

ANNUAL ACTIVITY REPORT



Directorate-General for Translation

20
19

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EXECUTIVE SUMMARY

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1. Executive summary

The Directorate-General for Translation (DG TRAD) is committed to providing high-quality multilingual legislation based on the principle of full resource-efficient multilingualism. As a modern translation service, it offers a professional response to its clients' needs in an efficient and innovative manner.

As 2019 was a European Parliament **election year**, this approach proved important not only in completing the legislative cycle, but also in reaching out to citizens during the electoral campaign. This was reflected in DG TRAD's participation in projects such as the weekly stand at the Adenauer building raising awareness of the elections, as well as visits to DG TRAD units, numerous visits to schools and universities as part of the 'Back to school' campaign and, most significantly, the 'What Europe does for me' website and contribution to the Citizens' App, all of which contributed to a better voter turnout. These activities have further anchored its central role in helping to make Parliament more open, democratic and accessible, through the provision of expert multilingual services.

In 2019, DG TRAD saw a **fall in translation output** compared with the previous year (-41.1%), owing to the cyclical nature of translation demand, which is closely linked to parliamentary activity. This fall was due to the low translation demand during the European Parliament electoral campaign and at the beginning of the legislative term which began in July 2019.

In spite of the changed environment, all **key performance indicators** were monitored in terms of compliance with the Code of Conduct for Multilingualism as in the previous years, meeting deadlines, and efficient use of in-house capacity and external resources.

With regard to DG TRAD's Strategic Execution Framework (SEF) 2017-19, DG TRAD continued its work on nine projects included in the **Parliamentary Project Portfolio (PPP)**. These projects were completed by mid-2019.

The PPP saw concrete results also thanks to the work of focus and working groups, more specifically for the projects of accreditation, quality, new missions, new profiles and subtitling.

Thanks to the work of the Focus Group on Accreditation for External Translators and of the Working Group on Outsourcing, a new type of tender was launched in 2019. This 2017-2019 PPP project – to pilot a system for the **accreditation of external translators** – was brought to implementation phase. The aim was to bring about an increase in the quality of outsourced translations, with a focus on using 'accredited' translators who have been tested on their translation ability, enhancing the quality control of outsourced translations by the language units and reinforcing contractual consequences in the event of sub-standard quality.

The work of the Focus Group on Quality led to

a review of the **quality assessment** methodology, both for internal and external translations. Furthermore, the Working Group on New Missions concluded its work with the publication of DG TRAD's **catalogue of services**.

2019 also saw the introduction of the profile of **intercultural and language professional**, which responds to new realities and developments in the sector.

The Working Group on Translation in the Format of Subtitling continued its work throughout the year, with a voice recognition and subtitling platform being used for training and testing purposes.

In addition, 2019 saw the start of the latest Strategic Execution Framework period, running from mid-2019 to 2021. DG TRAD's game-changer project: **'Citizens' language: text, audio, video'** marked the strategic new direction taken by DG TRAD, with an emphasis on clear communication with citizens in three formats.

Throughout the year, the DG has taken numerous initiatives and participated in many events to promote multilingualism. These events attracted an ever-greater and largely young audience.

One significant event for DG TRAD was its **conference on 'The Many Faces of**

Translation', held at the end of 2019. Diversity was at the heart of the programme, which included a range of presentations demonstrating that translation is multifaceted, rich and indispensable. The high-quality speakers provided a source of inspiration for all who attended. The conclusion drawn was that despite the immense diversity of contexts in which translation takes place, translators connect cultures, nations and people.

In order to pursue its purpose of building bridges between languages and cultures and promoting sustainable multilingualism, DG TRAD explored different ways to enhance efficiency gains and service improvements in 2019. Firstly, it strengthened its supporting services and other existing processes, including by ensuring reliable quality control procedures, processing all comments and complaints, assisting in the drafting support and editing of non-legislative texts, and compiling appropriate terminology for better legislation. In addition, it enlarged its offer of new, client-oriented and innovative services. DG TRAD reaffirmed itself as the linguistic authority of the European Parliament, both by supporting the adoption of multilingual legislation and by contributing to clear communication with Members of the European Parliament and EU citizens through translation, adaptation and transcreation.

ENVIRONMENT OF THE DIRECTORATE-GENERAL, OBJECTIVES AND RESULTS



2. Environment of the Directorate-General, objectives and results

2.1. The Directorate-General (mission statement, operational context)

The mission and objectives of DG TRAD for the year 2019 are set out below:

MISSION

DG TRAD provides the European Parliament with translation services for its written or electronic communication in all the official languages of the European Union. DG TRAD's mission for 2019 was:

- to make available, in all official languages, all documents relating to Parliament's role as co-legislator and one of the two arms of the budgetary authority, in order to ensure the legitimacy and transparency of the legislative and budgetary process of the European Union;
- to enable Parliament to meet its commitment to the policy of multilingualism, designed to ensure the equal treatment of languages and enabling all citizens of the European Union to communicate with the institutions and access the documents of those institutions in their own language;
- to ensure that all these services are provided as efficiently and effectively as possible.

With the arrival of a new Strategic Execution Framework cycle in 2019, this mission underwent an evolution. It saw the introduction of the aim of improving the clarity and readability of DG TRAD's texts through the use of plain language and thus making the European Parliament more engaging and accessible for citizens.

OBJECTIVES

In addition to its general mission as set out above, DG TRAD identified a number of specific goals as part of the 2017-2019 Strategic Execution Framework, including:

- enhanced services to support MEPs and Parliament's departments in the area of intercultural mediation;
- efficient management through the accreditation of external translators and enhanced quality assurance;
- the sharing and development of innovative working practices (metrics, teleworking, CAT tools);
- supporting the completion of the legislative cycle by providing high-quality linguistic services that are delivered on time;
- playing its part in 'linking the levels' by developing audio capacity and 'succeeding 2019' by supporting multilingual communication.

The year 2019 saw the conclusion of the 2017-2019 Strategic Execution Framework and the beginning of the 2019-2021 Strategic Execution Framework. Some objectives were removed or adjusted and some new objectives were added, resulting in the following strategic objectives for 2019-2021:

- providing enhanced services to support MEPs and Parliament's services in their intercultural mediation;
- supporting multilingual communication with citizens;
- managing efficiently by means of innovative working practices and professional standards;
- ensuring the timely provision of high-quality linguistic services to support the completion of the legislative cycle;
- developing human-centred smart language technology for DG TRAD's multilingual products.

PARLIAMENTARY PROJECT PORTFOLIO

DG TRAD concluded its Parliamentary Project Portfolio (PPP) for 2017-2019, which focused on nine specific projects:

- Project 1 – Transforming translation into intercultural linguistic mediation
- Project 2 – Quality assurance for enhanced linguistic services
- Project 3 – Audio capacity
- Project 4 – Establishing an accreditation system for external translators
- Project 5 – Further widening DG TRAD's offer of linguistic services
- Project 6 – High-level competences for translation services of the future

- Project 7 – Implementation of state-of-the-art CAT (computer-assisted translation) tools with the support of business process management
- Project 8 – Optimisation of the workflow and outsourcing processes
- Project 9 – Revision of the structural teleworking scheme in the context of its coexistence with occasional teleworking.

These nine projects were concluded in mid-2019. DG TRAD launched the 2019-2021 Parliamentary Project Portfolio with the following projects, grouped by focus below:

- Citizens' language: text, audio, video
 - Project 1 – Clear language (Clarity)
 - Project 8 – Speech-to-text and translation for parliamentary meetings
 - Project 9 – Audio capacity
 - Project 10 – Translation in the format of subtitling
 - Project 11 – My House of European History
- Integrating new profiles for language professionals (Project 2)
- Reviewing quality assurance
 - Project 4 – Excellence through professional standards
- Customising technology to suit our needs
 - Project 3 – Artificial intelligence at the service of intercultural and language professionals
- Connecting with academia (Project 6) and reviewing traineeships (Project 7 – Traineeship academy)
- Skill sharing (Project 5) – aims to expand the traditional role of the translator to new and rewarding areas of specialisation
- Introducing client satisfaction metrics

- Project 12 – DG TRAD metrics collection.

NEW DG TRAD SERVICES

To achieve better communication with EU citizens by improving the readability and understanding of Parliament texts through the use of clear language, DG TRAD has established the new profiles of intercultural language professional (ILP) and proof-reader.

2019 saw the creation of the non-procedural units (units dealing with non-legislative work) within DG TRAD as part of its strategic game-changer project 'Citizens' language: text, audio, video', thus further developing its offer of linguistic services. The following tasks were expanded or introduced to all units in the DG:

- localisation of texts and audio for a specific audience (part of PPP Projects 1 and 9);
- evaluation of translations by external contractors (part of PPP Project 4);
- drafting assistance (part of PPP Project 1);
- moderation of communication material contributed by and aimed at citizens through the My House of European History project (PPP Project 11);
- subtitling (PPP Project 10).

Non-procedural units

In the context of the transition from translation to intercultural and linguistic mediation, DG TRAD established four new non-procedural units and transformed an existing unit, with effect from 1 September 2019:

- the Editing Unit was transformed into the Clear Language and Editing Unit. This unit includes the Editing Service and the Coordination Service, which coordinates the activity of the non-procedural units (under PPP Project 1);

- the Audio Capacity Service became the Audio and Podcast Unit (PPP Project 9);
- the Subtitling and Voice-Over Unit was created. It will be responsible for the subtitling of products for Parliament services (PPP Project 10) and will develop voice-over services;
- the My House of European History Unit was created and will be responsible for the management of the My House of European History project (PPP Project 11), including publicising, content moderation and translation, and the creation of audio stories in cooperation with the Audio and Podcast Unit;
- the Speech-to-Text Unit was created and will pilot an innovation partnership with speech recognition and machine translation market providers with the aim of providing an automatic transcription and translation service for parliamentary meetings (PPP Project 8).

RISK ANALYSIS

DG TRAD's risk register documents five significant risks that could hamper the achievement of major strategic objectives in the areas of quality, outsourcing, IT, finance and human resources.

Risk 1 – Quality – Risk of failure to meet deadlines or the level of quality required for translations and to offer other intercultural linguistic mediation services

Classification	Strategy
Medium	Mitigate

Description: Sudden and severe peaks in translation demand can affect DG TRAD's capacity for timely and quality delivery of translations, which in turn could influence Parliament's reputation. The quality of

intercultural linguistic mediation services depends on developing skills needed for moderation, adaptation, subtitling, voice-over and other multilingual mediation services.

Action plan: A series of DG TRAD 2019-2021 PPPs are aimed at implementing new services and reviewing quality assurance: Project 1 – Clarity; Project 2 – Integrating new profiles for language professionals in DG TRAD; Project 4 – Excellence through professional standards; Project 5 – Skill sharing; Project 9 – Audio capacity; Project 10 – Translation in the format of subtitling; Project 11 – My House of European History.

Risk 2 – Outsourcing – Risk of outsourced translations failing to meet the required quality standards and of delays in introducing the system of accredited translators

Classification	Strategy
Medium	Mitigate

Description: The application of the current selection and award criteria under the single main contractor model could result in a lack of adequate service providers in some markets. DG TRAD is gradually increasing the number of other types of contracts, as envisaged in the 2017-2019 PPP project on establishing an accreditation system for external translators. Risks related to contractual or IT issues, as well as change management, may affect the smooth roll-out of the new calls for tender.

Action plan: Review the public procurement procedures for the outsourcing of translations (revision of specifications, award criteria and the application thereof, skills-testing procedures for tenderers, etc.), in addition to

the procedures for the monitoring of contracts by the units concerned. The quality criteria applicable to the new public procurement procedures will be addressed in detail in DG TRAD's 2019-2021 PPP on reviewing quality assurance. The internal auditor has welcomed the progress made on the few remaining residual risks outlined in the internal audit of procurement and contract implementation in the area of external translation¹.

Risk 3 – IT – The risk of failure to ensure a reliable and high-performing IT environment

Classification	Strategy
Medium	Mitigate/Transfer

Description: In the event of major IT incidents, slow recovery and/or a lack of clear recovery procedures may prolong the unavailability of environments and severely limit the productivity of staff. In its daily work DG TRAD is highly dependent on digital tools, many of them provided by external IT support services (DG ITEC, the Commission), and our ability to impact the level of service is therefore limited. Furthermore, the highly competitive IT market in Luxembourg creates difficulties in attracting and retaining highly trained and high-performing staff members and external consultants.

Action plan: In the course of 2019, DG TRAD's business continuity plans were put in place in collaboration with the central Business Continuity Management (BCM) Unit. These plans will be further refined in 2020 to produce detailed recovery plans.

DG TRAD is taking a systematic 'buy before build' approach, including broadening its knowledge base in IT procurement. Close

¹ D(2019)42745.

collaboration with DG ITEC's services and via the joint DG TRAD-ITEC Coordination Committee (COCOM) continues. Some development work is entrusted to external IT engineering firms. Furthermore, newly recruited IT staff receive mentoring and internal training. In addition, the DG is building a culture of knowledge transfer supported by relevant training. DG TRAD will continue efforts to sign service-level agreements and develop up-to-date communication protocols.

Risk 4 – Finance – Risk of serious budgetary cut-backs and a lack of appropriations

Classification	Strategy
Low	Mitigate

Description: Budgetary resources may become scarce, in particular during periods of high workload at the end of the legislature, owing to the inability to control sudden peaks in translation demand.

Action plan: Budget implementation is closely monitored by the Financial Resources Management and Controls Unit of DG TRAD, which sends regular reports to the senior and middle management of Directorate A (Support and Technological Services for Translation) to assist them in their duties as authorising officers by delegation. In addition, the DG has

invested much effort over recent years in analysing and anticipating translation demand in order to improve the planning of budgetary needs.

Risk 5 – Human resources – Risk of failure to ensure a sufficient and qualified workforce

Classification	Strategy
Medium	Mitigate

Description: 2019 presented challenges when it came to recruiting staff for certain languages. It also continued to be very difficult to attract new staff in the IT domain and in the SC category, but not limited to these two only, to Luxembourg, which is considered by laureates to be an expensive place.

Action plan: In addition to EPSO selection procedures, DG TRAD is actively considering tailor-made selection procedures, as well as applying derogations and using temporary and contractual agents. Harmonisation of the formalised transfer of knowledge (handover files) and the mapping of knowledge (knowledge pyramids, skills databases) will continue. In the context of PPP 6, 'Connecting with Academia', DG TRAD will develop and intensify its cooperation with partner universities.

2.2. Key results and progress towards achieving objectives

OUTPUT

The table below gives an overview of output in 2019 compared with 2018.

Number of pages produced² in-house or externally – 2019 vs 2018

	2019	2018	Change
Pages (in-house)	1,299,288	1,798,231	-28%
Documents (in-house)	163,741	204,900	-20%
Pages (external)	299,537	931,139	-68%
Documents (external)	6,067	20,015	-70%
Total pages	1,598,825	2,729,370	-41%
% pages (in-house)	81.3%	65.9%	23%
% pages (external)	18.7%	34.1%	-45%
Verbatim report (CRE) pages	30,789	37,716	-18%
Verbatim report (CRE) documents	830	890	-7%
Total pages	1,629,615	2,767,086	-41.1%

DG TRAD's output corresponds to the total number of standard/gross pages produced by the DG, including editing, revision or other tasks treated as revision (formatting, transcription of verbatim reports), and other tasks (terminology, central alignment, summaries, moderation).

The fall in output from 2018 to 2019 was due to the cyclical nature of translation demand, which is closely linked to parliamentary activity. Demand linked to legislative work was very low during the European Parliament electoral campaign and the first months of the legislative term which began in July 2019.

A closer analysis shows that output was still exceptionally high from January to March; 54 % of output in 2019 was concentrated in the first quarter of the year. After this period, output

decreased and remained at a low level until the end of 2019.

The following three key performance indicators (KPIs), comparing the internal output and the internal demand levels recorded in 2019 with the language units' capacity, confirm that the workload for the language units in 2019 was moderate:

KPI – Internal output vs capacity

Relationship between output in net pages and the capacity of each language unit, calculated by multiplying unit staff numbers by the number of net pages per year. According to this definition of capacity, the number of actual working days is assumed to be 199 and the number of net pages 8 per day. The benchmark for this KPI is 8 net pages per translator per day.

Year	Internal
2019	7.3
2018	9.6

² The term 'produced' is preferred here to 'translated' in order to allow for the work involved in the verbatim report of proceedings.

KPI – Internal demand vs capacity

Relationship between the requested target volume in net pages and the capacity of each language unit, calculated by multiplying unit staff numbers by the number of net pages per year. According to this definition of capacity, the number of actual working days is assumed to be 199 and the number of net pages 8 per day. The benchmark for this KPI is 8 net pages per translator per day.

Year	Internal
2019	7.3
2018	9.5

KPI – Output vs demand

Compares output with the requested target volume, expressed in net pages. The aim is to determine whether output is in balance with demand. The benchmark range is 98 % to 102 %

Year	Internal (%)	External (%)
2019	99.7	99.6
2018	100.3	100.1

The indicator below shows that outsourced output followed the general trend and was significantly lower than in 2018. The only exception was the month of January, with an outsourcing rate of almost 40 % of the monthly output.

KPI – Outsourcing score

Shows the actual outsourcing rate, namely the number of outsourced pages out of the total output. The benchmark yearly outsourcing rate is an average of up to 30 %, but seasonal fluctuations naturally occur, given the need to balance the in-house workload.

Year	%
2019	17.8
2018	32.4

Pre-processing

Automated pre-processing of documents by the SPA application (Safe Protocol Automation) makes it possible, as soon as a translation request has been received, to create a self-alignment of the document for page count purposes, analyse the text to determine which segments are already available in translated form in the Euramis database (European Multilingual Information System), download all relevant files, create

translation memories, pre-translate text, and supply all of the above to the language units and the External Translation Unit, enabling considerable savings to be made.

In 2019, almost all outsourced output was pre-processed (99.26%), along with 91.52% of in-house output. The reuse rate for analysed in-house/outsourced output (48.29 %/43.58 %) and the recorded reuse rate for total in-house/outsourced output (34.90 %/39.20 %) remained stable compared with last year.

Based on the pre-processing data, potential outsourcing-related savings totalled EUR 2 579 938 in 2019, compared with EUR 8 079 368 in 2018, i.e. a fall of 68.1 %. This substantial fall in potential savings is largely explained by the steep reduction in the number of pages outsourced in 2019 compared to 2018 (-68 %), and not because of a fall in re-use capabilities.

Deadlines and compliance with the Code of Conduct on Multilingualism

The targets for compliance with the Code of Conduct were, in overall terms, met in 2019, as can be seen from the following three indicators:

KPI – Mutual compliance with the Code of Conduct

Shows the percentage of translations booked out on time for clients complying with the Code of Conduct. This KPI applies only to documents covered by Article 10.1 and 10.2 of the Code of Conduct on Multilingualism. The target score for this KPI is a minimum of 98 %.

Year	Internal (%)	External (%)
2019	98.7	99.0
2018	98.2	98.7

KPI – DG TRAD's compliance with the Code of Conduct when clients breach the Code

Shows the percentage of translations booked out on time for clients breaching the Code of Conduct. This KPI applies only to documents covered by Article 10.1 and 10.2 of the Code of Conduct on Multilingualism. The target score for this KPI is a minimum of 98 %.

Year	Internal (%)	External (%)
2019	98.8	96.6
2018	98.4	97.8

KPI – Late translations

Shows the number of translations booked out after the negotiated deadline as a percentage of the total number of translations, taking into account a technical margin of 30 minutes. The target is 0 % with a tolerance level of 5 %

Year	Internal (%)	External (%)
2019	1.0	1.1
2018	1.4	1.2

Production costs

Production costs increased significantly in 2019 compared with 2018, as the KPI 2 indicator shows.

KPI – Average page cost

Measures the in-house and external page cost for each target language. The KPI is based on the KIAP interinstitutional cost model.

Year	In-house	External
2019	183.52	100.23
2018	129.85	67.32

For pages translated in-house, the output in 2019 was lower than in 2018, but the overall production costs remained roughly the same. Therefore, the price per in-house page was higher in 2019 than in the previous year.

For pages translated externally, it should be noted that the external cost does not only include the payments to the contractors, but also the internal costs of managing outsourcing (staff in the External Translation Unit, staff in the language units, staff in horizontal units, building costs and IT). In 2019, the external output was lower than in 2018, but the internal costs related to outsourcing remained stable. As a result, the price per external page was higher.

Production related to new services

The creation and transformation of the non-procedural units is also a result of the work of focus groups and working groups, set up to help implement the PPP projects. In this context, the Working Party on Streamlining Translation Workflow has discussed and proposed possible solutions to various issues connected to the establishment of the non-procedural units.

Within the framework of PPP Project 1, the Clear Language and Editing Unit provided clear language assistance in 2019. In agreement and cooperation with the Committee on Petitions (PETI), 30 standard letters were redrafted in clear language. Mindful of the importance of using clear language when communicating with citizens, the PETI Committee asked for the unit's linguistic assistance in redrafting letters addressed to petitioners.

As part of the My House of European History project, 160 stories were contributed and moderated in 2019 via the project's internet platform. Of those 160 stories, 140 were published on the platform.

As regards subtitling, several videos were subtitled in 2019 and numerous training sessions have already been organised. After two training sessions in November 2018, 10 intensive training sessions with an average of 12 participants per session took place in January and February 2019. December 2019 marked the start of a new series of introductory and expert subtitling courses for translators and ILPs.

The Audio and Podcast Unit, which evolved from the Audio Capacity Service, continued the planning and production of audio content for

broadcasting through the adaptation, localisation, translation, recording and production of original texts from the Directorate-General for Communication and the Directorate-General for Parliamentary Research Services, with the help of the procedural and non-procedural units.

The 2019 electoral campaign efforts were supported through the production of almost 9 000 short audio files, which provide information for EU citizens on how the EU benefits them in their daily lives. These podcasts were disseminated on the Citizens' App, on the 'What Europe does for me' website, and in daily broadcasting schedules. In Lithuania, Slovenia and Romania, they were broadcast daily to an audience of approximately two million listeners during the campaign. Other audio products in 2019 included: Flash News – short daily news bulletins in 24 languages (more than 5 800); 160 other podcasts in six languages (almost 1 000); and three longer productions in the context of the My House of European History project in 24 languages. In total, the Audio and Podcast Unit produced almost 15 800 audio products in 2019.

QUALITY

In the context of DG TRAD's objective to provide MEPs and Parliament's services with timely and high-quality multilingual services and products, the following key results and progress can be noted in the area of quality assurance and control.

Progress and results of quality-related projects

In 2019, DG TRAD conducted two calls for tender for German, Spanish, Polish, Romanian, Croatian and Irish, implementing

the 2017-2019 PPP Project 4 on establishing a system of accreditation for external translators. DG TRAD also launched and conducted a further two calls for tender for the other target languages. The measures intended to improve the quality of outsourced translations include:

- enhanced quality control by the language units;
- reinforced contractual consequences in the event of sub-standard quality;
- improved selection and award criteria, including, for the pilot languages, testing of the translation ability (accreditation) of the translators who will perform the translations;
- for the pilot languages, the dynamic ranking of contractors, periodically updated on the basis of the quality scores of each assignment.

DG TRAD's quality policy was reviewed and quality-related guidelines streamlined and consolidated into one concise and informative Quality Handbook. The handbook was made available in print, PDF and web format and information sessions were launched to raise awareness of it.

In the context of both the accreditation pilot project (PPP Project 4) and the quality project (PPP Project 2) for 2017-2019, the quality evaluation process was redesigned and new evaluation tools were tested. In 2019, the focus was on fine-tuning the methodology to be applied to the outsourcing contracts from 2020 for all target languages. To prepare for this change, a pool of internal trainers was created, the evaluation tool was tested extensively and training material was prepared in various formats. The first training courses on the new

evaluation methodology were run in December 2019.

In its efforts to promote better originals, which are a prerequisite for timely and high-quality translations, DG TRAD continued its close cooperation with requesting services by liaising with them in the event of queries. In 2019, the Quality Coordination Unit dealt with 1 381 queries about original documents (compared with 1 871 queries in 2018).

Results of the quality control of outsourced and in-house translations

In 2019, the DG continued its policy of monitoring the quality of outsourced translations, using harmonised quality indicators for each contractor.

The main indicators used are as follows (figures as at end November 2019):

Number of outsourced translations assessed by the language units	209
Number of outsourced translations considered unacceptable	29
Number of financial penalties imposed	18

During the period from January to September 2019, random quality checks were carried out on a total of 1 565 translations in all languages (in 2018, the number of translations checked over the same period was 2 040). For 43 of those translations, or 2.75 % of the sample, the quality was found to be unacceptable (as against 40 or 1.9 % in 2018).

Complaints and feedback instances

In 2019, the Quality Coordination Unit registered 1 999 complaints and feedback instances (compared with 2 794 in 2018), of which 437 (compared to 631 in 2018) pertained to translations, 1 381 (compared to 1 871 in 2018) pertained to originals and 181 related to

other issues (compared to 292 in 2018). The feedback on originals came mainly from the staff of DG TRAD translating the documents whereas the feedback on translations came from the end-users or requesters of translations (e.g. citizens, MEPs, other DGs of the EP). The feedback figures include any type of feedback including the positive recognition of work. The unit also handled 3 547 requests (3 508 in 2018) to replace delivered translations with new, corrected versions.

IT

DG TRAD invests in IT development on an ongoing basis, as its ability to deliver high-quality translations and other services, within the deadlines set and in a resource-efficient way, depends on efficient and user-friendly IT tools.

2019 presented many varied challenges. Technologies never used before were implemented, such as cloud hosting and establishing access to the internal network for external users. A new outsourcing tool (IRIS) was procured, customised and integrated successfully with DG TRAD's workflow applications and with the new Financial Management System (FMS) to allow for a smooth operational start to 2020. It provides a basis for DG TRAD to outsource translations efficiently and answers the DG's needs in terms of handling new contracts under the accreditation pilot project, as well as the revised framework contracts for the remaining source languages.

In 2019, DG TRAD initiated a project in close cooperation with DG ITEC aimed at exploring the potential benefits of artificial intelligence-

based solutions for DG TRAD. Artificial intelligence potential-use cases, for workflows in particular, were analysed for suitability and potential benefits. The most promising – augmented work allocation – will be further explored during 2020 in a proof of concept. The establishment of the non-procedural units required special attention owing to the flexible nature of their work.

The development of SPA+ (a pre-processing tool) has continued as planned and since the end of 2019, all translation requests have been pre-processed using this system. Maintenance work and incremental improvements with regard to the other IT applications, handled internally (Cat4Trad, StudioTwist and Studio, Sirius), have further increased the stability and efficiency of DG TRAD's IT working environment.

In 2019, the Business Analyst (BA) Cell actively participated in the operational implementation of the 2017-2019 PPP on accreditation. It also contributed to the design of the TO-BE editing workflow for parliamentary questions, the business case for a workflow to handle confidential documents and the provision of a number of potential-use cases for DG TRAD's PPP on artificial intelligence. As DG TRAD's coordinator of the IT Programme procedure, the BA Cell successfully undertook the new step of providing a cost-benefit analysis of possible candidates, ensuring that those that were top priority were included in the 2020 programme, while proposing solutions for the delivery of others.

Mobile working has evolved significantly: occasional teleworking is booming and a VDI platform specially designed for DG TRAD users

and featuring specific translation tools is in production. Hybrid computers have been deployed to staff who move around frequently and a further 300 will be distributed in 2020.

The DG TRAD Service Desk provides support and training on conducting and recording virtual classes, in particular to facilitate collaboration with universities. The Self-Service Support page is evolving constantly, enabling clients to be less dependent on the Service Desk and providing 24/7 support on key issues. During the course of 2019, the DG TRAD Service Desk processed 12 003 tickets relating to incidents reported and requests submitted by DG TRAD users.

IATE and terminology

A new version of the IATE terminology database was launched at the end of February 2019. The Terminology Coordination Unit (TermCoord) participated actively in the related taskforce meetings and testing. In addition, the team continued with its core activities – compiling terminology projects and creating terminology jobs for terminologists in the language units, feeding IATE, providing relevant training, and communicating with the other EU institutions on terminology matters. In line with the aim of cooperating more closely with universities, TermCoord stepped up its IATE projects with universities, including cooperation in the field of Masters' degrees in terminology.

As part of PPP Project 5 (2017-2019) on further widening DG TRAD's offer of linguistic services, TermCoord responded to requests from different DGs and units within DG TRAD for terminology support and cooperated with

the Directorate-General for Logistics and Interpretation for Conferences (DG LINC) in providing relevant terminology for interpreters. TermCoord was also active in providing the business knowledge necessary for the integration of terminology tools into the CAT environment.

TermCoord team members represented DG TRAD at various international conferences such as JIAMCATT and the EFTA Summit.

PROMOTING MULTILINGUALISM AND ENSURING SUCCESSION PLANNING

With the aim of raising DG TRAD's profile as an attractive employer and promoting multilingualism, a number of communication initiatives were taken in 2019. These included:

- Co-organising and providing extensive input into the third edition of Parliament's Multilingualism Day. The aim of the event is to highlight multilingualism as a core value of the European Union and raise awareness about the role linguists play in ensuring the institutions are open, democratic and accessible. The event also furthers the aim of connecting with citizens and supports DG TRAD's Citizens' Language game-changer project. Over 2 600 visitors participated in the event;
- Making an active contribution to Parliament's open days in Brussels and Strasbourg and the Fête de l'Europe in Luxembourg to support the aims of the aforementioned projects;
- Co-organising and sponsoring an event in Vienna (TRANS2019 – 'Translating and Interpreting for Public Institutions' summer

academy) attended by a total of 50 students and professors from 11 countries;

- Participating in the DRONGO language festival in the Netherlands, where representatives of DG TRAD interacted with policymakers and the public to highlight the importance and relevance of linguistic opportunities and careers;
- Further developing and extending DG TRAD's cooperation with universities through meetings between university students and DG TRAD staff and the launch of a virtual classroom project, which sees experienced staff translators provide remote coaching and teaching via web platforms to targeted groups of masters students. The initial feedback on the two pilot schemes (with universities in Greece and Lithuania) is very positive.

INTERINSTITUTIONAL COOPERATION

International Annual Meeting on Language Arrangements, Documentation and Publications (IAMLADP)

DG TRAD was responsible for:

- Organising the IAMLADP University Contact Group event entitled 'Linguists in International Organisations' for students in Geneva. 18 senior language professionals from nine international organisations talked about opportunities for linguists in international organisations and the skills and competences that are required. The event was attended by a total of 150 translation and interpreting students and allowed staff from different organisations to network and set benchmarks;
- Chairing the annual meeting of the IAMLADP University Contact Group in

Brussels in April 2019. The group liaises with international organisations and universities on behalf of IAMLADP;

- Co-hosting the annual IAMLADP meeting in Brussels in May 2019. The event was attended by 200 representatives from 80 different international organisations.

Executive Committee for Translation (ECT) and Interinstitutional Committee on Interpretation and Translation

DG TRAD continued to contribute to the work of these bodies with a particular emphasis on cooperation on translation tools, technology and recruitment. In addition, work continued on the benchmarking of KPIs between the institutions and on joint communication and outreach projects.

RESOURCES MANAGEMENT



3. Resources management

3.1. Human resources

In 2019, DG TRAD started to expand the range of services it offers, which had an impact on the management of its human resources.

The new missions of DG TRAD led to the creation of the new job profile for AD linguists (that of 'Intercultural and Language Professional', ILP) and the creation of new units and services in September 2019. In these units, which focus on non-procedural linguistic assignments, each of the official languages is covered by two ILPs and one proofreader. The staffing of these units started with an internal call for expressions of interest for officials working inside DG TRAD, which was launched in summer 2019 and resulted in the internal transfer of 20 AD linguists and 10 assistants. The posts that were not filled via the abovementioned call were subsequently published in several waves, starting in October 2019.

Another AST profile (Translation Technical Support Assistant) was created in 2019 to meet DG TRAD's specific need to combine IT technical skills with linguistic skills.

With regard to the Irish Translation Unit, the DG continued its efforts to recruit further staff. By the end of 2019, three AD and one AST posts were yet to be filled, which was due not only to the insufficient number of successful EPSO candidates, but also to a relatively high turnover of the existing staff. Given the continuing difficulties in finding language professionals for Irish, DG TRAD has decided

to organise an internal competition, which is planned for the first half of 2020.

The mobility exercise continued in 2019 and a mobility solution was found for nine ASTs and eight ADs.

The Human Resources Unit also continued to provide career guidance through the Network of Local Career Guidance Officers (RELOPs), organised temporary placements and loans (mainly intra-DG), and ensured the good management of its structural teleworking scheme (121 teleworkers as at December 2019).

DG TRAD's participation in Parliament's Career Days event in 2019 was carefully prepared using the internal resources of the then Audio Capacity Service (recordings of colleagues in DG TRAD explaining why they appreciate their job were presented to interested colleagues from other DGs).

The HR Unit helped the Inventory Property Managers (GBIs) to organise the relevant moves in order to empty the Annex of the 'Tower B' building in the first half of 2019, occupied previously by approximately 120 TRAD colleagues. The moves continued with the emptying of the first five floors of the 'Tower B' building in the second half of 2019 (more than 150 moves). At the same time, the third floor of the Adenauer building was prepared to welcome the colleagues of the

non-procedural units (more than 130 moves involved).

DG TRAD also continued to monitor staff absenteeism on a regular basis. In 2019, the rate of absenteeism increased slightly in comparison with 2018, as shown in the table on the right.

KPI – Absenteeism

The absenteeism KPI compares the number of sick leave days, certified or uncertified, against the number of working days by unit or service during a certain period. Missions, annual leave, overtime and extra time are not taken into account.

Year	Internal (%)
2019	5.3
2018	4.9

ESTABLISHMENT PLAN

	on 01/01/2019			
	AD	AST	AST/SC	Total
Permanent posts	736	351	15	1102
Temporary posts	0	0	0	0
Total	736	351	15	1102

	on 01/01/2018			
	AD	AST	AST/SC	Total
	736	366	14	1116
	0	0	0	0
Total	736	366	14	1116

STAFF NUMBERS ON 31/12/2019

Officials	666	312	15	993
Temporary staff	42	20	5	67
- in temporary posts	0	0	0	0
- in permanent posts	14	8	5	27
- offsetting staff working part time	28	12	0	40
Contract staff	43	14		57
Seconded national experts (SNE)				0
Agency staff				0
Total	751	346	20	1117

3.2. Financial and budgetary management

INITIAL AND FINAL APPROPRIATIONS

DG TRAD's initial budget for 2019 was EUR 10 648 000, and final appropriations totalled EUR 10 013 000.

The EUR 635 000 decrease is due to the budgetary authority's approval of several transfers during the year:

- a transfer in of EUR 200 000 to top up budget line 2105-18 (Computing and telecommunications – TRAD – decentralised IT projects) in order to acquire IT expertise for the 'Speech-to-text and translation for parliamentary meetings' project;
- a transfer in of EUR 160 000 to finance the newly created budget line 1612-05 (Learning and development – external training for DG TRAD);
- in the framework of the two mopping-up exercises, the following transfers out were made:
 - EUR 110 000 from budget line 1404-02 (Translation traineeships for graduates and training courses in translation);
 - EUR 15 000 from budget line 3220-10 (Purchase of books, subscriptions and documentation materials for the language services - translation and terminology);

- EUR 20 000 from budget line 3245-05 (DG TRAD participation in fairs, seminars, symposia, cultural activities and publications);
- EUR 850 000 (in two instalments) from budget line 1420 (External translation services).

FINAL APPROPRIATIONS AND APPROPRIATIONS COMMITTED

Final appropriations as at 31 December 2019 totalled EUR 10 013 000, of which EUR 9 170 552 were committed. The overall rate of utilisation of the appropriations was therefore 91.6 % for 2019, compared with 99.7 % in 2018. This can be explained by a lower-than-expected use of appropriations for external translation services.

APPROPRIATIONS COMMITTED AND PAYMENTS MADE

Payments totalled EUR 5 634 251, which represents a sharp decrease compared with 2018, when payments totalled EUR 13.3 million. The ratio of payments to appropriations was 58 % in 2019 compared with 79 % in 2018. This decrease can be explained by the relatively low weighting in 2019 of the appropriations for external translation compared to DG TRAD's other appropriations (mainly for IT). Indeed, payments relating to external translation are generally paid during the exercise and not carried over, as is the case for a significant proportion of IT expenses.

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

Automatic carryovers to 2019 totalled EUR 3 662 074. As at 31 December 2019, EUR 3 439 840 (94 %) of these automatic carryovers had been paid.

APPROPRIATIONS CORRESPONDING TO ASSIGNED REVENUE

The specific expenditure on appropriations against assigned revenue totalled EUR 43 652 and the rate of utilisation was 74 %.

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The specific expenditure on appropriations against assigned revenue carried over totalled EUR 13 116. Appropriations were almost fully committed during the year (98.3 %), but could not be fully used (EUR 3 270 had to be liquidated).

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



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

4.1. Assessment of the effectiveness and efficiency of internal control

When assessing DG TRAD's internal controls, it should be borne in mind that in terms of budget implementation, the DG's activities generate a relatively limited number of commitments, but a very large number of relatively low-value transactions. Thus, the vast majority of financial documents processed by the DG are suppliers' invoices for outsourced translations. Most of the DG's activities are implemented under the terms of service contracts, for which contractors are selected by means of an appropriate procurement procedure.

All in all, the overall budget of the DG is limited, representing less than 1 % of the European Parliament's budget.

For several years, DG TRAD has opted for a centralised system for the processing of all financial documents, including the verification of public procurement procedures. Financial initiation and verification and 'passing for payment' are centralised in the Financial Resources Management and Controls Unit (FRMCU). The aim of ex ante verifications is not only to ensure compliance with the Financial Regulation and internal rules, but also to generate efficiency gains through the

continuous and systematic assessment of the appropriateness of the internal control systems established by the Authorising Officer. The operational initiation, meanwhile, is done by staff in the operational units.

In view of the nature of the DG's operations and activities, this system appears to be the most efficient, centralising financial expertise and improving the harmonisation of procedures and hence overall control.

In addition, due to its low financial exposure and the specificities of its core activities, the supervision of the overall internal control framework rests with a limited number of key players (senior management, the risk manager (Adviser to the Director of Resources) and the internal controller (Head of the Financial Resources Management and Controls Unit)). As the risk manager and internal controller are almost always systematically informed and/or associated with any new developments or new activities within DG TRAD, they can guarantee that the issue of internal control is duly taken into consideration. This supervision is mostly informal (regular contact and exchange with advisers, support and advice to the units, regular meetings on the consumption of major budget lines) or more formal (e.g. workshops on risk assessment, presentation to units, revision of procedures in view of the

implementation of the FMS or of the new outsourcing tool).

As regards the implementation of the Internal Control Framework, DG TRAD has changed its approach compared with the previous year. The DG launched a survey to gather information on how its staff perceive the implementation of eight internal control standards.

- Standard 2 - Ethical and organisational values
- Standard 3 - Allocation of staff and mobility
- Standard 6 - Planning and risk management
- Standard 7 - Operational set-up
- Standard 8 - Processes and procedures
- Standard 9 - Management oversight
- Standard 10 - Business continuity
- Standard 11 - Document management

The selection of these standards was agreed with the Director of Resources and aimed at targeting two (Standards 10 and 11) of the three standards from the 2018 assessment that had not been fully met and other standards that were considered to have been met and for which feedback from staff was deemed relevant.

For the eight remaining standards, it was decided to keep the assessment from last year as they were considered to have been fully implemented and had not undergone any significant changes.

DG TRAD has 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 continuously assesses the effectiveness and efficiency of the internal control systems with a view to ensuring that they are functioning as expected and that any detected weaknesses are corrected.

4.2 Assessment of the costs and benefits of the controls

Owing to the limited size of its budget, which represents less than 1 % of the overall budget of the European Parliament, and the limited risk posed by the DG's operations, no ex post controls are carried out.

As described above, the main control activities (ex ante verification, support for procurement procedures and call for proposals and contact with the auditors) are carried out by the Financial Resources Management and Controls Unit. Their costs correspond to the staff costs for a team of four full-time agents.

Total estimated costs of checks ³	Budget managed*	Ratio (%)
401 000	13 731 842	3 %

The outcome of the key financial checks carried out is positive. In the light of the resources deployed, the checks in place are considered to be cost-effective.

³ * = final appropriations for 2019 (B) + automatic carryovers from 2018 to 2019 (M) + appropriations from assigned revenue in 2019 (W) + assigned

revenue carried over to 2019 (X) as reported in Annex a.

4.3 Summary of internal and external audits

In 2019, no new internal audit report concerning DG TRAD was adopted. Based on the outcome of the transversal follow-up of open actions carried by the internal auditor, only two actions remained open (Actions 4 and 5 from Audit Report No 17/06 - audit of the

procurement and contract implementation in the area of external translation). Of these two agreed actions, only one presented a significant residual risk:

- Action 5: Introduction of a revised 'certified correct' procedure

This action will be fully addressed by the operational services in the course of 2020.

STATEMENT OF ASSURANCE

5

5. Statement of assurance

I, the undersigned, Valter MAVRIČ

Director-General of the Directorate-General for Translation

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 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 **Luxembourg**

On **06/04/2020**



Signature

ANNEXES

6

6. Annexes

a. Budgetary implementation overview

Code	Appropriation type	EUR or %	Formula
Appropriations for 2019			
A	Initial appropriations	10 648 000	
B	Final appropriations	10 013 000	
C	Commitments	9 170 552	
D	Commitments as % of final appropriations	92 %	D=C/B
E	Payments	5 634 251	
F	Payments as % of commitments	61 %	F=E/C
G	Cancellations of 2019 final appropriations	842 448	G=B-C-K
H	Cancellations of appropriations as % of final appropriations	8 %	H=G/B
Appropriations carried over from 2019 to 2020			
I	Automatic carry overs from 2019 to 2020	3 536 301	I=C-E
J	Automatic carry overs from 2019 to 2020 as % of commitments	39 %	J=I/C
K	Non-automatic carry overs from 2019 to 2020	0	
L	Non-automatic carry overs from 2019 to 2020 as % of final appropriations	0 %	L=K/B
Appropriations carried over from 2018 to 2019			
M	Automatic carry overs from 2018 to 2019	3 662 074	
N	Payments against automatic carry overs from 2018 to 2019	3 439 841	
O	Payments against automatic carry overs from 2018 to 2019 as % of automatic carry overs from 2018 to 2019	94 %	O=N/M
P	Cancellations of automatic carry overs from 2018 to 2019	222 234	P=M-N
Q	Cancellations of automatic carry overs from 2018 to 2019 as % of automatic carry overs from 2018 to 2019	6 %	Q=P/M
R	Non-automatic carry overs from 2018 to 2019	0	
S	Payments of non-automatic carry overs from 2018 to 2019		
T	Payments of non-automatic carry overs from 2018 to 2019 as % of non-automatic carry overs from 2018 to 2019	-	T=S/R
U	Cancellations of non-automatic carry overs from 2018 to 2019		U= R-S
V	Cancellations of non-automatic carry overs from 2018 to 2019 as % of non-automatic carry overs from 2018 to 2019		V=U/R
Assigned revenue in 2019			
W	Appropriations from assigned revenue in 2019 (current)	43 652	
X	Assigned revenue carried over to 2019	13 116	
Y	Balance of commitments on assigned revenue carried over to 2019	14 534	
Z	Payments in 2019 against appropriations from assigned revenue (current and carried over)	40 938	
AA	Payments in 2019 against appropriations as % of assigned revenue (current and carried over)	57 %	AA=Z/(W+X+Y)

b. 2019 Budget implementation statement

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)

Non-automatic carryovers as at the end of December - Financial year 2019 (nature 6)
3. Specific expenditure appropriations/assigned revenue as at the end of December - Financial year 2019 (nature 7)
4. Specific expenditure appropriations/assigned revenue carried over as at the end of December - Financial year 2019 (nature 5)
5. Specific expenditure commitments/assigned revenue carried over as at the end of December - Financial year 2019 (nature 3)
6. Specific expenditure appropriations/external assigned revenue as at the end of December - Financial year 2019 (nature 9)

DG TRAD - ANNEX B.1. - CURRENT APPROPRIATIONS - 2019 FINANCIAL YEAR (NATURE0)

BUDGET POST	TITLE	INITIAL APPROPR.	TRANSFERS	FINAL APPROPR.	COMMITMENTS	% USED	PAYMENTS	BALANCE OF COMMITMENTS	AVAILABLE APPROPR.
01404-02	Graduate traineeships, grants and exchanges of officials: translation traineeships for graduates and training courses in translation	200 000	-110 000	90 000	88 494.17	98.33	88 494.17	0.00	1 505.83
01420-00	External translation services	5 000 000	-850 000	4 150 000	3 400 342.56	81.94	2 997 542.20	402 800.36	749 657.44
01612-05	Learning and development	0	160 000	160 000	159 854.00	100.00	123 693.26	36 160.74	146.00
02103-18	Computing and telecommunications – business-as-usual operations – management of ICT applications: DG TRAD applications and its interinstitutional cooperation activities for language tools	2 993 000	0	2 993 000	2 948 082.13	98.50	1 683 324.96	1 264 757.17	44 917.87
02105-18	Computing and telecommunications — investment in projects: DG TRAD - decentralised IT projects	2 282 000	200 000	2 482 000	2 467 414.78	99.41	636 608.66	1 830 806.12	14 585.22
03220-10	Documentation expenditure: purchase of books, subscriptions and documentation materials for the language services - translation and terminology	90 000	-15 000	75 000	71 450.34	95.27	71 450.34	0.00	3 549.66
03245-05	Organisation of seminars, symposia and cultural activities: DG TRAD participation in fairs, seminars, symposia, cultural activities and publications	83 000	-20 000	63 000	34 914.09	55.42	33 137.59	1 776.50	28 085.91
TOTAL		10 648 000	-635 000	10 013 000	9 170 552.07	91.59	5 634 251.18	3 536 300.89	842 447.93

DG TRAD - ANNEX B.2. AUTOMATIC CARRYOVERS- 2019 FINANCIAL YEAR (NATURE 2)							
BUDGET POST	TITLE	INITIAL APPROPR.	FINAL APPROPR.	COMMITMENTS	PAYMENTS	% USED	AVAILABLE CREDITS
01404-02	Graduate traineeships, grants and exchanges of officials: translation traineeships for graduates and training courses in translation	38 665.38	38 665.38	38 665.38	11 711.53	30.29	26 953.85
01420-00	External translation services	1 472 165.98	1 472 165.98	1 472 165.98	1 465 729.75	99.56	6 436.23
02103-18	Computing and telecommunications – business-as-usual operations – management of ICT applications: DG TRAD applications and its interinstitutional cooperation activities for language tools	1 225 041.42	1 225 041.42	1 225 041.42	1 119 553.02	91.39	105 488.40
02105-18	Computing and telecommunications — investment in projects: DG TRAD - decentralised IT projects	893 868.21	893 868.21	893 868.21	830 710.99	92.93	63 157.22
03220-10	Documentation expenditure: purchase of books, subscriptions and documentation materials for the language services - translation and terminology	15 795.04	15 795.04	15 795.04	3 605.24	22.83	12 189.80
03245-05	Organisation of seminars, symposia and cultural activities: DG TRAD participation in fairs, seminars, symposia, cultural activities and publications	16 538.29	16 538.29	16 538.29	8 530.00	51.58	8 008.29
TOTAL		3 662 074.32	3 662 074.32	3 662 074.32	3 439 840.53	93.93	222 233.79

DG TRAD - ANNEX B.3. NON-AUTOMATIC CARRYOVERS - 2019 FINANCIAL YEAR (NATURE 6)

BUDGET POST	TITLE	INITIAL APPROPR. TRANSFERS	FINAL APPROPR. COMMITMENTS	% PAID	BALANCE OF COMMITMENTS AVAILABLE	CREDITS
TOTAL		0.00	0.00	0.00	0.00	0.00

DG TRAD - ANNEX B.4. SPECIFIC EXPENDITURE APPROPRIATIONS/ASSIGNED REVENUE - 2019 FINANCIAL YEAR (NATURE 7)

BUDGET POST	TITLE	TRANSFERS	CUMUL	FINAL APPROPR.	COMMITMENTS	%	PAYMENTS	BALANCE OF COMMITMENTS	AVAILABLE CREDITS
01420-00	External translation services	0.00	43 652.08	43 652.08	32 200	73.77	21 427.87	10 772.13	11 452.08
TOTAL		0.00	43 652.08	43 652.08	32 200	73.77	21 427.87	10 772.13	11 452.08

DG TRAD - ANNEX B.5. SPECIFIC EXPENDITURE APPROPRIATIONS/ASSIGNED REVENUE CARRIED OVER - 2019 FINANCIAL YEAR (NATURE 5)

BUDGET POST	TITLE	INITIAL APPROPR.	FINAL APPROPR.	COMMITMENTS	PAYMENTS	% PAID	BALANCE OF PAYMENTS	AVAILABLE APPROPR.
01420-00	External translation services	12 900.82	12 900.82	9 845.43	4 978.59	50.57	4 866.84	3 055.39
03245-05	Organisation of seminars, symposia and cultural activities: DG TRAD participation in fairs, seminars, symposia, cultural activities and publications	215.00	215.00	0.00	0.00	0.00	0.00	215.00
TOTAL		13 115.82	13 115.82	9 845.43	4 978.59	50.57	4 866.84	3 270.39

DG TRAD - ANNEX B.6. SPECIFIC EXPENDITURE COMMITMENTS/ASSIGNED REVENUE CARRIED OVER - 2019 FINANCIAL YEAR (NATURE 3)

BUDGET POST	TITLE	CARRIED OVER APPROPR.	FINAL APPROPR.	COMMITMENTS	PAYMENTS	% USED	BALANCE TO PAY
01420-00	External translation services	14 534.44	14 534.44	14 534.44	14 531.44	99.98	3.00
TOTAL		14 534.44	14 534.44	14 534.44	14 531.44	99.98	3.00

DG TRAD - ANNEX B.7. SPECIFIC EXPENDITURE APPROPRIATIONS/ASSIGNED REVENUE - 2019 FINANCIAL YEAR (NATURE 9)

BUDGET POST	TITLE	INITIAL APPROPR.	FINAL APPROPR.	COMMITMENTS	PAYMENTS	% PAID	UNPAID	UNCOMMITTED
TOTAL		0.00	0.00	0.00	0.00		0.00	0.00

c. List of exceptions - derogations from the rules

LIST OF EXCEPTIONS TO PROCEDURE

DECISIONS TO MAKE AN EXCEPTION TO THE APPLICABLE PROCEDURES AND RULES							
DOCUMENT REF.	RELEVANT AUTHORISING OFFICER	SUBJECT	AMOUNT	VERIFIER'S OPINION	VERIFIER'S OPINION	DECISION	DECISION
FINORD REF., CONTRACT, ETC.				FAVOURABLE WITH STATEMENT/ UNFAVOURABLE	JUSTIFICATION	RELEVANT AUTHORISING OFFICER	JUSTIFICATION
ED 80077 and ED 80078	J. RICHTER	Negotiated procedure with only one economic operator for the purchase of a business and translation management tool	563 600	Unfavourable	The tender procedure was chosen - Launch of a negotiated procedure with only one economic operator without prior publication of a contract notice (instead of an open call for tenders provided for by the Financial Regulation for the corresponding value of the market)	J. RICHTER	The Authorising Officer by Sub-Delegation formally justified his decision (GEDA (2019) 17214) on the grounds of the urgent need to ensure external translation business continuity. Two overrule decisions were recorded because the appropriations committed came from two different IT budget lines (2103-18 and 2105-18).
OD 904/162	A. PETTINI	Reimbursement of fees for an external training course	2 496.64	Unfavourable	A posteriori commitment	A. PETTINI	Overrule decision - New budget established in March 2019 - Stringent deadlines for enrolment on an external training course.

WAIVERS/CANCELLATIONS OF RECEIVABLES

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

d. Results of assessments

DG TRAD does not conduct ex-post evaluations of its activities.

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					
Section 4: Operations and control activities					
7. Operational set-up					
8. Processes and procedures					

STANDARD	ACHIEVED	ALMOST	PARTLY	STARTED	TO BE STARTED/N.A.
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					

Method used: As regards the implementation of the Internal Control Framework, DG TRAD changed its approach compared with the previous year. The 2019 annual self-assessment covered all standards, but focused on the following eight standards, which were specifically covered in a survey on how DG TRAD staff perceived the implementation of the following eight internal control standards.

- Standard 2 - Ethical and organisational values
- Standard 3 - Allocation of staff and mobility
- Standard 6 - Planning and risk management
- Standard 7 - Operational set-up
- Standard 8 - Processes and procedures
- Standard 9 - Management oversight
- Standard 10 - Business continuity
- Standard 11 - Document management

The selection of these standards was agreed with the Director of Resources (and validated by the Director-General) and focused on two of the three standards from the 2018 assessment that had not been fully achieved and other standards considered to have been met and for which feedback from staff was deemed relevant.

For the eight remaining standards, it was decided to keep the assessment from last year as they were considered to have been fully implemented and had not undergone any significant changes.

The survey was carried out in the beginning of 2020 to take stock of the situation at the end of 2019. Among the 1119 active staff members invited to take part in the survey, there were different sub-groups i.e.

management staff and respondents from the language units. The survey contained 68 questions. The response rate was 22 %, which is deemed satisfactory given that publicity was limited.

At the time this report is being drafted, only preliminary results are available and no action plan has been drawn up by the management team. Nevertheless, it has been decided to reclassify one internal standard from achieved to almost achieved.

The situation of the minimum internal control standards is as follows:

Standards assessed as ‘achieved’ – good practices

12 of the 16 minimum standards are considered to have been fully implemented as at 31.12.2019.

Good practices followed include in particular:

- clear and regular communication, using various media, on staff tasks and objectives (Standard 1);
- proactive measures to encourage DG TRAD staff mobility, such as familiarisation visits to units, temporary placements and loans of staff members (Standard 3);
- specific training sessions run by the Director-General on the annual staff reports exercise (Standard 4);
- the use - since 2010 - of regularly reviewed performance indicators (Standard 5);
- regular and systematic reviews of the risk register so as to reflect changes affecting the DG and its remit (Standard 6);

- the drawing up of an IT governance plan setting out the roles and responsibilities of the key information system stakeholders (Standard 7);
- concentrating key financial and accounting operations plus the groundwork for, and checks on, tendering procedures within a single finance unit (Standard 8);
- regular meetings - every Thursday during part-session weeks - of all managers in the DG (directors, heads of unit and advisers) plus an annual meeting between the Director-General and the members of each unit in the DG (Standard 9);
- laying down and implementing a Communications Management Plan for all projects and changes that are expected to have major DG- or Directorate-wide implications (Standard 12);
- regular meetings on financial management and the monitoring of the DG's key budget heading (1420 - External translation services), involving the finance unit, the main operational units and the relevant advisers (Standard 13);
- the use of performance indicators introduced by the DG for regularly assessing and planning the output of language units and the volume of their resources (Standard 14);
- factoring in the internal auditor's comments and recommendations when the annual objectives are set (Standard 16).

Standards assessed as 'almost achieved' – further work required

Based on the preliminary results of the survey, the Standard 2 - Ethical and organisational values has been reclassified as almost achieved.

Improvements could be made regarding raising awareness of requirements and provisions concerning ethics and integrity, of the importance and detection of fraud and of access to and the availability of guidance on ethics.

As regards business continuity (Standard 10), the efforts made by the DG's IT departments in particular have borne fruit. The DG still does not consider the standard to have been fully implemented, owing to the dependence of the DG on the main support DGs, and more particularly DG ITEC (global IT infrastructure dependency, smooth operation of the internet network, etc.).

The results of the survey regarding Standard 11 (document management) were satisfactory (familiarity with the procedures of recording and filing, systematic archiving of important emails, adequate safeguards for hard copies of documents and sensitive/confidential information, knowledge of measures designed to protect personal data). Nevertheless, the standard remains classified as almost achieved as DG TRAD is still waiting for the new Electronic Document Management System (HERMES) to be implemented. The pilot phase in other DGs should start in March 2020, with a gradual roll-out to start in June 2020. The project aims at a full deployment by the end of 2020.

As regards Standard 15 (evaluation of internal control systems), the appointment of an internal control coordinator in October 2018 constituted a positive step towards the strengthening of the internal control framework and additional support is expected from central

services (the first meeting of the Internal Control Coordinators' Network only took place in October 2019). Due to the recent significant changes to the organisation of the DG (establishment of the five new non-procedural units, implementation of IRIS and of the new Financial Management System, revised workflows to integrate quality assessment for external translation), work has to be carried out in 2020 to ensure that the related procedures are adapted accordingly and that new potential internal control weaknesses are detected and remedied.

Standards assessed as 'partly achieved' or 'started' – weaknesses and practices

N/A

Standards assessed as 'to be started' or 'not applicable'

N/A