

ANNUAL ACTIVITY REPORT



Eco-Management and Audit Scheme (EMAS) Unit, European Union Visitors Programme (EUVP) Unit and Archives Unit, Central Services attached to the Secretary-General

20
19

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EXECUTIVE SUMMARY

1

1. Executive summary

The Central Services are horizontal, cross-cutting services providing expertise and services to the whole administration, to Parliament's governing bodies and Members. They are directly attached to the Secretary-General. Among the Central Services, there are three units that manage funds.

Since the EMAS, the EUVP and the Archives Units' activities are very different and independent from one another, this report is structured by unit.

The EMAS Unit

In 2019, the EMAS Unit conducted various successful activities, notably:

- the adoption of the Environmental Management Review and Environmental Statement 2019, Training, Communication and Action Plan 2020, as well as the implementation of the Action Plan 2019;
- the adoption and signature of a new 'Environmental Policy' for the legislative term 2019 - 2024;
- the Environmental Statement 2019 was validated in November 2019 after a positive external verification audit at the three places of work between June and October 2019;
- on 16 December 2019, the Bureau adopted new, more ambitious environmental performance targets to be achieved by a unified target date of 2024;
- the European Parliament and European Central Bank jointly offset irreducible CO²

emissions in accordance with the Bureau decision from October 2015;

- various successful communication and awareness-raising activities as well as training courses; including the organisation of a seminar on 'Delivering on Sustainable Development Goals - What the EU institutions are doing'

The EUVP Unit

In 2019, the EUVP organised study visits for 185 young political leaders and opinion formers from 80 non-EU countries. The EUVP visitors had the opportunity to become acquainted with the EU institutions, meet Members of the European Parliament, officials from the European Commission and other EU stakeholders in Brussels, Luxembourg and Strasbourg. The EUVP continued to raise awareness of the Programme in EU Delegations to further increase its outreach as a tool of public diplomacy and strengthening their involvement in ensuring its success.

The Archives Unit

Following a proposal from the Director-General for Parliamentary Research Services in October 2019 and considering the horizontal role of the Archives for the entire Institution, the Archives Unit was moved to the Central Services attached to the Secretary-General.

The Archives Unit manages and stores documents produced or received by the European Parliament in the exercise of its functions - and other archival funds - since

1952. It seeks to maintain the historical 'memory' of the European Parliament by making the archives publicly accessible, by assisting academic researchers in retrieving them for use, and by publishing historical studies of the Parliament based on the archives and other sources.

ENVIRONMENT, OBJECTIVES AND RESULTS

2

2. Environment, objectives and results

2.1. The Directorate (mission statement, operational context)

The Central Services are horizontal, cross-cutting services providing expertise and services to the whole administration, to Parliament's governing bodies and Members. They are directly attached to the Secretary-General. Among the Central Services, there are three units that manage funds:

- The EMAS Unit promotes the continuous improvement of the environmental performance of the European Parliament.
- The European Union Visitors Programme (EUVP) runs an inter-institutional programme that enhances the knowledge of young leaders from third countries in the area of EU activities and its values.
- The Archives Unit manages the archives of the European Parliament and provides guidance to all Directorate-Generals on archiving processes.

Main events and changes for the EMAS Unit

- The new Environmental Policy was adopted by the Bureau on 16 September 2019 and signed by the President and the Secretary-General on 6 November 2019;
- on 16 December 2019, the Bureau adopted new more ambitious environmental performance targets to be achieved by a

unified target date of 2024;

- the European Parliament has for the first time jointly offset its irreducible carbon emissions together with the European Central Bank to become carbon-neutral.

Main events and changes for the EUVP Unit

In 2019, the unit's budgetary and human resources capacities were reviewed and consolidated. Inter-institutional cooperation was enhanced.

In the framework of the 2019-2021 Strategic Execution Framework project 'EU visitors programme for continental democracy' a new target for visitors was set with an increase in the number of visitors to 200 in 2020 and 300 in 2021.

Main events and changes for the Archives Unit

Following a proposal from the Director-General for Parliamentary Research Services in October 2019 and considering the horizontal role of the Archives for the entire Institution, the Archives Unit was moved to the Central Services attached to the Secretary-General. The other business component of the Historical Archives Unit, the Historical Library, was attached to the Onsite and On-line Library.

2.2. Key results and progress towards achieving objectives

The EMAS Unit

The ultimate goal of the Environmental Management System of the European Parliament is to continuously improve Parliament's environmental performance in accordance with the EMAS Regulation¹.

To this end, the EMAS Unit pursued the following main objectives in 2019:

- maintaining Parliament's EMAS registration at the three places of work;
- further improving Parliament's environmental performance compared to the previous year;
- successfully implementing the annual plan-do-check-review-cycle in accordance with the Environmental Manual, including technical, administrative and awareness-raising activities, trainings as well as internal and external audits;
- offsetting its irreducible carbon emissions from 2018.

Preparation, adoption and implementation of activities, administrative decisions and key documents, such as the Environmental Management Review and Action Plan with quantitative key performance indicator targets, communication, awareness-raising and training as well as internal and external audits are crucial to improve environmental performance.

The Strategic Execution Framework for the Administration of the European Parliament

2017-2019 included a project entitled 'EMAS II Targets'.

Following the recommendations from the 2016 Environmental Management Review, new ambitious KPI targets for the periods beyond 2016 and 2020 were adopted by the Steering Committee for Environmental Management on 26 September 2017. Furthermore, on 23 October 2017, the Bureau adopted a new target for reducing Parliament's CO2 emissions beyond 2020, aiming for a reduction of at least 40% in 2030 compared to 2006. In 2019, several of these targets were already achieved or exceeded.

In December 2019, the Bureau therefore decided to replace the decisions of the Steering Committee and the Bureau of 2017 and to adopt more ambitious key performance indicator targets for the current legislative term. The new targets should be achieved by a unified target date of 2024. In accordance with the EMAS Regulation and the general objectives of the 'Environmental Manual of the European Parliament', the **EMAS Unit contributed to achieving the following key results:**

Governance, cooperation and adoption of key documents

- The Environmental Policy for the new legislative term was adopted by the Bureau on 16 September 2019 and signed by the President and the Secretary-General on 6 November 2019 reaffirming Parliament's commitment to maintaining its EMAS registration and its environmental approach of continuous improvement.
- Several EMAS key documents were adopted, such as the Environmental

¹ Regulation (EC)1221/2009

Management Review 2019 covering 2018, the Environmental Statement 2019 covering 2018, the Action Plan 2020 based on input from the Directorates-General and the annual Training, Audit and Communication Plan 2020.

- The unit provided assistance to Directorates-General in planning and implementing internal environmental activities.
- The unit provided environmental advice to Directorates-General on a regular basis, including concrete feedback on questions, proposals, comments and other input from staff in relation to the Environmental Management System of the EP, *inter alia*, through the EMAS-mailbox.
- The unit monitored the implementation of the EMAS Action Plan 2019 and informed the Bureau and Steering Committee for Environmental Management about the state of implementation on a regular basis.
- The Training, Audit and Communication Plan 2019 was implemented.
- Meetings of the Working Group on Green Public Procurement and Waste Committee were organised.

Carbon Footprint and Offsetting

- The unit calculated and verified Parliament's carbon emissions in cooperation with external experts from March – June 2019.
- A joint tender procedure for the offsetting of the 2018 greenhouse gas emission of the European Parliament and the European Central Bank in accordance with the Bureau decision of 7 October 2015 on a revised offsetting scheme was launched. The contract was signed on 6 December 2019 for a total

amount of EUR 231 218.10 to promote Gold Standard projects in Malawi, Ghana and Uganda.

Green Public Procurement

Following the Bureau decision of 16 December 2019, 90% of contracts in priority product categories should be classified as 'Green' or 'Green by Nature' over the 2020-2024 period. In order to achieve this ambitious target, the Working Group on Green Public Procurement developed proposals for a simplified approach and new reporting methodology.

Waste

The Waste Committee developed a waste management strategy included in the new Environmental Policy and the 2020 Action Plan; it includes activities to promote avoidance, reduction and recycling.

Environmental Audits

Internal and external environmental audits as well as follow-up were organised:

- Seven internal audits and nine legal audits were carried out by staff, external contractors and the EMAS Unit based on an annual internal audit programme as prepared by the EMAS Unit and adopted by the Inter DG Steering Group.
- The unit prepared and organised the verification of Parliament's Environmental Management System from June to October 2019 at the three places of work, including the verification and validation of Parliament's Environmental Statement 2019 covering 2018.

- Corrective measures arising from internal and external audits were reviewed and monitored, including follow-up of corrective measures or proposals for improvement of environmental performance.

Communication and awareness-raising activities

The EMAS Unit organised several events and campaigns to raise environmental awareness and promote environmentally friendly activities among staff in accordance with the EMAS Regulation and Parliament's key performance indicators. Some of the main activities are summarized in the following:

- The EMAS Unit published a video about Parliament's Environmental Management System with the participation of the responsible Vice-President Heidi HAUTALA.
- Glass water bottles to reduce single use cups and information about Parliament's Environmental Management System were distributed to all newly elected Members.
- The unit organised a seminar with around 70 participants from Parliament and other EU-Institutions on 'Delivering on Sustainable Development Goals: What the EU institutions are doing' on 5 December 2019 in Brussels, moderated by Vice-President Heidi HAUTALA.
- Several communication campaigns were launched to reduce plastic and single use items.
- Several major awareness-raising events were organised, such as the Inter-Institutional EMAS Days with several hundred participants from all EU-

Institutions, the Sustainable Mobility weeks (e.g. 261 participants in 'VeloMai') and European Waste Reduction Week with activities to avoid and reduce waste and to provide information about good waste management practices to staff.

Training courses

In 2019, the following training courses were provided by the EMAS Unit:

- European Parliament Induction Courses: 'World Café Sessions' providing general information about Parliament's environmental performance and its Environmental Management System. A total of 240 newcomers received information on EMAS in 2019.
- Mini-trainings/info sessions on Parliament's Environmental Management System, Climate Change, Carbon Offsetting and Eco-tips (59 participants) were organised.

Risk analysis

The EMAS Unit encounters three main risks related to a smooth and successful running of Parliament's Environmental Management System to be classified as medium:

- non-compliance with the EMAS Regulation and relevant environmental legislation;
- non-achievement of environmental performance targets 2024 on time;
- possible obstacles in implementing Parliament's offsetting approach.

Possible risks of non-compliance and non-achievements of targets are addressed in Parliament's 'Environmental Manual', including an annual 'Plan-Do-Check-Review-Cycle' to

ensure a smooth running of Parliament's Environmental Management System (EMS) in accordance with the EMAS Regulation. The system is regularly assessed by way of annual internal, legal and external audits as well as follow-up activities to address possible audit findings. The annual EMAS Audit-, Action-, Communication- and Training-Plans encompass activities to achieve all performance indicator targets on time. The Bureau and Steering Committee for Environmental Management are informed on a regular basis about achievements as well as appropriateness and effectiveness of Parliament's EMS.

Parliament's offsetting approach requires specific risk mitigation measures. The total amounts of carbon emissions to be offset on an annual basis vary in quantity from one year to another. Therefore, verified information about the concrete amounts to be offset is not available before June of the following year due to the long calculation and verification process. Moreover, the duration of the procurement procedure might be extended in the future due to other EU institutions joining Parliament's offsetting approach². In order to ensure a timely finalization of the annual tender procedure, the procedure to jointly offset Parliament's and the participating institutions' carbon emissions should be launched in the first quarter of the year, and before external verification of the calculated amount of carbon emissions from the previous year, i.e. any discrepancy in the number of emissions that should have been offset would be taken into account in the next

tender procedure.

The following risks can be classified as medium and should be taken into account in relation to the offsetting scheme at the EP:

- Due to the volatility of prices for CO₂ offsetting on the emission certificates market, it is impossible to estimate the exact amount of financial means necessary to offset the total amount of carbon emissions which could not be reduced any further. Theoretically, financial means available on budget line 2390 are not sufficient to offset the total amount of carbon emissions.

On 7 October 2015, the Bureau decided to offset the total amount of Parliament's carbon emissions, including emissions from Members' flights between their country of origin and Brussels and Strasbourg, on an annual basis but limited to the financial means attributed to and available under budget line 2390.

- Limited financial means available under budget line 2390 (currently EUR 249 000.00) could lead to a situation that not all carbon emissions of Parliament can be offset due to high prices for certificates on the market.

In 2016, 2017, 2018 and 2019, Parliament managed to offset the total amount of carbon emissions from 2015, 2016, 2017 and 2018 in accordance with the Bureau decision of October 2015. At the moment, there are no indications that Parliament cannot offset the total amount of carbon emissions from 2019. The Bureau decision can be reviewed in case

² The Court of Auditors, the Court of Justice, The European Economic and Social Committee and the Committee of the Regions

there is a need for adaptation in the coming years.

- Availability of certificates might be limited due to the conditions of purchase, including possible requirements regarding the location of projects.

On 7 October 2015, the Bureau decided to extend the geographical scope regarding eligible projects as follows: projects in the African, Caribbean and Pacific Group of States (ACP-countries), or, if such projects are not available, either in countries encompassed by the European Neighbourhood Policy (ENP) with established National Action Plan Projects or in countries encompassed by the Euro-Mediterranean Partnership (Euro/Med)/Union for the Mediterranean (UfM), in candidate countries for EU accession or in EU Member States.

The EUVP Unit

The EUVP Unit's objectives were as follows:

- increase the number of EUVP participants by inviting 55 additional visitors in 2019 and preparing the SEF project of inviting 200 visitors in 2020 and 300 in 2021 while;
- sustaining the satisfaction of EUVP participants with the programmes by analysing and following up on the feedback received from visitors in the form of client satisfaction sheets and visits' reports;
- improve the visibility of the EUVP internally (EU institutions) and externally (outside referents).

In 2019, the EUVP unit organised study visits for 185 young political leaders and opinion formers from 80 non-EU countries. In addition

to 130 visitors selected by the Management Committee, the EUVP invited, further to the agreement between Parliament and Commission, 55 guests from Commission priority countries, as well as from continental democracies and inter parliamentary assemblies strategically selected by the Parliament - the US, India, Japan, Brazil, the Pan-African Parliament and the ASEAN Inter-Parliamentary Assembly. Visits from the US and from the ASEAN Inter-Parliamentary Assembly were organised jointly with the EPLO Washington and Parliament's ASEAN liaison officer. The EUVP visitors had the opportunity to become acquainted with the EU institutions, meet Members of the European Parliament, officials from the European Commission and other EU stakeholders in Brussels, Luxembourg and Strasbourg. The EUVP continued to raise awareness of the Programme in EU Delegations to further increase its outreach as a tool of public diplomacy and strengthen their involvement in ensuring its success.

In July 2019, the EUVP Management Committee selected 146 visitors for 2020 from 86 countries. All visits have been scheduled.

The EUVP website, and in particular the alumni platform, was revamped in 2019 for a more modern, informative and user-friendly approach.

Risk analysis

The successful increase in the number of visitors requires sufficient human resources.

The risk of non-delivery in case of missing human resources can be classified as high.

The unit has taken the following measures to mitigate the risks from the potential lack in human resources:

- recruitment of a new imprest account administrator (following a move of the former one to another DG);
- recruitment of an additional programme organiser;
- start of the procedure to recruit a financial initiator;
- ensuring the Commission finds replacements for absent staff in the form of 'intérimaires';
- recruitment of two Schuman Trainees;
- recruitment of Commission Blue Book trainees;
- assigning backup staff for each task;
- management of staff annual leaves to ensure business continuity;
- allowing for teleworking to permit staff the completion of the programmes and other tasks also from home;
- provision of mobile phones to staff to increase efficiency;
- efficiency and productivity gains by using specific collaborative IT tools to enable the HoU and the team to have a clear, transparent and straightforward view of the business at all moments; these tools permit to monitor and follow-up each programme's progress (for both logistical and financial aspects); they enable the unit to intervene and take the appropriate measures in order to ensure business continuity in real time;
- smooth co-operation with external actors in the financial circuit;
- exploring ways for further efficiency and productivity gains, especially in financial

management (use of FMS, limiting cash operations).

There is a reputational risk in case of some visitors' non-satisfaction with the programme.

In order to mitigate the risk, the EUVP Unit established, in co-operation with the Project Management Office, a standard evaluation form to measure the clients' satisfaction with the programme's content and logistics as well as to address any negative feedback.

In addition, the chat group for visitors and EUVP staff enables the unit to react to requests from visitors in real time, provide solutions and solve any issues immediately.

At the end of each visit an evaluation meeting is organised with visitors taking stock of the visit's quality, identify potential improvements and address any concerns.

After the visit, the guests send visits' reports to the respective EU Delegation and to the EUVP. The latter scrutinises the reports to identify possible improvements regarding the visits' logistics and content.

Therefore the residual reputational risk is considered as low.

The Archives Unit

The Archives Unit manages and preserves the European Parliament's official public documents and other archival material dating back to the launch of the European Coal and Steel Community in 1952. It seeks to maintain the historical memory of the Parliament as an institution, by making the archives publicly accessible, by assisting officials, Members of Parliament, academic researchers and citizens

in retrieving them for use. As part of its administrative support task, the Archives Unit provides all Parliament's departments with documents and information concerning the institution's history and activities.

The Archives Unit's objectives were as follows:

- acquisition and management of archives;
- archiving treatment;
- digital archiving;
- valorisation.

The main objectives are to ensure the acquisition of archives to be delivered to the archives, the treatment of the fonds delivered (with a specific attention to the private fonds from Members and former Members), the availability of the information system used to store archived documents and to valorise documents with historical value (mainly preparing the exhibition related to the 70th anniversary of the Schuman declaration, 9 May 1952).

On top of these objectives, the scope of the SEF project 'EP archives for the digital age' was adjusted to cope with the missions received in November 2019. The purpose of this project is to support a radical change in archives management from non-digital documents to digital documents. In the context of the new scope, progress were made on the long-term preservation plan, the data quality control, the access of archives documents and their dissemination.

More specific objectives are detailed in the Archives Unit's action and training plans.

In accordance with the general objectives, the Archives Unit did achieve the following

objectives between November and December 2019:

Acquisition and management of archives:

- clean-up of an archive storage room to remove assets without historical value (12m²);
- off-line storage of the data related to the location of all paper documents in the storage boxes;
- storage of documents to be archived according to the 'Liste Commune de Conservation'.

Archiving treatment:

Archiving of documents produced or received by the European Parliament (412 conditioning units for petitions from 1997 to 2001, 3 400 parliamentary questions from 2005 to 2008, 150 debates from 2009);

- permanent archiving of 1 479 dossiers and files;
- analysis of private fonds for Members and former Members
- quality control of the central repository related to Members (4 797 Members since 1979).

Digital Archiving:

- set-up of an incident management tool to track issues related to the archive central repository;
- deployment of a new release for the archiving information system.

Valorisation:

- support for the 13 requests from researchers who would like to make use of the archives from the European Parliament in an historical perspective;
- publication of two news reports on the Archives web site on Europarl (2 492 pages viewed on the site);
- presentation of the Editorial Strategy of Parliament's Archives for Citizens - Conference 'History of the European Parliament: Research Projects, Sources and Historical Memory 1979-2019' (Brussels, Belgium) - on 29 November 2019;
- framing of the exhibition related to the 70th anniversary of the Schuman Declaration to be inaugurated during the Plenary session in May 2020 in cooperation with the European Liaison Office of Strasbourg;

SEF project 'EP archives for the digital age':

- detailed investigation in cooperation with the European Commission of the E-Ark building block (archiving information system) to open the possibility of a further exchange at an inter-institutional level;
- initiation of a broad quality control over the CLAVIS information system to start with the documents that will be transferred to the Historical Archives of the European Union in November 2020;
- preparing a dashboard approach to disseminate debates, using standard EP software, to reduce the number of demands received by staff from researchers;
- presenting a new approach for internalising the digitalisation activity to the EP potential stakeholders.

On top of these results, administrative actions were implemented:

- set-up of financial responsibilities and processes within the unit according to the new organisation (new roles and responsibilities for operational/financial initiators and delegated/sub-delegated authorising officers);
- management of the increase of the initial value for the Interinstitutional Framework Contract EPRS/ARCH/SER/16/013/LOT2 - 'Archival Assistance' as Parliament is the lead institution for this contract.

Risk analysis

More and more documents are digital-born documents. Instead of manually verifying and digitalising paper documents, it becomes important to integrate information systems producing digital-born documents with the archive production system. This would facilitate the control of these documents and avoid receiving potentially multiple versions of the same document through various flows. Moreover, the archives are still heavily dealing with paper documents. A backlog of 500 000 pages has to be digitalised and integrated in the archive repository.

The following risks can be classified as medium:

- information system: availability of information systems producing digital-born documents (mainly legislative) with the archiving information system;
- digitalisation: availability of means to digitalise paper documents while no

framework contracts related to this purpose are in force for the European Parliament;

- archive treatment: availability of means to archive documents (data and archive management) while the call for tenders used to contract services and support official staff ends in May 2021.

The following risks will be mitigated through the following actions:

- information system: setting-up an incident management tool to ensure the follow-up of all incidents declared, fix known bugs in a very short timeframe on the archiving information system related to both the consultation and the management of documents;

- digitalisation: internalise the digitalisation function making use of resources moving from paper-based activities to digital ones (mainly in the Editing Directorate from the Directorate-General for Innovation and Technological Support);
- archive treatment: internalise the archive treatment functions performed by external providers with contractual agents, and participate as a follower to the next interinstitutional call for tenders to acquire these services from external providers in case of failure of the internalisation.

RESOURCES MANAGEMENT

3

3. Resources management

3.1. Human resources

The number of staff in the three budget-managing units attached to the Secretary-General has increased in comparison to 2018 due to the transfer of the Archives Unit from DG EPRS to the Central Services.

On 1 November 2019, a new Head of Unit of the Archives Unit was nominated.

On 1 November 2019, a new acting Head of Unit of the EUVP Unit was nominated who was confirmed in this role on 1 January 2020.

ESTABLISHMENT PLAN FOR THE EMAS AND EUVP UNITS

ON 01/01/2019¹ ON 01/01/2018

	AD	AST	AST/SC	Total
Permanent posts	6	7	0	13
Temporary posts	0	0	0	0

	AD	AST	AST/SC	Total
Permanent posts	6	8	0	14
Temporary posts	0	0	0	0

Total	6	7	0	13
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Total	6	8	0	14
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¹On 01/11/2019: 29 permanent posts due to the transfer of the Archives Unit to the Central Services (16 permanent posts)

STAFF NUMBERS FOR THE EMAS, EUVP AND ARCHIVES UNITS AT 31/12/2019

	AD	AST	AST/SC	Total
Officials	6	14	0	20
Temporary staff	0	0	0	0
- in temporary posts	0	0	0	0
- in permanent posts	0	0	0	0
- offsetting staff working part time	0	0	0	0
Contract staff				2
Seconded national experts (SNE)				0
Agency staff				0
Total	0	0	0	22

3.2. Financial and budgetary management

Due to the transfer of the Archives Unit to the Central Services taking place only on 1 November 2019, the budget for this unit is presented separately from the EMAS and EUVP Units under annex a (second and third table).

INITIAL AND FINAL APPROPRIATIONS

The initial appropriation for EMAS and EUVP lines amounted to EUR 654 500.00 and the final appropriations to EUR 547 725.00. This is due to the handing over of some amounts during the mopping up exercise (see below).

EMAS Unit

- For budget line 2390, the initial appropriations amounted to EUR 262 500.00 out of which EUR 239 752.37 were committed. The surplus is due to the high fluctuation of prices for emission certificates for offsetting, which makes early planning of expenses from this budget line difficult.
- For budget line 03200-07, the initial appropriations amounted to EUR 101 000.00 out of which EUR 68 300.00 were committed. The surplus is due to the fact that some additional consultancy services on offsetting were not needed in 2019.

EUVP Unit

- For budget line 03244-03, the initial appropriations amounted to EUR 291 000.00 out of which EUR 234 356.64 were committed. The amount of EUR 51 500.00 was handed over during the mopping up exercise. This is

the consequence of the use of a major amount carried over from the previous exercise.

FINAL APPROPRIATIONS AND APPROPRIATIONS COMMITTED

The total amount committed for the EMAS budget lines 3200-07 and 2390 and the EUVP budget line 3244-03 by the end of 2018 amounted to EUR 542 409.01, representing 99% of the final appropriations: EUR 547 725.00.

Archives Unit

From 1 November 2019 to the end of 2019, no commitment was made at the Archives Unit.

APPROPRIATIONS COMMITTED AND PAYMENTS MADE

The appropriations committed in 2019 amounted to EUR 542 409.01 out of which EUR 254 351.51 were paid by the end of 2019. The reasons for divergences between commitments and payments are:

- The direct service contract for the joint offsetting of Parliament's and the ECB's CO2 emissions was signed on 12 December 2019 for an amount of EUR 231 218.10 which remains to be paid.
- Contracts/order forms were signed in 2018 but were invoiced in the financial year 2019.
- Some provisional commitments were made for which payments remain to be made for December 2019.

Archives Unit

After the transfer of the Archives Unit from DG EPRS on 1 November 2019 and until

31 December 2019, a total amount of EUR 177 819.89 was actually paid on budget line 3210-07 by the Archives Unit.

USE OF AUTOMATIC AND NON-AUTOMATIC CARRYOVERS FROM 2018 TO 2019

Automatic carry-over

The total of EUR 180 277.55 was automatically carried-over from 2018 to 2019 for both EMAS and EUVP lines. 99% of this amount was paid in 2019.

No payment was made from automatically carried-over appropriations by the Archives Unit.

APPROPRIATIONS CORRESPONDING TO ASSIGNED REVENUE

Appropriations corresponding to assigned revenue in 2019 (EUR 369 116.02) concern:

- EMAS budget line 03200-07 (EUR 46 684.00) for reimbursement from participating institutions/bodies to Parliament in the framework of the Green Public Procurement Helpdesk contract. The difference of EUR 46 684.00 was carried over to 2020 and will be used as a matter of priority to cover expenditure for environmental expertise.
- EUVP budget line 03244-03 with 50 % (EUR 194 359.16) which constitute the contribution to the programme from the Commission. The amount of EUR 160 019.21 (82.33%) of the total amount was paid in 2019.

EVALUATION AND EFFECTIVENESS OF INTERNAL CONTROL, INCLUDING OVERALL ASSESSMENT OF COST- EFFECTIVENESS

4

4. Evaluation and effectiveness of internal control, including overall assessment of cost-effectiveness

With the Archives Unit joining the Central Services on 1 November 2019, the Authorising Officer by delegation created a new structure of the financial circuit for the EMAS, EUVP and Archives Units.

Financial responsibilities and processes were set up within the EMAS, EUVP and Archives Units according to the new organisation (new roles and responsibilities for operational/financial initiators and delegated/sub-delegated authorising officers). The financial circuit, including control mechanisms, worked without any problems and proved to be effective.

The EMAS Unit

The EMAS Unit deals with a relatively limited number of procurement procedures, handling of payments and creation of budgetary commitments in relation to existing framework contracts.

The EUVP Unit

The operational activities of the EUVP Unit are implemented mainly through provisional commitments. In terms of payments, it is to be noted that all payments to EUVP visitors are being paid through an imprest account. For these payments, the monthly regularisation files are verified by the ex-ante verifier of the Cabinet of the Secretary-General, taking into

account 100% of all documents submitted with the regularisation files.

The Archives Unit

The Archives Unit manages one major inter-institutional³ framework contract for 'Archival processing and related services' for an amount of EUR 3 300 000.00. During the transfer from DG EPRS, it was stated that there was only EUR 32 000.00 remaining to cover expenditure for this contract. Contacts with all participating institutions were immediately made with a view to increase the ceiling for Lot 2 'Archival Assistance' of this framework contract.

4.1. Assessment of the effectiveness and efficiency of internal control

Key components of the internal control strategy for the EMAS, EUVP and Archives Units are:

- a detailed planning and prior approval of all expenditure through a detailed budgetary planning of all actions and the planning of all procurement procedures. This planning is continuously monitored by the

³ Participating institutions: The European Parliament, the European Commission, the Council of the European Union, the European External Action Service, the European Economic and Evaluation And Effectiveness Of Internal Control, Including Overall Assessment Of Cost-Effectiveness

Social Committee, the Committee of the Regions and the European Ombudsman

management and is subject to regular reviews;

- ex-ante verification of the legality and regularity of the operations.

The European Parliament adopted minimum internal control standards with reference to international best practice in this field. The EMAS, EUVP and Archives Units have carried out an assessment of the internal control systems in 2019 and concluded that those controls have been established and function properly.

The EMAS, EUVP and Archives Units have set up an organisational structure and internal control systems tailored to the performance of its tasks, taking into account the risks associated with the management environment. The authorising officer by delegation and the authorising officer by sub-delegation assessed the effectiveness and efficiency of the internal control systems throughout the year using desk reviews and interviews with a view to ensuring that they are functioning as expected and that any detected weaknesses in the controls are corrected.

4.2. Assessment of the cost-effectiveness of the controls

All financial transactions carried out by the EMAS, EUVP and Archives Units were subject to verification by the ex-ante verifier (or the back-up colleague) in the Cabinet of the Secretary-General. Therefore, in terms of resources allocation to controls, the financial resources proved to be sufficient to provide efficient control. All financial actors update their knowledge on financial rules continuously so that the correct procedures can be applied in daily management. The applied controls are judged to be cost-effective.

Total estimated costs of controls	Budget managed*	Ratio (%)
27 340	1 393 022	1.96%

4.3. Summary of internal and external audits

No internal or external audit was conducted at either the EMAS, EUVP or Archives Unit during the reporting period.

STATEMENT OF ASSURANCE

The bottom half of the page is a large grid area for writing the statement of assurance. The grid consists of small squares. In the bottom right corner of the grid, there is a small blue rectangular box.

5. Statement of assurance

I, the undersigned, **Susanne ALTENBERG**

Director of Cabinet of the Secretary-General

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

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

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

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

Done at **Brussels**

On **04/05/2020**



Signature

ANNEXES

6. Annexes

a. Budgetary implementation overview for EMAS and EUVP Units

		to fill out by the DG	
Code	Appropriation type	EUR or %	
Appropriations of 2019			
A	Initial appropriations	654.500	
B	Final appropriations	547.725	
C	Commitments	542.409	
D	Commitments in % of final appropriations	99%	D=C/B
E	Payments	254.352	
F	Payments in % of commitments	47%	F=E/C
G	Cancellations of 2019 final appropriations	5.316	G=B-C-K
H	Cancellations appropriations in % of final appropriations	1%	H=G/B
Appropriations carried forward from 2019 to 2020			
I	Automatic carryforwards from 2019 to 2020	288.058	I=C-E
J	Automatic carryforwards from 2019 to 2020 in % of commitments	53%	J=I/C
K	Non-automatic carryforwards from 2019 to 2020	0	
L	Non-automatic carryforwards from 2019 to 2020 in % of final appropriations	0%	L=K/B
Appropriations carried over from 2018 to 2019			
M	Automatic carryovers from 2018 to 2019	180.278	
N	Payments against automatic carryovers from 2018 to 2019	179.227	
O	Payments against automatic carryovers from 2018 to 2019 in % of automatic carryovers from 2018 to 2019	99%	O=N/M
P	Cancellations of automatic carryovers from 2018 to 2019	1.050	P=M-N
Q	Cancellations of automatic carryovers from 2018 to 2019 in % of automatic carryover from 2018 to 2019	1%	Q=P/M
R	Non-automatic carryovers from 2018 to 2019	0	
S	Payments of non-automatic carryovers from 2018 to 2019		
T	Payments of non-automatic carryovers from 2018 to 2019 in % of non-automatic carryovers from 2018 to 2019	-	T=S/R
U	Cancellations of non-automatic carryovers from 2018 to 2019		U= R-S
V	Cancellations of non-automatic carryovers from 2018 to 2019 in % of non-automatic carryovers from 2018 to 2019		V=U/R
Assigned revenue in 2019			
W	Appropriations from assigned revenue in 2019 (current)	369.116	
X	Assigned revenue carried over to 2019	46.684	
Y	Balance of commitments on assigned revenue carried over to 2019	194.359	
Z	Payments in 2019 against appropriations from assigned revenue (current and carried-over)	308.730	
AA	Payments in 2019 against appropriations in % of assigned revenue (current and carried-over)	51%	AA=Z/(W+X+Y)

THIS TABLE WILL BE DRAWN UP BY DG FINS' BUDGET UNIT ON THE BASIS OF THE PROVISIONAL ACCOUNTS APPROVED BY THE ACCOUNTING OFFICER AND WILL BE FORWARDED TO AUTHORISING OFFICERS FOR CONFIRMATION.

Budgetary implementation overview for the Archives Unit

Budget line 3210-07 - until 31/10/2019 managed by DG EPRS - then transferred to the Archives Unit attached to the Secretary-General Period 1/1/2019-31/10/2019

Code	Appropriation type	EUR or %
Appropriations of 2019		
A	Initial appropriations	1.850.000,00
B	Final appropriations	1.850.000,00
C	Commitments until transfer	1.670.934,00
D	Commitments in % of final appropriations	90%
E	Payments until transfer	770.856,55
F	Payments in % of commitments	46%
G	Non-committed appropriations transferred to the Archives Unit attached to the SG	179.066,00
H	Open commitments transferred to the Archives Unit attached to the SG	900.077,45
Appropriations carried over from 2018 to 2019		
I	Automatic carryovers from 2018 to 2019	687.062,10
J	Payments against automatic carryovers from 2018 to 2019 - until transfer	616.908,95
K	Payments against automatic carryovers from 2018 to 2019 in % of automatic carryovers from 2018 to 2019	90%
L	Not paid automatic carryovers from 2018 to 2019 - transferred to the Archives Unit attached to the SG	70.153,15
M	Non-automatic carryovers from 2018 to 2019	0,00
Assigned revenue in 2019		
N	Appropriations from assigned revenue in 2019 (current)	0,00
O	Assigned revenue carried over to 2019	0,00

**Budget line 3210-07 - until 31/10/2019
managed by DG EPRS - then transferred to
the Archives Unit attached to the SG**

Code	Appropriation type	EUR or %
Appropriations of 2019		
A	Initial appropriations: Non-committed appropriations transferred by DG EPRS	179.066,00
B	Final appropriations: Non-committed appropriations transferred by DG EPRS	179.066,00
C	Open commitments transferred by DG EPRS	900.077,45
D	De-commitments after transfer	4.856,81
E	Payments after transfer	177.819,89
F	Payments in % of commitments	20%
G	Cancellations of 2019 final appropriations	183.922,81
Appropriations carried over from 2019 to 2020		
I	Automatic carryovers from 2019 to 2020	717.400,75
J	Automatic carryovers from 2019 to 2020 in % of commitments transferred (minus de-commitments)	79%
K	Non-automatic carryovers from 2019 to 2020	0
Appropriations carried over from 2018 to 2019		
M	Not paid automatic carryovers from 2018 to 2019 - transferred from DG EPRS	70.153,15
N	Payments against transferred automatic carryovers from 2018 to 2019	21.217,50
O	Payments against automatic carryovers from 2018 to 2019 in % of automatic carryovers from 2018 to 2019 - transferred from DG EPRS	30%
P	Cancellations of automatic carryovers from 2018 to 2019	48.935,65
Q	Cancellations of automatic carryovers from 2018 to 2019 in % of automatic carryovers from 2018 to 2019	70%
R	Non-automatic carryovers from 2018 to 2019	0,00
Assigned revenue in 2019		
W	Appropriations from assigned revenue in 2019 (current)	0,00
X	Assigned revenue carried over to 2019	0,00

b. 2019 Budget implementation statement

- | | |
|---|--|
| <ol style="list-style-type: none"> 1. Current appropriations as at the end of December - Financial year 2019 (nature 0) 2. Automatic carryovers as at the end of December - Financial year 2019 (nature 2) 3. Non-automatic carryovers as at the end of December - Financial year 2019 (nature 6) 4. Specific expenditure appropriations/assigned revenue as at the end of December - Financial year 2019 (nature 7) 5. Specific expenditure appropriations/assigned revenue carried over as at the end of December - Financial year 2019 (nature 5) 6. Specific expenditure commitments/assigned revenue carried over as at the end of December - Financial year 2019 (nature 3) | <ol style="list-style-type: none"> 7. Specific expenditure appropriations/external assigned revenue as at the end of December - Financial year 2019 (nature 9) 8. Current appropriations for the Archives Unit from 1/01/2019 to 30/10/2019 for the Archives Unit (nature 0) 9. Automatic carryovers for the Archives Unit from 1/01/2019 to 30/01/2019 (nature 2) 10. Current appropriations for the Archives Unit from 1/11/2019 to 31/12/2019 (nature 0) 11. Automatic carryover for the Archives Unit from 1/11/2019 to 31/12/2019 (nature 2) |
|---|--|

CAB SEC GEN

Situation des Crédits courants Exercice: 2019 (en EUR)

Edité le 31/01/2020 à 10:50 Page 01/02

Poste	Intitulé	Crédits Initiaux	Virements + Budg. suppl.	Crédits Actuels	Engagements Contractés	% util.	Paielements Effectués	Solde des Engag. E.C.	Crédits Disponibles
02...									
023..									
0239.									
02390	COMPENSATION DES MISSIONS DE CARBONE DU PARLEMENT EUROPEEN								
02390-00	COMPENSATION DES MISSIONS DE CARBONE DU PARLEMENT EUROPEEN	262.500,00	22.575,00-	239.925,00	239.752,37	99,93	5.859,27	233.893,10	172,63
Total Titre 02...		262.500,00	22.575,00-	239.925,00	239.752,37	99,93	5.859,27	233.893,10	172,63

CAB SEC GEN

Situation des Crédits courants Exercice: 2019 (en EUR)

Edité le 31/01/2020 à 10:50 Page 02/02

Poste	Intitulé	Crédits Initiaux	Virements + Budg. suppl.	Crédits Actuels	Engagements Contractés	% util.	Paielements Effectués	Solde des Engag. E.C.	Crédits Disponibles
03...									
032..									
0320.									
03200									
03200-07	EMAS	101.000,00	32.700,00-	68.300,00	68.300,00	100,00	34.150,00	34.150,00	0,00
0321.									
03210									
03210-07	ACQUISITION EPRS, BIBLIO ET ARCHIVES: ARCHIVES HISTORIQUES	1.850.000,00	0,00	1.850.000,00	1.666.077,19	90,06	948.676,44	717.400,75	183.922,81
0324.									
03244									
03244-03	FINANCEMENT DES BOURSES D'ETUDES, DE STAGES POUR LES MULTIPLICATEURS D'OPINION DE PAYS TIERS (EUPV)	291.000,00	51.500,00-	239.500,00	234.356,64	97,85	214.342,24	20.014,40	5.143,36
Total Chapitre 032..		2.242.000,00	84.200,00-	2.157.800,00	1.968.733,83	91,24	1.197.168,68	771.565,15	189.066,17
Total Titre 03...		2.242.000,00	84.200,00-	2.157.800,00	1.968.733,83	91,24	1.197.168,68	771.565,15	189.066,17
Total Général		2.504.500,00	106.775,00-	2.397.725,00	2.208.486,20	92,11	1.203.027,95	1.005.458,25	189.238,80

CAB SEC GEN

Situation Crédits reportés automatiques Exercice: 2019 (en EUR)

Edité le 31/01/2020 à 10:54 Page 01/02

Poste	Intitulé	Crédits Reportés	Crédits Actuels	Engagements Contractés	Paielements Effectués	% Util.	Reste À payer	Reliquat de Conversion
02...								
023..								
0239.								
02390	COMPENSATION DES MISSIONS DE CARBONE DU PARLEMENT EUROPEEN	1.237,50	1.237,50	1.237,50	1.237,50	*****	0,00	0,00
02390-00	COMPENSATION DES MISSIONS DE CARBONE DU PARLEMENT EUROPEEN	1.237,50	1.237,50	1.237,50	1.237,50	*****	0,00	0,00
Total Titre 02...		1.237,50	1.237,50	1.237,50	1.237,50	*****	0,00	0,00

CAB SEC GEN

Situation Crédits reportés automatiques Exercice: 2019 (en EUR)

Edité le 31/01/2020 à 10:54 Page 02/02

Poste	Intitulé	Crédits Reportés	Crédits Actuels	Engagements Contractés	Paielements Effectués	% Util.	Reste À payer	Reliquat de Conversion
03...								
032..								
0320.								
03200								
03200-07	EMAS	41.974,33	41.974,33	41.974,33	41.974,33	*****	0,00	0,00
0321.								
03210								
03210-07	ACQUISITION EPRS, BIBLIO ET ARCHIVES: ARCHIVES HISTORIQUES	687.062,10	687.062,10	687.062,10	638.126,45	92,88	48.935,65	0,00
0324.								
03244								
03244-03	FINANCEMENT DES BOURSES D'ETUDES, DE STAGES POUR LES MULTIPLICATEURS D'OPINION DE PAYS TIERS (EUVP)	137.065,72	137.065,72	137.065,72	136.015,64	99,23	1.050,08	0,00
03244-03-01	FINANCEMENT DES BOURSES D'ETUDES, DE STAGES POUR LES MULTIPLICATEURS D'OPINION DE PAYS TIERS (EUVP)	137.065,72	137.065,72	137.065,72	136.015,64	99,23	1.050,08	0,00
Total Chapitre 032..		866.102,15	866.102,15	866.102,15	816.116,42	94,23	49.985,73	0,00
Total Titre 03...		866.102,15	866.102,15	866.102,15	816.116,42	94,23	49.985,73	0,00
Total Global		867.339,65	867.339,65	867.339,65	817.353,92	94,24	49.985,73	0,00

CAB SEC GEN

Situation des Crédits reportés non-auto. (6) Exercice: 2020 (en EUR)

Edité le 31/01/2020 à 11:31 Page 01/01

Poste	Intitulé	Crédits Initiaux	Virements + Budg. suppl.	crédits Actuels	Engagements Contractés	% Util.	Paie ments Effectués	sol des Engag. E.C.	crédits Disponibles
		0,00	0,00	0,00	0,00		0,00	0,00	0,00
	Total Sous-poste	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00
	Total Poste	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00
	Total Article	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00
	Total Chapitre	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00
	Total Titre	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00
	Total Général	0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00

CAB SEC GEN

Situation des crédits de dépenses spécifiques/ RA

Exercice: 2019 (en EUR)

Edité le 31/01/2020 à 11:52

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Poste	Intitulé	Virements	Crédits an. cumulés.	Crédits Actuels	Engagements Contractés	% Util.	Paiements Effectués	Solides des Engag. E.C.	Crédits Disponibles
02..									
023..									
0239.									
02390	COMPENSATION DES MISSIONS DE CARBONE DU PARLEMENT EUROPEEN								
02390-00	COMPENSATION DES MISSIONS DE CARBONE DU PARLEMENT EUROPEEN	0,00	21.965,71	21.965,71	0,00	0,00	0,00	0,00	21.965,71
Total Titre 02..		0,00	21.965,71	21.965,71	0,00	0,00	0,00	0,00	21.965,71

CAB SEC GEN

Situation des crédits de dépenses spécifiques/ RA

Exercice: 2019 (en EUR)

Edité le 31/01/2020 à 11:52

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Poste	Intitulé	Virements	Crédits an. cumulés.	Crédits Actuels	Engagements Contractés	% Util.	Paiements Effectués	Solides des Engag. E.C.	Crédits Disponibles
03..									
032..									
0320.									
03200									
03200-07	EMAS	0,00	54.640,00	54.640,00	9.361,76	17,13	0,00	9.361,76	45.278,24
0324.									
03244									
03244-03	ORGANISATION, ACCUEIL DE GROUPES DE VISITEURSEUROSCOLA ET DE MULTIPLICATEURS D'OPINION DE PAYS TIERS:ORGANISATION, ACCUEIL VISITEURS DU PROGRAMME EUVP	0,00	292.510,31	292.510,31	170.000,00	58,12	105.415,30	64.584,70	122.510,31
Total Chapitre 032..		0,00	347.150,31	347.150,31	179.361,76	51,67	105.415,30	73.946,46	167.788,55
Total Titre 03..		0,00	347.150,31	347.150,31	179.361,76	51,67	105.415,30	73.946,46	167.788,55
Total Général		0,00	369.116,02	369.116,02	179.361,76	48,59	105.415,30	73.946,46	189.754,26

CAB SEC GEN

Situation des crédits reportés dep. spec RA Exercice: 2019 (en EUR)

Édition le 31/01/2020 à 12:00 Page 01 /01

Poste	Intitulé	Crédits Initiaux	Crédits Actuels	Engagements Contractés	Paiements Effectués	% util.	Solde des Engagements	Crédits disponibles
03...								
032..								
0320.								
03200	Acquisition d'expertise	46.684,00	46.684,00	46.684,00	43.295,00	92,74	3.389,00	0,00
03200-07	Acquisition d'expertise : EMAS	46.684,00	46.684,00	46.684,00	43.295,00	92,74	3.389,00	0,00
	Total Titre 03...	46.684,00	46.684,00	46.684,00	43.295,00	92,74	3.389,00	0,00
	Total Global							

CAB SEC GEN

Situation des engagements reportés dep. spec RA (nature 3) À la fin du mois de JANUARY

Exercice: 2019

Edité le 31/01/2020 à 12:05 Page 01/01

Poste	Intitulé	Crédits Reportés	Crédits Actuels	Engagements Contractés	Paiements Effectués	% Util.	Reste à payer
03...							
032..							
0324..							
03244-03		194.359,16	194.359,16	194.359,16	160.019,21	82,33	34.339,95
	Total Poste	194.359,16	194.359,16	194.359,16	160.019,21	82,33	34.339,95
	Total Article	194.359,16	194.359,16	194.359,16	160.019,21	82,33	34.339,95
	Total Chapitre	194.359,16	194.359,16	194.359,16	160.019,21	82,33	34.339,95
	Total Titre	194.359,16	194.359,16	194.359,16	160.019,21	82,33	34.339,95
	Total Global	194.359,16	194.359,16	194.359,16	160.019,21	82,33	34.339,95

CAB SEC GEN

Situation Credits de dépenses spécifiques (nature 9)

Exercice: 2020 (en EUR)

édition le 06/02/2020 à 13:20

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Poste	Intitulé	Credits an. précad.	Credits an. cumulés.	Credits Actuels	Engagements Contractés	% util.	Paielements Effectués	Solde des Engag. E.C.	Credits Disponibles
Total Général		0,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00

ARCHIVES UNIT - Current appropriation (nature 0) from 1/01/2019 to 30/10/2019									
Poste	Intitulé	Credits Initiaux	Virements Budg. Suppl.	Credits Actuels	Engagements contractés	% Util.	Paielements effectués	Soldes des Engag.	Credits disponibles
03210-07-00	ACQUISITION EPRS, BIBLIO ET ARCHIVES: ARCHIVES HISTORIQUES	1.850.000,00	0	1.850.000,00	1.670.934,00	90,32	770.856,55	900.077,45	179.066,00
TOTAL GENERAL		1.850.000,00	0	1.850.000,00	1.670.934,00	90,32	770.856,55	900.077,45	179.066,00

ARCHIVES UNIT - Automatic carry over (nature 2) from 1/01/2019 to 30/10/2019								
Unit. Org.-53								
POSTE 3210	INTITULE	CREDITS REPORTES	CREDITS ACTUELS	ENGAGEMENTS CONTRACTES	PAIEMENTS EFFECTUES	% UTIL.	CREDITS DISPONIBLES	
03210-07	ACQUISITION EPRS, BIBLIO ET ARCHIVES: ARCHIVES HISTORIQUES							
SOUS TOTAL SOUS-POSTE 03210-07		687.062,10	687.062,10	687.062,10	616.908,95	89,79	70.153,15	
TOTAL		687.062,10	687.062,10	687.062,10	616.908,95	89,79	70.153,15	

SG - ARCHIVES UNIT - Current appropriation (nature 0) from 1/11/2019 to 31/12/2019									
Poste	Intitulé	Credits Initiaux	Virements Budg- Suppl	Credits Actuels	Engagements contractés	% Util.	Paielements effectués	Soldes des Engag	Credits disponibles
03210-07-00	ACQUISITION EPRS, BIBLIO ET ARCHIVES: ARCHIVES	1.850.000,00	0	1.850.000,00	-4.856,81	-0,26	177.819,89	717.400,75	183.922,81
TOTAL GENERAL	HISTORIQUES	1.850.000,00	0	1.850.000,00	-4.856,81	-0,26	177.819,89	717.400,75	183.922,81

SG - ARCHIVES UNIT - Automatic carry over (nature 2) from 1/11/2019 to 31/12/2019									
Unit. Org.:63	INTITULE	CREDITS REPORTES	CREDITS ACTUELS	ENGAGEMENTS CONTRACTES	PAIEMENTS EFFECTUES	% UTIL.	RESTE A PAYER		
POSTE 3210									
03210-07	ACQUISITION EPRS, BIBLIO ET ARCHIVES: ARCHIVES HISTORIQUES								
SOUS TOTAL SOUS-POSTE 03210-07		687.062,10	687.062,10	687.062,10	21.217,50	3,09	48.935,65		
TOTAL		687.062,10	687.062,10	687.062,10	21.217,50	3,09	48.935,65		

c. List of exceptions - derogations from the rules

LIST OF EXCEPTIONS TO PR

N/A

EXCEPTIONS TO PROCEDURE

DECISIONS TO MAKE AN EXCEPTION TO THE APPLICABLE PROCEDURES AND RULES					
DOCUMENT REF.	RELEVANT AUTHORISING OFFICER	SUBJECT	AMOUNT	VERIFIER'S OPINION	DECISION
FINORD REF., CONTRACT, ETC.				VERIFIER'S OPINION FAVOURABLE WITH STATEMENT/UN FAVOURABLE	DECISION RELEVANT AUTHORISING OFFICER JUSTIFICATION JUSTIFICATION
N/A					

WAIVERS/CANCELLATIONS OF RECEIVABLES

RECEIVABLE WAIVER/CANCELLATION PROCEDURES

DOCUMENT REF. (FINORD REF.)	RELEVANT AUTHORISING OFFICER	SUBJECT	AMOUNT	AUTHORISING OFFICER'S REASONS FOR WAIVER/CANCELLATION
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N/A

d. Results of assessments

N/A

e. Assessment of the implementation of the minimum internal control standards

Self-assessment summary table

STANDARD	ACHIEVED	ALMOST	PARTLY	STARTED	TO BE STARTED/N.A.
Section 1: mission statement and values					
1. Duties					
2. Ethical and organisational values					
Section 2: Human resources					
3. Allocation of staff and mobility					
4. Staff assessment and development					
Section 3: Planning and risk management					
5. Objectives and performance indicators					
6. Risk management process					

STANDARD	ACHIEVED	ALMOST	PARTLY	STARTED	TO BE STARTED/N.A.
Section 4: Operations and control activities					
7. Operational set-up					
8. Processes and procedures					
9. Supervision by management					
10. Business continuity					
11. Document management					
Section 5: Information and financial reporting					
12. Information and communication					
13. Accounting and financial information					
Section 6: Evaluation and auditing					
14. Evaluation of activities					
15. Evaluation of internal control systems					
16. Audit reports					

Standards assessed as 'achieved'

N°	Title	Comments on execution
1.	Duties	<p>All staff members are aware of the mission statements of the EMAS, EUVP and Archives Units and of respective general and specific objectives. The mission statements of these units are regularly updated.</p> <p>Job descriptions and objectives of staff are set up on an annual basis, and updated if necessary. Individual objectives are included in annual staff reports.</p> <p>In the Archives Unit, a staff satisfaction survey was launched at the end of the year to engage the staff in the development of the unit.</p>
2.	Ethic and organisational values	<p>The EMAS, EUVP and Archives Units comply with the Staff Regulation, Financial Regulation and relevant internal rules. Staff members are aware of the Code of Conduct and other relevant rules and documents. Members of staff responsible for procurement procedures and financial transactions have a profound knowledge of the Financial Regulation due to professional experience and/or training. New staff is trained by experienced colleagues in these units and attends relevant in-house training courses.</p>
3.	Allocation of Staff and mobility	<p>Staff allocation and recruitment are based on the EMAS, EUVP and Archives Units' objectives and priorities taking into account relevant rules and 'job descriptions'. The allocations are re-assessed, when required, during the year to meet the changing needs linked with the objectives and activities of these units.</p> <p>As regards mobility, the EMAS, EUVP and Archives Units follow the relevant internal mobility rules for AD and AST.</p>
4.	Staff assessment and development	<p>All staff members are recruited on the basis of their knowledge, experience and background. The performance of all staff members is assessed during the annual staff report procedure. Specific problems arising during the year are dealt with separately and corrective measures are established if necessary.</p> <p>Individual objectives are systematically discussed with each staff member before and during their appraisal exercise.</p> <p>Every year, specific training needs are discussed with all staff during the staff appraisal, where needs are identified and detailed in the respective staff report. Specific training for new officials is discussed upon the taking up of his/her duties and training needs are met as soon as possible.</p> <p>The training plan(s) for EMAS Unit staff is checked by external auditors on an annual basis.</p>
5.	Objectives and performance indicators	<p>EMAS Unit: The principle of continual improvement of environmental performance as laid down in the EMAS Regulation is based on an annual 'Plan-Do-Check-Review-Cycle' as included in the Environmental Manual. Implementation and coordination of the 'Plan-Do-Check-Review-Cycle' is the core objective of the EMAS Unit.</p>

N°	Title	Comments on execution
		<p>In order to monitor progress, internal and external audits are carried out on a regular basis. Performance indicator targets have been set up and the EMAS Unit calculates and outlines Parliament's environmental performance on a regular basis. Parliament's achievements are presented twice a year by the EMAS Unit to the Steering Committee for Environmental Management and the Bureau.</p> <p>EUVP Unit: A standard evaluation form was established in 2019 to measure the clients' satisfaction of the EUVP.</p> <p>Archives Unit: A client satisfaction form was established in 2019 for each request for support addressed to the Archives Unit.</p>
6.	Risk management process	<p>EMAS Unit: Appropriateness and effectiveness of Parliament's Environmental Management System (EMS) are updated and developed further on a regular basis by the Inter-DG Steering Group on Environmental Management and the Steering Committee for Environmental Management. The system is regularly assessed by way of annual internal, legal and external audits. The annual 'Plan-Do-Check-Review-Cycle' as implemented and coordinated by the EMAS Unit ensures a smooth implementation of Parliament's EMS. Potential operational risks are outlined in the Unit's risk register.</p> <p>EUVP Unit: The expenditures of the EUVP participants and its system are regularly assessed.</p> <p>Archives Unit: Still to be established following the transfer of this Unit to the Central Services.</p>
7.	Operational set-up	<p>A financial circuit has been set up for the EMAS, EUVP and Archives Units. These Central Services are empowered to authorise financial transactions, which fall under their respective competence up to a pre-defined threshold (EUR 50 000 for the EMAS Unit and EUR 100 000 for the EUVP Unit and EUR 200 000 for the Archives Unit). Above these thresholds, the Director of Cabinet of the Secretary-General authorises financial transactions. The ex-ante verifier in the Cabinet of the Secretary-General carries out an independent verification on legality and regularity of all financial transactions. These arrangements have been communicated to all financial actors in these three units and the CSG. All financial delegations have been granted in conformity with the applicable rules. Delegated and sub-delegated authorising officers have acknowledged receipt of the corresponding charter. Subdelegations are updated, where required, in order to accommodate modifications in the organigram or to comply with business continuity requirements. Possible changes are immediately implemented in the relevant IT applications.</p>
8.	Processes and procedures	<p>All relevant processes and procedures are executed, documented and updated in line with the relevant rules published on DG FINS' intranet. Financial circuits are constantly updated and/or improved.</p>
9.	Supervision by management	<p>Supervision of financial transactions is carried out through a combination of ex-ante controls and regular financial reporting (Periodic Reports) in accordance with the financial circuit for the three Central Services. In the First Periodic Report, these units establish the budgetary planning and the procurement procedures to be launched in the course of the year.</p>

N°	Title	Comments on execution
		<p>The identification of major risks and the actions planned to mitigate the risks as outlined in the central risk register are subject to a bi-annual review.</p> <p>EMAS Unit: In accordance with the Environmental Manual, the Bureau and the Steering Committee for Environmental Management are regularly informed about environmental activities and performance under Parliament's EMS; both bodies steer the EMS and ensure that work is performed efficiently and effectively in accordance with the relevant rules.</p>
10.	Business Continuity	A back-up system ensures business continuity for almost all tasks to be performed in the EMAS, EUVP and Archives Units. Appropriate CAF/BAP habilitations have been signed.
11.	Document management	<p>All incoming and outgoing mails are systematically registered in GEDA. Original financial files are archived in the EMAS, EUVP and Archives Units. An internal system of digital archiving of these and other administrative files will be maintained until WebContracts and FMS, the financial information systems, and the Electronic Records Management System (ERMS), allow for a full electronic archiving of all procurement and financial documents.</p> <p>Specific document management provisions have been implemented in accordance with the EMAS-Regulation, Environmental Manual and relevant EMAS procedures.</p>
12.	Information and communication	<p>EMAS Unit: Internal and external communication rules have been set up in accordance with the Environmental Manual and relevant EMAS procedures. All key documents, such as the Environmental Management Review, the Environmental Statement, the Action Plan, the Training and Communication Plan, etc. are published on the EMAS intranet. The Environmental Statement is also published on the internet (EP website). Awareness-raising campaigns and communication activities are carried out on a regular basis. The top-management and all Directorates-General are regularly informed about EMAS activities and achievements.</p> <p>EUVP Unit: The information for potential candidates/nominees can be found on the EUVP Website, which has been duly revamped and contains the new EUVP Alumni platform. The platform gives them access to important network, data archives and alumni network of EU Delegations and EU decision-makers/stakeholders.</p> <p>Archives Unit: The information on Parliament's intranet was updated at the end of 2019. The inter Institutional Archives Group (IIAG) has been informed of the changes related to the Archives Unit reorganisation.</p>
13.	Accounting and financial reporting	In line with the financial circuit, reporting is made by the Financial Coordinator for the EMAS, EUVP and Archives Units. Feedback is provided in the framework of the periodical and annual reports and on the occasion of the mopping-up exercises launched by DG FINS.
14.	Evaluation of activities	EMAS Unit: Evaluations are performed in accordance with the evaluation standards of the relevant EMAS rules. They are planned and carried out in a transparent and consistent way so that results are available in due time for operational and strategic decision-making and reporting needs. See further details

N°	Title	Comments on execution
		under point 5. EUVP Unit: Evaluations are done in accordance with a comparative table of attendance of previous years. A brainstorming and assessment took place in 2019 to evaluate the first year of compliance with more participants' attendance, alumni platform and visibility tools created. Archives Unit: A dashboard of improvement has been put in place based on the number of files treated and client satisfaction reports.
15.	Evaluation of internal control system	EMAS Unit: Evaluation of internal control systems is embedded in the basic functioning of the EMAS system: Internal, legal and external audits as well as follow-up activities are carried out on a regular basis in accordance with the EMAS Regulation, the Environmental Manual and relevant EMAS procedures. The Inter-DG Steering Group, the Steering Committee and the Bureau are regularly informed about performance, achievements, audit results and possible follow-up activities. EUVP Unit: The internal control system of the unit was analysed in 2019. Archives Unit: Activities are reported to the Bureau on an annual basis. The report for 2019 was established by DG EPRS.

Standards assessed as 'to be started' or 'non-applicable'

N°	Title	Comments on execution
16.	Audit reports	The EMAS, EUVP and Archives Units were not audited by the Internal Audit Service or the Court of Auditors in 2019.