As an alternative: "Staff engagement"
144	**Gender diversity**	Measure the gender balance of the agency's staff	Outcome	- Balance can be measured for all staff or for specific categories (e.g. proportion of women in new appointments for management posts)	
145	**Percentage of nationalities of the agency's Member States represented in the staff of the agency**	Measure the balance of nationalities in the staff	Outcome	- Counting of staff by nationalities - For more accuracy, a ratio can be calculated based on the population of each country	
146	**Ratio of overhead staff/ total staff**	Measures the ratio of overhead staff / total staff	Input	- Counting of staff by type of work - A clear reference typology should be available - This exercise will be conducted as a benchmarking between	This could also be measured as the time spent by staff on operational work out of their total time

				agencies from 2014 - Objective is to lower the ratio	(requires time register) – in that case the objective is to increase the ratio
147	**Percentage of time registered against time planned (workload)**	Measures the workload of the staff	Input	- This requires a tool / system to register staff time	This indicator can show an overburden of staff or inadequate balance of work. It is helpful to improve the planning/ staff allocation.
148	**Staff average absence days (or percentage) per year**	Measures the absence of the staff	Outcome	- Counting of the number of days per staff and average calculated	The agency can do a total and then a more detailed split on different types of absences as deemed to provide useful management info (e.g. sick leaves, use of time credits, other kinds of leaves)
149	**Turnover rate of staff**	Measures the turnover	Outcome	- Percentage of staff leaving during the year/number total of staff	The agency can do a total and then a more detailed split on resignations and end of contracts, as deemed to provide useful management information
150	**Vacancy rate/ posts occupied**	Measures the rate of vacant posts during the year	Outcome	- Number of vacant posts / total number of posts - It is suggested to measure the vacancy rate in FTEs: how many FTEs were lost in a year due to vacancies compared to the total number of FTE available. - Comparison with the staff establishment plan	The vacancy rate is the result of both: - the turnover of staff - the average length of recruitment As an alternative the indicator can also be formulated as "Occupancy rate / post occupied" that measures the number of filled posts vs. total posts Another alternative would be "Percentage of establishment plan filled" (posts filled/posts in the establishment plan)
151	**Average length of recruitment process / post downtime**	Measures the time needed to recruit new staff / fill vacant position	Input	- Average number of days or weeks from the day when the position is published until the a proposal for recruitment is sent out	
152	**Percentage of staff appraisals completed**	Measures the completion of staff appraisals	Output	- Should be as high as possible (ideally target 100%)	

153	**Percentage of career/staff development plans documents finalised by the deadline**	Measures the completion of staff development plans documents	Output	- Should be as high as possible (ideally target 100%)	It could be checked in particular whether all job descriptions are up-to-date (or as a separate indicator below)
154	**Percentage of staff who have an updated job description**	Assess whether all job descriptions in the agency are up-to-date		- Manual review and count - This can be facilitated by a dedicated IT tool if available	Up-to-date job descriptions are useful as in case the staff member leaves it makes a new recruitment smoother.
155	**Gap between needs and skills: percentage of skills met**	Assess the skills needed	Input	- Requires a mapping of the skills needed and available - Count and review of systematic jobs descriptions or dedicated IT database	
156	**Rate of training needs addressed**	Measures how the training needs are addressed		- Measured on a yearly basis - Trainings agreed in staff-career development plans/ total number of trainings followed	
157	**Core skills possessed by at least 2 people in each section**	Assess the skills available, where backup is possible	Input	- Requires a mapping of the skills needed and available - Count and review of systematic jobs descriptions or dedicated IT database	
158	**Average training days registered per staff member**	Measures the training effectively received by the staff	Input	- Target can be established and compared with average from other agencies	This could be split as total training days, work requirement related training (to. build/consolidate missing skills) and other nice to have trainings (such as language course)

Procurement

These indicators relate to procurement procedures carried out by agencies.

Id	Proposed indicator	Short description	Type	How to measure the indicator	Comments
159	**Rate of procurement procedures launched / successfully completed**	Measures the completion rate of procedures launched	Output	- The measure could be based either on the procedures launched or initially planned	
160	**Time consumed by procedures**	Measures the average timeliness of the process	Output	- Can be based either on the whole process (from initial launch to the signature of the contract) or focus on the timeliness of a key part	
161	**% of procurement plan envelop implemented**	Measures the rate of implementation of the budget procurements as planned in the procurement plan	Output	- Comparison with budget envelop in the procurement plan	

162	**Arbitration processes/complaints following tenders (percentage of procedures)**	Part of tender procedures which are disputed	Output	- Counting and average percentage	This could include arbitrations processes but also complaints to the agency, the ombudsman, OLAF and cover as well proceedings opened against the agency in Court. Alternatively, only the successful complaints could be considered.