



# EU decentralised Agencies' report to the European Parliament – standardised questions in the framework of the 2019 Discharge

September 2020

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## 1. Introduction

Following a discussion between the European Parliament and the EU Agencies Network (EUAN) on streamlining the reporting of the Agencies, a so-called standardised questionnaire was introduced in 2016.

The purpose of a standardised questionnaire is to address Parliament's recurring questions in the areas of budget, human resources and conflict of interest. This questionnaire allows the tracking of Agencies' progress in the different areas by putting in place relevant policies and measures.

In the 2019 Discharge process, the standardised questionnaire consists of 23 questions to which Agencies were invited to provide an update.

The EUAN Coordination collected and reviewed the Agencies' replies. Several trends and findings are presented in a comprehensive overview in the first part of this document. Full responses by individual Agencies can be found in Annex I.

## 2. Standardised questions

### 2.1 Budget and financial management and performance

#### ***SQ 3. What were the services shared between the Agencies in 2019, and which savings were achieved through these shared services?***

The EUAN has been pursuing the sharing of services and capabilities among the Agencies for several years. The main objective is to pool Agencies' capabilities and to increase their access to support services provided by the Institutions in the areas of IT, HR, finance and procurement, and logistics. The EUAN has established an online catalogue of shared services (mainly IT services).

In majority of cases the quantification of savings proves difficult to estimate. In the below table is a selection of larger scale shared services with estimated savings in 2019.

Shared Service	Estimated savings for one Agency (In 1000 Eur)			Estimated savings for all participating Agencies (In 1000 Eur)		
	From	To	Average	From	To	Average
Data Protection Officer	35	92	63.5	35	92	63.5
Data Centre Facilities for Disaster Recovery	37	50	43.5	330	450	390
Internal Audit services	185	329	257	185	329	257



	305	543	424	598	943	770.5
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The conclusion of 2019 Shared Services report, outlining the need for developing concrete proposals for increasing the usage of Shared Services, was followed up. This resulted in creation of Shared Services Task Force. The Task Force has contemplated and developed a first strategic proposal for enhanced approach to the “Shared Services and Capabilities 2.0”. The proposal is to be presented to the Heads of Resources during the October 2020 EUAN meeting.

**SQ18. For the Agencies that depend on fee collection: how many percent of the Agency’s income consist of fees? How does the Agency view in this regard the danger of conflicts of interest for relying on fees from their clients? What kind of mechanism(s) to prevent conflict of interests do the agencies that collect fees from their clients have at their disposal? Would the Agency consider it an appropriate solution if the Commission would collect the fees, and the Agency would hence be fully funded from the EU budget?**

Overview of the Agencies’ income consisting of fees

Agency	Agency’s income consisting of fees
CPVO	100 %
EUIPO	100 %
EMA	90 %
ECHA	In 2019, 39.5% of ECHA's income consisted of fees.
EASA	67%
ESMA	25%
ERA	ERA started collecting fees as of 16 <sup>th</sup> June 2019 and only a small number of member states (8) had transposed the legislation of the 4th Railway Package into their national legislation; the total amount collected in 2019 is 345.280 €, which represents 1% of the EC subsidy.
ACER	24.2% (as from 2021)

Each of the concerned Agencies elaborated in the individual fiches in Annex I. on:

- whether they see any potential danger of Conflict of Interest from relying on fees from their clients;
- what kind of mechanism they use to prevent Col stemming from the collection of fees;
- whether they would consider it an appropriate solution for the Commission to collect the fees and the Agencies being fully funded from the EU budget;

The Agencies have also provided extensive responses to the above questions in the Standardised Questionnaire 2017 (question Nr. 14, August 2018) and, in the Discharge 2017 EUAN report (November 2018). The relevant excerpts from both documents can be found in Annex III.

In their replies, the Agencies briefly explained the policies which they have in place to avoid potential conflicts of interest stemming from the fee collection. Furthermore, each Agency also presented its analysis considering a potential fee collection implemented directly by the Commission.

It should be noted that, as it is not subject to the EU Agencies discharge procedure before the European Parliament, EUIPO and CPVO did not reply directly to question 18 of the standardised questionnaire for the 2019 discharge. Instead, both Agencies provided input directly to the Chair of the CONT Committee by way of letters which are also included in Annex IV.

## Annex I. Individual fiches

### ACER

#### *Budget and financial management and performance*

1. Could all Agencies illustrate the amounts of planned and unplanned carryovers and of carryover cancellations by budgetary title and the main reasons behind them?

#### Planned carry-overs

	Budgetary title	Amount	Justification
Title 1	Expenditure relating to staff and resources	EUR 214,702.19	Related mainly to: - Training and information for staff (27.5k) - Schooling fees (98k) - Recruitment costs (5.6k) - Temporary agency workers (20.3k) - Outsourced accounting services (35k) - Administrative missions (1.7k) - Medical services (20k) - Social welfare of staff (5.4k)
Title 2	Agency's building and associated costs	EUR 830,634.38	Mainly to cover open obligations related to: - Building related expenses (74.1k) - IT related expenses (426.7k) - Stationery, furniture and library (41.8k) - Legal expenses, expert consultations, information security, data protection and audit (202.4k) - Boards meetings (81.9K) - Telecommunications (32.6k)
Title 3	Operational expenditure	EUR 1,886,710.35	Carried over to cover open obligations related to: - Operational missions (15.4k) - Public relations and website (84.9k) - Translations (61.4k) - REMIT project (1,725k)
Title 4			

#### Unplanned carry-overs

	Budgetary title	Amount	Justification
Title 1			
Title 2			
Title 3			
Title 4			

#### Cancelled carry-overs

	Budgetary title	Amount	Justification
Title 1	Expenditure relating to staff and resources	EUR 11,895.47	Mainly from: - lower than estimated staff training costs (6.5k) - actual cost of temporary agency workers (2k) - lower than estimated mission claims (1.4k) - lower actual cost of medical services (1.3k)
Title 2	Agency's building and associated costs	EUR 32,349.70	Mainly due to lower than expected actual costs of: - Building related expenses (4.5k) - IT related expenses (18k) - Legal expenses, expert consultations, information security, data protection and audit (1.1k) - Boards meetings (7.1k)
Title 3	Operational expenditure	EUR 69,739.28	Mainly due to cancelled contracts for underperformance of contractor.
Title 4			

2. What are the key performance indicators (outcome/impact) used by the Agencies for measuring the added value provided by their activities, and for enhancing their budget management in this regard? Which KPIs were added / deleted in 2019? Do the Agencies use or plan to introduce other instruments to measure performance?

Performance indicators:

The Agency has an internal monitoring system based on a 'traffic lights' approach through which Key Performance Indicators – KPIs are monitored. The traffic lights system ensures that the results achieved and deadlines met in relation to the objectives are regularly monitored, with measures taken in case the objectives are at risk of not being met. The absorption of the Agency's budget is monitored through weekly reports providing an overview of both commitments and payments. 3 KPIs are specifically related to budget implementation:

- At least 95% execution of commitment appropriations
- Minimum 75% execution of payment appropriations.
- Cancellation of payment appropriations below 5%.

The Agency also monitors the implementation and the effects that gas and electricity network codes have on market functioning through indicators used for the ex-post evaluations of the network codes. These are analysed through case studies or in-depth analysis describing the effect of the network codes in the dedicated sections of the Market Monitoring Reports and stand-alone monitoring reports for the implementation of the Congestion Management Guidelines, Capacity Allocation Mechanisms and Balancing Codes. No additional instruments are planned for the time-being.

The Agency also keeps track of all fines imposed at the national level on the basis of the Regulation on wholesale energy market integrity and transparency (REMIT). While the imposition of fines depends on national authorities, the Agency plays a central role in the implementation of REMIT in terms of surveillance of trading activity in wholesale energy markets at the EU level to detect and prevent trading based on inside information and market manipulation.

To ensure consistency, KPIs were not changed in 2019.

4. Have the Agencies identified and evaluated the possibility to coordinate and share resources on overlapping tasks with other Agencies with similar activities?

Reply: The Agency remains an active member of the Performance Development Network (PDN) of Agencies. It is co-chairing the Working Group on Accredited European Schools, supporting other agencies to launch successfully such projects with their host countries, sharing know-how and best practices.

ACER regularly re-assesses, optimises and streamlines its support functions and administrative processes. Knowledge sharing and introduction of best practices from other agencies is a key aspect of this process. It also participates to inter-institutional procurement procedures.

The Agency actively participates in the ICTAC (Information Communication Technology Advisory Committee) to streamline and align information and communication technology

projects with other EUIs, exchange ideas about current and future IT needs and also on ideas of future “shared services”.

The Agency participates in the EU Agencies’ Advisory group on Covid19 contributing, sharing, but also exchanging a number of practical aspects and arrangements in terms of the impact of the pandemic on all the operations of the Agency.

5. To what extent has the working program of each agency been implemented and what are the most important achievements?

Reply: The Agency implemented its work programme, although resource constraints had an impact on the extent to which the Agency was able to contribute to the completion of the internal energy market to the benefit of energy consumers and the competitiveness of the Union, since some of the Agency’s work could not be done to the extent which would be desirable, notably as concerns surveillance of the wholesale market integrity and transparency.

It’s key achievements for the year 2019 were:

- a) the publication of the Annual Market Monitoring Report on the impact of the implementation of the Electricity and Gas Directives and Network Codes and Guidelines on the functioning of the EU wholesale electricity and gas markets, as well as on the remaining barriers to cross-border trade. It also covers retail price aspects and assesses the state of consumer rights on the remaining barriers to the Internal Energy Market;
- b) the adoption of crucial acts whose implementation will be critical for the well-functioning of the EU electricity market eventually delivering benefits for consumers – i.e. the decision on the day-ahead and intraday capacity calculation methodologies for the Core Region (covering 13 EU Member States) and the Agency’s recommendation on the implementation of the 70% cross-zonal capacity target;
- c) the increase of transparency to network users on transmission tariff methodologies, how they compare to the EU requirements, and where some elements may be discriminatory or detrimental to cross-border trade;
- d) its recommendation to the Union institutions on the regulatory response to the future challenges emerging from developments in the internal gas market (‘The Bridge Beyond 2025’), addressing new developments such as decarbonisation and sector coupling;
- e) its collection of more than three million records of wholesale energy market transactions and orders to trade per day, and to the extent possible, the monitoring of the wholesale energy markets of the Union, especially on cross-border trading.

6. How many recommendations for improvement have been given by the internal audit service and how many of the recommendations from the previous year have been implemented?

Reply: There have been eight recommendations for improvement issued by the internal audit service in 2019, resulting an audit on IAS Audit on IT security in ACER and Information Security in the “REMIT” domain – 2018. All eight recommendations have been marked as “important”, one of which have been fully implemented and closed by the IAS in 2019. The implementation of the other seven recommendations is ongoing in line with the Action plan approved by the IAS.

In 2019 there have been three recommendations from previous audits implemented and reported to the IAS, resulting IAS Audit on Human Resources Management – 2017. Three of five recommendations have been fully implemented and closed by the IAS. The remaining two have been re-opened for further improvement in 2020.

All recommendations implemented by 2018 resulting IAS Audit on Procurement Process – 2016 have been fully closed by the IAS in 2019.

### *Staff policy*

7. How did the Establishment Plan (officials and temporary agents) of each Agency evolve from 2018 to 2019, taking the data of 31.12.2019 compared with 31.12.2018? How many seconded national experts, contract staff, interim staff and consultants were working for each Agency in 2019, expressed in FTEs?

#### Number of staff

	Officials (posts filled)	Temporary agents (posts filled)
Establishment plan 31.12.2017-31.12.2018	n/a	64
Establishment plan 31.12.2018-31.12.2019	n/a	67

#### Other staff

	SNEs (FTE)	Contract agents (FTE)	Interim staff (FTE)	Consultants (FTE)
31.12.2019	4	26	12	



8. Could each Agency present a gender and nationality breakdown of its senior and middle management positions and its management board, and of its staff overall, including as percentage of the total number for each category requested?

	Senior management Male	Senior management Female	Management board - Male	Management board - Female	Staff overall - Male	Staff overall - Female
Austria			2		2	
Belgium					5	
Bulgaria		1	1		1	1
Croatia					1	2
Cyprus					1	
Czech Republic			1			
Denmark				2		
Estonia						
Finland						
France	1		1	1	5	1
Germany	1		1	1	4	3
Greece					6	3
Hungary			1	1	3	1
Ireland						



Italy	1				8	5
Latvia			1			
Lithuania						1
Luxembourg						
Malta						
Netherlands	2				3	
Poland			1		2	2
Portugal					1	1
Romania			1			2
Slovakia					1	
Slovenia				1	16	8
Spain			1		5	1
Sweden				1		
United Kingdom						
Norway						

Representation expressed as percentage

	% of males in the overall management staff	% of females in the overall management staff	% of males in the overall management board staff	% of females in the overall management board staff	% of males in the overall staff	% of females in the overall staff
Answer	83%	17%	65%	35%	67%	33%

9. How many former MEPs, Commissioners or high-level officials (from AD 14) still receive money from the budget of your institution as advisors, contract agents or others? What are their tasks and their respective salaries?

Reply: Former Commissioner Andris Piebalgs is a member and Chair of the Agency's Board of Appeal and receives reimbursements of expenses for board meetings, in line with those foreseen in the Staff Regulations.

Dr Romana Jordan (member), Ms Edit Herczog (member) and Ms Britta Thomsen (alternate), former MEPs, have been appointed for Agency's Administrative Board and receive an indemnity and the reimbursement of expenses incurred for the participation to the meetings of the Administrative Board.

None of them receive remuneration from the Agency nor do they have a contract in place with the Agency.

10. What measures / activities were organised to improve on the well-being for staff in each agency? What were the costs in 2019 and how many staff members participated in these events?

Events/measures taken by the Agency

	Measures/Activities organised to improve on the well-being for staff	Cost of the activities	Number of staff that participated
	ACER Picnic	3014.44 EUR	60
	ACER Breakfasts 5/year (presentations by the Staff Committee and staff)	30/event	30/event
	Staff Committee financial support for participation in Inter-Agencies competitions (Football Tournament)	1500 EUR	11

	Staff Committee partial financial support for organisation of yoga classes, pilates, anti-stress training	4515 EUR/year	40 regular participants
	The Agency has joined the Fit@Work initiative of the European Commission, developing a dedicated section on its intranet and raising awareness of staff on many topics related to the initiative.	Developed internally	Staff of the Agency

11. What measures do Agencies use to prevent and fight against harassment? What kind of efforts have the Agencies made to facilitate easy and confidential reporting of internal and external harassment towards their staff? Were there any harassment cases reported, investigated or taken before the court in 2019?

#### Measures taken by the Agency

	What measures does your Agency use to prevent and fight against harassment?	What measures does your Agency have in place to facilitate easy and confidential reporting of internal and external harassment towards your staff?	In 2019 how many harassment cases were reported/investigated/taken before court?
Reply	In 2017 the Agency adopted a decision of the Administrative Board on protecting the dignity of the person and preventing psychological and sexual harassment. The Agency organised several trainings for information and awareness raising of staff (compulsory for all newcomers) and enabled Confidential Counsellors and Coordinator of Confidential Counsellors to attend trainings relevant for this role. In 2019, the Agency let the selection of the interagency network of	See previous answer.	Yes, one case (due to confidentiality no further information disclosed).

	confidential counsellors, organising the selection and the training.		
Commen			

12. What was the average absence from work due to sick leave in 2019? How many working hours were lost as a consequence of burnouts or other work-related reasons?

Answer by the Agency

	Average absence from work due to sick leave (in days) in 2019.	Number of working hours lost as a consequence of burnouts or other work related reasons	Comments
Reply	8		The relatively high number is due to extended sick leaves of a few colleagues.

13. Could the Network prepare a comprehensive list of staff-cuts implemented per individual Agency in accordance with the Commission's plan until 2019? How many of these staff-cuts were replaced by Contractual Agents or External experts?

Staff cuts 2013-2019

	Staff cuts per Agency	Contract agents employed	External experts employed	Comments
2013		7	7	
2014	3 TA	7	13	
2015		10	10	
2016		20	6	
2017	1 TA	26	3	
2018	1 TA	19	3	
2019		26	4	

14. Is there any increase of the workload or new tasks designated to each agency and how does it manage to accommodate these to the available staff in 2019? Did your Agency face an increase in workload or new tasks assigned in 2019? How did you accommodate these with the staff available in 2019?

Reply: In 2019, the Agency received additional resources in the context of the Clean Energy for All European package. It is revising its efficiency gains on a regular basis.

### *Conflicts of interest and transparency*

15. Could each Agency confirm whether the declarations of conflicts of interest are in place (and public) for their: · management board members · senior management?

Declaration of Col

	Management board members	Senior management	Comments
Reply	yes	yes	

16. Could each Agency confirm if they publish on their website the CVs of their: · management board members · management staff · external experts · in-house experts?

	Management board members	Management staff	External experts	In-house experts	Comments
Answer	yes	yes	no	no	Several ad-hoc consultation groups support the Agency in its work. The names and affiliations of the experts participating in the groups are published on the Agency's website. As these group reflect different interests, and as they are only advisory bodies, the risk of conflicting interests affecting the formal work of the Agency is minimal. The Agency is free to take on board or not the advice it receives in the framework of the consultation groups. However the Agency publishes the Declarations of Interests and CVs of the members and alternates of the Agency's Boards, of the Chairpersons and Vice-Chairpersons of its Working Groups (which have a greater influence on the Agency's activities than expert groups), of the Convenors of Task Forces and of the Agency's Director and Heads of Department.

17. What kind of mechanisms do the Agencies use to identify and avoid conflicts of interest, and were there any cases of conflicts of interest reported, investigated and concluded in 2019?

Reply: In line with the Agency’s Policy on the Prevention and Management of Conflicts of Interest, Declarations of Interest submitted are reviewed by ad hoc review panels that classify the Declarations of Interest according to risk levels and may take measures to address the potential conflicts of interest identified.

Declarations are reviewed separately for the Agency staff (upon recruitment and on a case-by case basis, if necessary, when performing their duties), the Agency’s management team (on an annual basis), and the Agency’s Management Board, Board of Appeal, Board of Regulators and Agency Working Group Chairs, Co-chairs and convenors.

A case of potential conflict of interest was identified at the Administrative Board level and is under investigation.

18. For the Agencies that depend on fee collection: how many percent of the Agency’s income consist of fees? How does the Agency view in this regard the danger of conflicts of interest for relying on fees from their clients? What kind of mechanism(s) to prevent conflict of interests do the agencies that collect fees from their clients have at their disposal? Would the Agency consider it an appropriate solution if the Commission would collect the fees, and the Agency would hence be fully funded from the EU budget?

Fee financed Agencies

	How many percent of your Agency’s income consists of fees?	Does the Agency see any potential danger of Col from relying on fees from its clients?	What kind of mechanisms does the Agency use to prevent Col stemming from the collection of fees?	Would the Agency consider it an appropriate solution for the Commission to collect the fees and the Agency to be fully funded from the EU budget?
Reply	n/a			



19. Have all the Agencies set up and implemented internal rules or common guidelines on whistleblowing? Could the Agencies provide the number of open, closed and ongoing whistleblowing cases in 2018? Which actions were taken for each of these case and what were the results?

	Has your Agency implemented internal rules or common guidelines on whistleblowing?	Can the Agency provide the number of open/closed/on-going whistleblowing cases in 2019?	What actions were taken for each of these cases and what were the results?	Comments
Reply	yes	0		
Comment				

20. Are all meetings with lobbyists, in case such meetings were held: · registered · made public?

Meeting with lobbyists

	Were the meetings registered?	Were the meetings made public?	Comments
Agency meeting with lobbyists	yes	yes	The Director's meetings with organisations and self-employed individuals are published on the Agency's website. The information published includes the location of the meeting, the organisation met and the subject(s) of the meeting.

## *Other comments*

21. Which measures did the Agencies implement in 2019 in order to increase their public visibility and online presence? Could you please summarize shortly the actions taken in order to promote the work of the Agencies to EU citizens, and to make services available to the wider public, civil society and academia where appropriate?

Reply:

- The third edition of the REMIT Forum was organised with the collaboration of the Ministry of Foreign Affairs of the host country (Slovenia).
- The Agency continued to strive to improve the readability and accessibility of its website also to the general public.
- The Annual Report on the Results of Monitoring the Internal Electricity and Natural Gas contains data on prices for households across the EU. The report is widely known among consumer organisations in Europe as it provides excellent data to monitor the effects of the common energy market on the citizens' pockets.
- Citizens can express their opinions on the Agency's reports and publications through an online feedback tool. They can also express opinion on the Agency's Annual Work Programme.

Online presence: Despite the limited human resources available for communication purposes, in 2019 the Agency strived to increase its activity on its Twitter profile as well as its LinkedIn account to communicate with the wider public.

With regard to the press, as a key channel to reach the general public, ACER replied to a total of 57 journalists' requests.

The Agency also produced a total of 84 mass mailing via infoflash as well as 64 pieces of news to explain its deliverables in a language more accessible to the general public.

22. Which measures did the Agencies implement in 2019 in order to increase their cyber security and protection of the digital records in its possession? Does the Agency have such a policy in place / in a making?

Reply: The Agency has an Information Security Policy in place, which was adopted in 2018 (Director Decision 2018/10 of 4 June 2018 on information security and the security of communication and information systems of the European Union Agency for the Cooperation of Energy Regulators). The policy also covers cyber security and information protection aspects regarding digital records. The Agency has further developed guidance and standards in 2019 and has a plan to further detail rules and best practices for cyber security aspects and protection of digital and non-digital records belonging to the Agency in line with those of other EUIs. The Document Management policy has set more clear and granular rules to allow only pre-determined staff to have access to digital records on a "need-to-know" basis.

Furthermore, the Agency ran a new risk assessment looking for areas for improvement in the information and cyber security area. The Agency has also established a mechanism to review the standards and guidelines on a regular annual basis.

The Agency has in place technical systems for the early detection of incidents and data breaches. ACER is cooperating with CERT-EU in monitoring the internal and external traffic/cyberspace, where the Agency is running its operations. In 2019, these monitoring systems have been improved in close cooperation with CERT-EU to enable the identification of threats and to increase the level of protection of records as well as to assess events in a short time. The adoption of ARES together with the segregation of networks allowed the Agency to substantially improve the protection of crucial digital records, segregating the records in a more secure logical area shared with the EU institution and difficult to reach from outside of ACER’s physical perimeter. The Agency also established a filing plan and has settled a proper document management structure based on a need to know/need to share principle.

Moreover, the Agency took care to create an audit function by a third party (contractor) that could evaluate status of the processes from a cyber security perspective.

- 23. Could the Agencies provide a list of their internal measures in place to:
  - put in place a comprehensive strategy for sustainable development, including steps to reduce or offset CO<sup>2</sup> emissions?
  - ensure a cost-effective and environment-friendly working place?

Internal measures in place

	Ensuring cost-effective and environment-friendly working place	Comprehensive strategy for sustainable development, including steps to reduce or offset CO <sub>2</sub> emissions?
Answer	The Agency is aligning its internal processes to good practices, such as the Eco-Management and Audit Scheme (EMAS) standards, so as to reduce the impact of its administrative operations on the environment. The Agency undertook some significant steps in managing its environmental impact by improving waste management and sorting, introducing paperless financial circuits in the financial administration by further developing IT tools, reduced the use of paper across the Agency, promoted the use of public transport by staff, improved communication in order to change staff and suppliers’ behaviour towards the use of paper. It	See previous answer.

	also provided environmental on-the-job-training to newcomers by raising awareness on the use of energy in the offices, use of paper for printing and sorting of waste and promoted 'greener' procurement by introducing 'green' criteria in procurement documents.	
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***Budget and financial management and performance***

1. Could all Agencies illustrate the amounts of planned and unplanned carryovers and of carryover cancellations by budgetary title and the main reasons behind them?

Planned carry-overs

	Budgetary title	Amount	Justification
Title 1	Title 1 – Staff expenditure	186,430.12	<ul style="list-style-type: none"> <li>• missions of staff for support provided to BEREC and WGs that took place in Q4 2019 and are to be invoiced for in 2020;</li> <li>• trainings to be delivered in 2020 under contracts signed in 2019;</li> <li>• liabilities under contracts for provision of interim staff concluded in 2019, for which services will continue in 2020;</li> <li>• other services for staff, which were delivered in 2019, for which invoices and/or final services are to be received in 2020 (Interagency network fee, production of EC staff badges, electronic brochures for staff, legal advice).</li> </ul>
Title 2	Title 2 - Building, equipment and miscellaneous operating expenditure	184,413.68	<ul style="list-style-type: none"> <li>• invoices for services and supplies delivered in 2019 (mainly in December) for premises' utilities, security services, consumables, postal and telecommunications services, that will be received in 2020;</li> <li>• IT purchases and related services, for which contracts have been signed in 2019 and/or services rendered and invoices will be received in 2020;</li> <li>• the cost for the use of the EC's document management system ARES and the services for the Accounting</li> </ul>

			Officer (debit notes to be received in 2020).
Title 3	Title 3 - Operational activities	648,832.27	<ul style="list-style-type: none"> <li>• expenses for organisation of BEREC WG meetings and reimbursement of travel expenses of experts participating in these meetings held in Q4 2019 and January 2020; final invoice for services is to be received and paid at the beginning of 2020;</li> <li>• expenses for organisation and WG reimbursements for participation in BEREC meetings (incl. WG meetings) beginning of 2020 (January and February), for which invitation to working group meetings were sent out in 2019;</li> <li>• expenses for PMO fees for calculation of reimbursements that is expected in Q1 2020;</li> <li>• liabilities under contracts for provision of ICT Support to BEREC concluded in 2019, for which monthly services will continue in 2020;</li> <li>• Other year-specific services contracted in 2019 for which the delivery of the service will continue in 2020: Back-up and disaster recovery, BERECnet migration, update and optimization, UCAAS in Brussels and EUIPO Website assessment in 2020.</li> </ul>
Title 4	N/A	N/A	N/A

#### Unplanned carry-overs

	Budgetary title	Amount	Justification
Title 1	Title 1 – Staff expenditure	N/A	N/A

Title 2	Title 2 - Building, equipment and miscellaneous operating expenditure	N/A	N/A
Title 3	Title 3 - Operational activities	N/A	N/A
Title 4	N/A for BEREC Office	N/A	N/A

#### Cancelled carry-overs

	Budgetary title	Amount	Justification
Title 1	Title 1 – Staff expenditure	at this stage no significant CFs has been cancelled in the BEREC Office.	
Title 2	Title 2 - Building, equipment and miscellaneous operating expenditure	at this stage no significant CFs has been cancelled in the BEREC Office.	
Title 3	Title 3 - Operational activities	at this stage no significant CFs has been cancelled in the BEREC Office.	
Title 4			

2. What are the key performance indicators (outcome/impact) used by the Agencies for measuring the added value provided by their activities, and for enhancing their budget management in this regard? Which KPIs were added / deleted in 2019? Do the Agencies use or plan to introduce other instruments to measure performance?

Performance indicators:

Performance indicators ( non-exhaustive list to demonstrate example used by the BEREC Office, full list and more details can be found in BEREC Office SPD 2020).

As the mandate of the Agency is to provide professional and administrative support to BEREC, to following key indicators were identified as the multi-annual objectives regard:

<b>Objectives</b>	<b>KPIs</b>	<b>Measure</b>	<b>Target</b>
1. Maintain appropriate capacity for supporting existing and new BEREC tasks and activities	Fully staffed indicator	Number of temporary agents (TAs), contract agents (CAs), seconded national experts (SNEs) and interim staff / max. number of a fully staffed BEREC Office	100%
2. Improve the quality of work of BEREC by assisting with improvements to its work methods and the quality of its outputs by attracting and maintaining highly qualified staff	Quality of support to BEREC and its WGs	Measure quarterly the level of satisfaction of the BEREC Chair and the BEREC WGs Co-Chairs on a 5 grade scale on the basis of multiple questions	Minimum 85% of responses are in the top 2 scores
3. Develop and manage tools to operate effectively and efficiently	Availability rate of supporting tools	Percentage of time of proper operation of BEREC website, email server, BERECnet, Information sharing portal, public consultation platform, net neutrality measurement tool, etc.	Minimum 95%

In 2020 BEREC Office launched a project that would ensure improvement of the quality of the KPIs. In the interviews and workshops with management board, managers and other stakeholder BEREC Office gained a deep overview on the ways for improving performance management and reporting. As one of the deliverables of the project a catalogue of the KPIs was created. Further to this, BEREC Office plans to incorporate the given KPIs in their Activity Based Management processes that would further improve the overall performance management.

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4. Have the Agencies identified and evaluated the possibility to coordinate and share resources on overlapping tasks with other Agencies with similar activities?

Reply: The BEREC Office, due its limited size, is proactively searching for partners who could offer services to the Agency to compensate its missing capacities. The Commission, due to its well-functioning services and good capabilities, is the preferred partner for the BEREC Office. The BEREC Office has Service level agreements (SLAs) with DG Budget – for use of accounting officer function, with DG HR – for a wide range of services (incl. in the field of security), with the PMO – for establishing the individual rights of staff, with DG DIGIT (for IT procurement and use of different IT tools), with CERT EU – for IT security, etc.

The BEREC Office signed in 2019 SLAs for sharing of IT services and capacities also with EUIPO and a group of Joint Undertakings.

However, the BEREC Office has not been able yet to find a partner for the provision of the internal control coordinator and security officer functions, which leaves the Agency without such capabilities. We also tried to find another EU body to share its Data Protection Officer function, as the BEREC Office does not possess that mandatory profile in its establishment plan, without success.

Due to its small size the BEREC Office currently is not able to offer services to other Agencies. However, the Agency is contributing actively to the work of the EU Agencies' Network when there are projects of the interest of the BEREC Office, such as the survey on Activity Based Budgeting organized and summarized in 2019 and 2020 by the Performance Development Network.

5. To what extent has the working program of each agency been implemented and what are the most important achievements?

Reply: Accordingly to the implemented working program the BEREC Office provided BEREC with valuable professional and administrative support. The BEREC Office maintained its stable day-to-day operation and introduced further improvements. The main focus and achievements of the BEREC Office in 2019 were related to Support to BEREC Working Groups, BEREC Office activities under internal market procedures, High-level meetings and Boards' Secretariat, BEREC Communications activities, Information and Communication Technology (ICT) Support to BEREC and Information gathering and distribution. More details can be found in CAAR 2019, available at:

[https://bereg.europa.eu/eng/document\\_register/subject\\_matter/bereg\\_office/office\\_annual\\_activity\\_report/9369-2019-consolidated-annual-activity-report-of-the-bereg-office](https://bereg.europa.eu/eng/document_register/subject_matter/bereg_office/office_annual_activity_report/9369-2019-consolidated-annual-activity-report-of-the-bereg-office)

6. How many recommendations for improvement have been given by the internal audit service and how many of the recommendations from the previous year have been implemented?

Reply: Following its 2019 audit mission on procurement, missions and expert reimbursements, the IAS issued a report which contained a series of 3 important recommendations to be followed up by the BEREC Office.

The actions for two out of the three recommendations have been completed and the implementation of the 3rd one is still on-going in accordance with the agreed deadline.

### *Staff policy*

7. How did the Establishment Plan (officials and temporary agents) of each Agency evolve from 2018 to 2019, taking the data of 31.12.2019 compared with 31.12.2018? How many seconded national experts, contract staff, interim staff and consultants were working for each Agency in 2019, expressed in FTEs?

#### Number of staff

	Officials (posts filled)	Temporary agents (posts filled)
Establishment plan 31.12.2017-31.12.2018	0	14
Establishment plan 31.12.2018-31.12.2019	0	14

#### Other staff

	SNEs (FTE)	Contract agents (FTE)	Interim staff (FTE)	Consultants (FTE)
31.12.2019	6	12	9	N/A

8. Could each Agency present a gender and nationality breakdown of its senior and middle management positions and its management board, and of its staff overall, including as percentage of the total number for each category requested?

	Senior management Male	Senior management Female	Management board - Male	Management board - Female	Staff overall - Male	Staff overall - Female
Austria	0	0	1		0	0
Belgium	0	0	1		0	0
Bulgaria	0	1	1		2	1
Croatia	0	0	1		0	0
Cyprus	0	0	1		0	0
Czech Republic	0	0		1	1	0
Denmark	0	0		1	0	0
Estonia	0	0	1		0	0
Finland	0	0		1	0	0
France	0	0	1		0	0
Germany	0	0	1	1	2	0
Greece	1	0	1		2	0
Hungary	1	0		1	2	0
Ireland	0	0	1		0	0

Italy	0	0	1		1	0
Latvia	0	0	1		2	7
Lithuania	0	0	1		3	2
Luxembourg	0	0	1		0	1
Malta	0	0	1		0	0
Netherlands	0	0		1	1	0
Poland	0	0	1		1	0
Portugal	0	0	1		0	0
Romania	0	0	1		1	2
Slovakia	0	0	1		0	1
Slovenia	0	0		1	0	0
Spain	0	0	1		0	0
Sweden	0	0	1	0	0	0
United Kingdom	N/A	N/A	N/A	N/A	N/A	N/A
Norway	N/A	N/A	N/A	N/A	N/A	N/A

Representation expressed as percentage

	% of males in the overall management staff	% of females in the overall management staff	% of males in the overall management board staff	% of females in the overall management board staff	% of males in the overall staff	% of females in the overall staff
Answer	66.67	33.33	77.78	22.22	56.25	43.75

9. How many former MEPs, Commissioners or high-level officials (from AD 14) still receive money from the budget of your institution as advisors, contract agents or others? What are their tasks and their respective salaries?

Reply: 0

10. What measures / activities were organised to improve on the well-being for staff in each agency? What were the costs in 2019 and how many staff members participated in these events?

Events/measures taken by the Agency

	Measures/Activities organised to improve on the well-being for staff	Cost of the activities	Number of staff that participated
	Legal (out-of-court) Assistance in relation to establishment in Latvia	548.33	5
	Electronic brochures on topics of interest to the staff	32	32
	Supplementary JSIS certificate	156	26
	Informing banks in Latvia regarding status of BEREK Office staff, easing access to banking services in Latvia	0	32
	Enlargement of the scope of the list of English-speaking doctors in Latvia with a focus on the needs of children of staff	3000	32

	Structural teleworking	0	5
	Development + execution of interactive induction programme for new staff members	11000	15 (incl. trainees)

11. What measures do Agencies use to prevent and fight against harassment? What kind of efforts have the Agencies made to facilitate easy and confidential reporting of internal and external harassment towards their staff? Were there any harassment cases reported, investigated or taken before the court in 2019?

Measures taken by the Agency

	What measures does your Agency use to prevent and fight against harassment?	What measures does your Agency have in place to facilitate easy and confidential reporting of internal and external harassment towards your staff?	In 2019 how many harassment cases were reported/investigated/taken before court?
Reply	BEREC Office Management Committee Decision to adopt the policy on protecting the dignity of the person and preventing psychological harassment and sexual harassment. The policy aims to ensure a harassment free work culture and introduces simple and effective procedures for the protection of the dignity of each and every person of the Agency. Participation in Inter-Agency call for confidential counsellors with the aim of establishing an inter-agency network of confidential counsellors. Mandatory training on ethical values for	Joining the establishment of an inter-agency confidential counsellor network.	None.

	newcomers.		
Commen	The establishment of an inter-agency network is to be finalized in 2020, enabling the Agency's staff to contact confidential counsellors from other participating Agencies as well within the framework of the Policy mentioned above. A coordinator and confidential counsellor candidates from the BEREC Office will undergo the required trainings in 2020.		



12. What was the average absence from work due to sick leave in 2019? How many working hours were lost as a consequence of burnouts or other work-related reasons?

Answer by the Agency

	Average absence from work due to sick leave (in days) in 2019.	Number of working hours lost as a consequence of burnouts or other work related reasons	Comments
Reply	7.48	0	

13. Could the Network prepare a comprehensive list of staff-cuts implemented per individual Agency in accordance with the Commission’s plan until 2019? How many of these staff-cuts were replaced by Contractual Agents or External experts?

Staff cuts 2013-2019

	Staff cuts per Agency	Contract agents employed	External experts employed	Comments
2013	0	0	N/A	
2014	0	0	N/A	
2015	-1	0	N/A	
2016	0	+1	N/A	
2017	-1	0	N/A	
2018	0	0	N/A	
2019	0	0	N/A	

14. Is there any increase of the workload or new tasks designated to each agency and how does it manage to accommodate these to the available staff in 2019? Did your Agency face an increase in workload or new tasks assigned in 2019? How did you accommodate these with the staff available in 2019?

Reply: Yes, a new mandate in a new founding regulation was adopted in December 2018. In terms of operational support the BEREC Office provided its support to the BEREC WGs in organizing meetings and workshops – physical and virtual, and maintained the information flow among members.

Compared to 2018, a significant increase of physical meetings (+80.3%) and virtual meetings (+223.8%) was noted in 2019. It is explained by new legislative framework approved in late 2018 which determined new additional tasks for BEREC and consequently to the BEREC Office.

Major new tasks stemming from the new regulation are

- the implementation of two databases database according to BEREC Regulation, Art. 4, 1, the notification database and the database numbering resources with a right of extraterritorial use
- the establishment of Information and communication system according to BEREC Regulation Art 41
- transparency and communication according to Art 37, BEREC Regulation, empowering BEREC, supported by the BEREC Office, to engage in communications activities on its own initiative allowing the BEREC Office to undertake own communications activities

As for the question referring to an increase in the workload or new tasks assigned in 2019, the BEREC Office reply is that yes, new tasks were assigned and we faced increase in workload.

The Management Board requested additional 14 posts to the establishment plan, the Commission proposed 0 and the budgetary authority granted 2.

To be able to deal with the immediate new tasks and priorities, the ‘Operation Support’ entity was strengthened with additional resources, including ICT support and stakeholders relations related functions. With this re-shuffle of available resources, constant prioritization and re-prioritization of tasks in lack of sufficient staff capacity is needed. This is not sustainable as the agency still does not possess the minimum mass of staff and expertise.

### *Conflicts of interest and transparency*

15. Could each Agency confirm whether the declarations of conflicts of interest are in place (and public) for their: · management board members · senior management?

Declaration of Col

	Management board members	Senior management	Comments
Reply	The Agency has established new rules on preventing and managing conflicts of interest concerning the members of the Management Board (Decision No MB/2019/16 of the Management Board of the Agency for support for BEREC (BEREC Office) laying down rules on preventing and managing conflicts of interest concerning the members of the Management Board). Based on the new rules the board members must submit their CVs together with the declarations of interest, which are published on the BEREC website:		

	<a href="https://berec.europa.eu/eng/berec_office/organisation/management_board">https://berec.europa.eu/eng/berec_office/organisation/management_board</a>		
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16. Could each Agency confirm if they publish on their website the CVs of their: ·  
management board members · management staff · external experts · in-house experts?

	Management board members	Management staff	External experts	In-house experts	Comments
Answer	Yes, they are published.				

17. What kind of mechanisms do the Agencies use to identify and avoid conflicts of interest, and were there any cases of conflicts of interest reported, investigated and concluded in 2019?

Reply: Decision No MB/2019/16 of the Management Board of the Agency for support for BEREC (BEREC Office) laying down rules on preventing and managing conflicts of interest concerning the members of the Management Board governs the mechanism used to identify and avoid conflicts of interest.

#### Initial Declaration

Based on it the Director of the BEREC Office is responsible for requesting the Declaration of Interest from the members, the participants without voting rights and the alternates of the Management Board of the BEREC Office.

The declarations are submitted by the individual to the BEREC Office at the moment of taking up responsibilities. Newly appointed members/alternates shall submit a Declaration of Interest immediately upon their appointment and at the latest before the start of each meeting. The Director of the BEREC Office, with the assistance of its staff, is responsible for keeping the Register of Declarations which is publicly available on the BEREC website.

The Management Board Chairperson and Deputy Chairpersons with the assistance of the Director of the BEREC Office shall screen the declarations of interest in order to assess whether a declared interest constitutes a conflict. The screening shall be performed according the predetermined criteria. If a conflict of interest involves the Management Board Chairperson or a Deputy Chairperson, the screening of the declaration shall be performed exclusive of the member concerned. The Management Board Chairperson or any of the Deputy Chairpersons informs the Management Board on the outcome of the screening, including a proposal for a preventive/resolution measure in case of an identified Conflict of Interest.

#### Specific Declaration

Where a situation of a conflict of interest, not covered by an initial Declaration of Interest already submitted, arises, the persons concerned shall each accurately and completely declare, at the latest at the start of each meeting, any interest which might be considered to be prejudicial to their independence in relation to the items on the agenda. The individual declaring a conflict of interest shall abstain from participating in the discussion and/or the voting on, such points. Interests declared during meetings should be fully disclosed and recorded in the minutes of the meeting where the conflict of interest arises.

No cases of conflicts of interest were reported, investigated or concluded in 2019.

18. For the Agencies that depend on fee collection: how many percent of the Agency's income consist of fees? How does the Agency view in this regard the danger of conflicts of interest for relying on fees from their clients? What kind of mechanism(s) to prevent conflict of interests do the agencies that collect fees from their clients have at their disposal? Would the Agency consider it an appropriate solution if the Commission would collect the fees, and the Agency would hence be fully funded from the EU budget?

Fee financed Agencies

	How many percent of your Agency's income consists of fees?	Does the Agency see any potential danger of Col from relying on fees from its clients?	What kind of mechanisms does the Agency use to prevent Col stemming from the collection of fees?	Would the Agency consider it an appropriate solution for the Commission to collect the fees and the Agency to be fully funded from the EU budget?
Reply	N/A	N/A	N/A	N/A

19. Have all the Agencies set up and implemented internal rules or common guidelines on whistleblowing? Could the Agencies provide the number of open, closed and ongoing whistleblowing cases in 2018? Which actions were taken for each of these case and what were the results?

	Has your Agency implemented internal rules or common guidelines on whistleblowing?	Can the Agency provide the number of open/closed/on-going whistleblowing cases in 2019?	What actions were taken for each of these cases and what were the results?	Comments
Reply	Yes	0	N/A	
Comment	Yes on 7 December 2018 BEREC Office has issued the Decision MC (18) 78 laying down Guidelines on Whistleblowing of the Office of the Body of European Regulators for Electronic Communication (BEREC Office) .			

20. Are all meetings with lobbyists, in case such meetings were held: · registered · made public?

Meeting with lobbyists

	Were the meetings registered?	Were the meetings made public?	Comments
Agency meeting with lobbyists	N/A	N/A	The agency does not meet with lobbyists.

## *Other comments*

21. Which measures did the Agencies implement in 2019 in order to increase their public visibility and online presence? Could you please summarize shortly the actions taken in order to promote the work of the Agencies to EU citizens, and to make services available to the wider public, civil society and academia where appropriate?

Reply: The Agency for Support for BEREC and BEREC itself forms a two-tier institution which gives a major impact on the way the business is organized, including the area of communication. Within the last, the central focus is predominantly on BEREC, and dissemination of results of its work. First of all, we would like to underline that BEREC has the External Communications Strategy since 2016 complemented by annual communications plans. All the defined activities are also reflected in single programming documents. BEREC communications experts use diverse range of communications means and ways to deliver on the planning documents. Social media (our official accounts on Twitter, LinkedIn and Youtube) has been permanently used to reach the goals of those documents. BEREC regularly issues press releases, which are distributed to the journalists (subscribers list is constantly updated), as well as holds public briefings and stakeholder forums with open doors to stakeholders, as well as journalists. Besides, BEREC encourages interviews and swiftly responds to media enquiries. Secondly, within the Strategy and annual plans, BEREC clearly identifies the target audiences, defined by the BoR, which do not include the general public (for limited number of topics it includes end –users). This is rooted in the expert body status and the mandate (as well as topics), which in most cases are expert oriented. BEREC member NRAs are closely linked with the stakeholders and general public and therefore better positioned to target them. This has been confirmed by the BoR and reflected in both the Strategy and annual plans. When the content is produced, BEREC uses its own communications channels and, mostly NRAs and stakeholders as multipliers of this information.

The Agency for support for BEREC has a planned activity list in every iteration of the Single Programming document. It targets the local stakeholders and media outlets, as well as the end users/general public of the host Member State. The activity list includes numerous activities and events, organized by the Agency to raise the awareness on it and to disseminate information on the results of its work. This include a range of different communication means, for example, organization/participation to events such as Open doors, Back to school in cooperation with other EU institutions in Latvia, giving interviews to local media, holding press conferences on key topics, welcoming visitors to the premises, providing background information and producing press releases in Latvian, etc. Besides other means of communication, Agency is permanently using the official social media accounts of BEREC (producing publications also in Latvian) for the awareness raising, promotion and to reach the targets of the planning documents. It also uses the dedicated website sections, newsletters and a list of stakeholders and media outlets to send information on the upcoming events, published procurements, open vacancies, activities and to inform on the results of the work of the Agency.

The Agency has also included a provision of communication and visibility of the BEREC Office in the new Headquarters agreement, which foresees planning of concrete activities and much closer cooperation between the Agency and the Member State (stakeholders in Latvia) in coming years.

22. Which measures did the Agencies implement in 2019 in order to increase their cyber security and protection of the digital records in its possession? Does the Agency have such a policy in place / in a making?

Reply: There is an Service Level Agreement (SLA) signed between the BEREC Office and DIGIT (acting on behalf of EU Computer Response Team / CERT-EU), that provides us with the necessary support and information in field of cyber security (Intrusion detection and log management services, cyber threat assessments, cyber threat intelligence, development of security tools).

The Agency has implemented an automated solution, with third-party cloud service provider, for the usage of Back up as a service (BaaS), Disaster recovery as a service (DRaaS).

23. Could the Agencies provide a list of their internal measures in place to: · put in place a comprehensive strategy for sustainable development, including steps to reduce or offset CO<sup>2</sup> emissions? · ensure a cost-effective and environment-friendly working place?

Internal measures in place

	Ensuring cost-effective and environment-friendly working place	Comprehensive strategy for sustainable development, including steps to reduce or offset CO2 emissions?
Answer	In order to ensure a cost-effective and environment-friendly working place, it can be recalled the installation of new windows on the 2nd floor and the purchase and installation self-rising desks to accommodate the Finance and Procurement team staff.	Single Programming Document of the Activities of the Agency for Support for BEREC 2020-2022, available at: <a href="https://berec.europa.eu/eng/document_register/subject_matter/berec_office/office_annual_work_programmes/8936-berec-office-single-programming-document-2020-2022">https://berec.europa.eu/eng/document_register/subject_matter/berec_office/office_annual_work_programmes/8936-berec-office-single-programming-document-2020-2022</a> , anticipates establishment of Expert Networking Group in order to implement mid- and long-term sustainability objectives and KPIs to monitor the progress. Such group has been established for 2 years period, starting in 2020, in order to: 1) identify the steps to be taken to be sustainable in its operation and through its deliverables; 2) define the mid- and long-term sustainability objectives and KPIs to monitor the progress. Additionally, the BEREC Office tries to: - Organize as many meetings as possible by video-conference; - Encourage experts from member states to



		take part in physical meetings by video or audio conference; - The staff is encouraged to take part in trainings and events via on-line means and is requested the provide justification for any mission; missions are arranged only when online participation is not offered or not practicable.
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***Budget and financial management and performance***

1. Could all Agencies illustrate the amounts of planned and unplanned carryovers and of carryover cancellations by budgetary title and the main reasons behind them?

**Planned carry-overs**

	Budgetary title	Amount	Justification
Title 1	STAFF EXPENSES	€219 495.07	In general, staff expenditure in the Title 1 cannot be carried over. The amount of planned carryovers in the Title 1 corresponds to the staff expenditure that are not paid via salaries such as trainings, social activities and agency staff.
Title 2	BUILDINGS, EQUIPMENT AND MISCELLANEOUS OPERATING EXPENDITURE	€979 600.69	Planned carryovers correspond to administrative expenses and activities that relate to the current year, but for which the payment is executed only the following year.
Title 3	OPERATIONAL EXPENDITURE	€2 424 302.93	Amount of planned carryover corresponds to the signed order forms for external translation services that will be provided by the external providers only in the following budget year.
Title 4	--	--	--

**Unplanned carry-overs**

	Budgetary title	Amount	Justification
Title 1	STAFF EXPENSES	0	
Title 2	BUILDINGS, EQUIPMENT AND MISCELLANEOUS OPERATING EXPENDITURE	0	

Title 3	OPERATIONAL EXPENDITURE	0	
Title 4	--	--	

Cancelled carry-overs

	Budgetary title	Amount	Justification
Title 1	STAFF EXPENSES	€59 604.13	Most of the cancelled carryovers relate to staff costs of a provisional nature which cannot be estimated precisely.
Title 2	BUILDINGS, EQUIPMENT AND MISCELLANEOUS BUILDINGS, EQUIPMENT AND MISCELLANEOUS OPERATING EXPENDITURE	€116 380.28	Most of the cancelled carryovers relate to provisional expenditure on buildings and in particular energy consumption.
Title 3	OPERATIONAL EXPENDITURE	€51 012.92	Title 3 represents expenditures on externalised translations. The cancelled carryovers correspond to penalties charged to our suppliers and cancelled translation orders.
Title 4	--	--	--

2. What are the key performance indicators (outcome/impact) used by the Agencies for measuring the added value provided by their activities, and for enhancing their budget management in this regard? Which KPIs were added / deleted in 2019? Do the Agencies use or plan to introduce other instruments to measure performance?

Performance indicators:

Given that the Centre's primary mission is to provide translations and related language services to the EU institutions, agencies, offices and bodies, the Centre uses input and output indicators to ensure the implementation of its planned actions and to evaluate whether or not its activities achieved the intended objectives or outcomes. These indicators measure the direct outcome associated with the activities undertaken by the Centre.

The following is a non-exhaustive list of indicators which the Centre uses in order to enhance its budget management:

- Use of appropriations of the financial year (%)
- Budget forecast accuracy (revenue)
- % of errors in commitments corrected before authorisation
- % of errors in payments corrected before authorisation
- Ex post control: % of errors detected on payments (budget item 3000)
- Ex post control: errors detected on order forms (budget item 3000)
- % of errors in recovery orders corrected before authorisation

Since the strategic KPIs and their KPI components were published in the Centre's Strategy 2016-2020, no changes were made to these in 2019.

To further enhance performance measurement the Centre plans to further elaborate its Activity Based Budgeting model and to implement a resource allocation project.

4. Have the Agencies identified and evaluated the possibility to coordinate and share resources on overlapping tasks with other Agencies with similar activities?

Reply: The Translation Centre is the linguistic shared service provider for the EU Agencies, therefore, its core task to provide translation services does not overlap with those of other agencies. The aim of channeling the language service tasks through the Centre was to rationalise the working methods and achieve economies of scale. The Centre also absorbs any surplus work of the European institutions which have their own translation services.

In the other areas, the Translation Centre joined the efforts of Frontex and EEA for the implementation of a common e-recruitment tool Systal. As part of the European Union Agencies Network (EUAN), the Translation Centre expressed potential interest in joining specific services identified in the EUAN Shared Services catalogue, in particular with respect to sharing high-value Shared Services with other agencies or joint undertakings. In addition, the Centre has regularly shared knowledge and experience with other EU Agencies through the Agencies Coordination Support Office and participation in the meetings and activities of the EU Agencies' Network.

In the framework of its two-year Transformation Plan, the Translation Centre agreed on a cooperation programme with the EUIPO consisting of 5 IT projects which are not only of strategic importance for both organisations, but will also be of benefit to other EU Agencies: P1: Quality Enhancement; P2: Machine Translation; P3: Speech recognition and Web translation; P4: Modernisation of Intellectual Property (IP) Translation Systems; P5: Modernisation of IT Infrastructures. Each project is subdivided into different workstreams. The overall progress rate in the programme by the end of 2019 was 59%.

5. To what extent has the working program of each agency been implemented and what are the most important achievements?

Reply: The overall implementation of the Centre's work programme for 2019 stood at 88.1% based on the initial budget 2019 and at 89.1% based on the amending budget 2/2019.

The Translation Centre closed 2019 with a total translation volume of 657 323 pages (documents and EU trade marks) delivered to 58 clients.

2019 was marked by the implementation of the first year of the Centre's two-year Transformation Plan containing a series of important IT projects that will lay the foundations for its future business model. Out of the total of 49 actions included in the plan, by the end of 2019, 31 actions were either in progress (26) or planned to start at a future date (5), while 15 actions were already completed.

Another highlight in 2019 was the extension of the client portfolio by signing cooperation agreements with the European High-Performance Computing Joint Undertaking (EuroHPC), the European Labour Authority (ELA) and the Directorate-general for Internal Market, Industry, Entrepreneurship and SMEs (DG GROW). At the same time, the Centre continued to foster cooperation with its clients, and met a total of 18 out of the 68 clients in its portfolio in 2019.

The Centre continued its emphasis on translation quality assurance by adopting its new Translation Quality Assurance Action Plan (TQAAP) covering 2019-2020 and a revised Translation Quality Management Model (TQMM) that reflects the latest developments in terms of translation technology.

The Centre integrated IATE's Term Recognition Module (TRM) in its workflow management system and began the evaluation of the quality of custom machine translation. It has implemented the functionality for the exchange of bilingual files as support to the Multilingual Communications Management (MCM) project and has developed a new version of the B2B web services based on new exchange technology. The Centre developed a new functionality for clients' feedback and a solution for automatically updating Euramis with translation memory content. In addition, it started integrating WorldServer in the workflow management system for EU trade marks.

The Centre started the implementation of its revised model for Activity Based Budgeting and Activity Based Management (ABB/ABM). A new platform to manage clients' budget forecasts was set up and the Centre has conducted a market analysis for the development of a new e-recruitment tool. Preparatory work was undertaken for the implementation of the paperless e-procurement tool.

6. How many recommendations for improvement have been given by the internal audit service and how many of the recommendations from the previous year have been implemented?

Reply: The internal audit service (IAS) conducted one audit during 2019. It resulted in issuance of four (4) recommendations. There were no other open recommendations by IAS from previous years.

**Staff policy**

7. How did the Establishment Plan (officials and temporary agents) of each Agency evolve from 2018 to 2019, taking the data of 31.12.2019 compared with 31.12.2018? How many seconded national experts, contract staff, interim staff and consultants were working for each Agency in 2019, expressed in FTEs?

Number of staff

	Officials (posts filled)	Temporary agents (posts filled)
Establishment plan 31.12.2017-31.12.2018	53-50	136-133
Establishment plan 31.12.2018-31.12.2019	50-48	133-132

Other staff

	SNEs (FTE)	Contract agents (FTE)	Interim staff (FTE)	Consultants (FTE)
31.12.2019	0-0	23-22	4.8-4.4	20.05-20.04

8. Could each Agency present a gender and nationality breakdown of its senior and middle management positions and its management board, and of its staff overall, including as percentage of the total number for each category requested?

	Senior management Male	Senior management Female	Management board - Male	Management board - Female	Staff overall - Male	Staff overall - Female
Austria			1	0		1
Belgium			2	1	13	8
Bulgaria			0	0		4
Croatia			1	0		5
Cyprus			1	1		
Czech Republic			0	1	2	2
Denmark			0	1	1	3
Estonia			0	1	1	4
Finland			2	1		3
France	1		1	3	17	22
Germany			2	2	3	4
Greece			1	0	1	7
Hungary			1	0	1	3
Ireland			4	0	2	1

Italy			3	1	9	8
Latvia			1	1	2	3
Lithuania			1	2		4
Luxembourg			0	1	1	
Malta			1	0	1	3
Netherlands			1	1		2
Poland			0	1	1	3
Portugal			1	0	3	4
Romania			0	1	2	10
Slovakia			0	1	1	6
Slovenia			1	1		5
Spain			1	2	10	6
Sweden			2	1	2	2
United Kingdom			4	1		5
Norway						



Representation expressed as percentage

	% of males in the overall management staff	% of females in the overall management staff	% of males in the overall management board staff	% of females in the overall management board staff	% of males in the overall staff	% of females in the overall staff
Answer	Overall management staff Including senior and middle managers (3 men, 2 women): 60%	Overall management staff, Including senior and middle managers (3 men, 2 women) 40%	53.3	46.7	36.3	63.7

9. How many former MEPs, Commissioners or high-level officials (from AD 14) still receive money from the budget of your institution as advisors, contract agents or others? What are their tasks and their respective salaries?

Reply: 0

10. What measures / activities were organised to improve on the well-being for staff in each agency? What were the costs in 2019 and how many staff members participated in these events?

Events/measures taken by the Agency

	Measures/Activities organised to improve on the well-being for staff	Cost of the activities	Number of staff that participated
	The Centre organised the following events to improve the well-being of staff: Staff information meetings: 2 events in 2019	1322 EUR (195 EUR and 1127 EUR each meeting)	Circa 130 participants each event
	Social events for staff: 2 events in 2019	7333.70 EUR	120 participants in average
	Organisation of the seminar on "Burnout and Staff motivation" (2 sessions)	2850 EUR	33 participants
	The Centre also contributes to the budget of the Social Activities Committee of the European Institutions in Luxembourg (CAS)		

	<p>together with other EU institutions in Luxembourg. The budget of CAS is used for different social projects, including financing the Foyer européen (the building and restaurant). Using the facilities of the Foyer européen, the Cultural Circle and the Sport Clubs offers a wide choice of artistic, cultural and sports activities to the staff of the Translation Centre and contributes to the well-being of the Centre's staff. A well-being room is available at the Centre and used by the staff.</p>		
	<p>Almost 200 articles were published on the Centre's intranet, i.e. 25% more than in the previous year. An intranet satisfaction survey was launched to collect ideas on developing in 2020 a new intranet that will be more collaborative.</p>	<p>No external costs involved</p>	<p>Approximately 20 staff members from all departments involved in drafting of intranet articles. 87 respondents to intranet survey (response rate: 41%).</p>
	<p>Fostering horizontal communication was also a priority in 2019. Several Heads of department held informal stand-up meetings to ease two-way communication. Staff members</p>	<p>No external costs involved</p>	<p>1st Lunch 'n' Learn event: over 50 participants 2<sup>nd</sup> Lunch 'n' Learn event:</p>

	initiated a cycle of Lunch 'n' Learn sessions to present the projects that they work on in the framework of the Centre's two-year Transformation Plan. The outcome of the staff consultation process conducted in 2018 on the Centre's Transformation Plan was shared with all staff members.		over 20 participants

11. What measures do Agencies use to prevent and fight against harassment? What kind of efforts have the Agencies made to facilitate easy and confidential reporting of internal and external harassment towards their staff? Were there any harassment cases reported, investigated or taken before the court in 2019?

Measures taken by the Agency

	What measures does your Agency use to prevent and fight against harassment?	What measures does your Agency have in place to facilitate easy and confidential reporting of internal and external harassment towards your staff?	In 2019 how many harassment cases were reported/investigated/taken before court?
Reply	The Translation Centre adopted the Decision to draw up a policy on protecting the dignity of the person and preventing psychological and sexual	The Centre's policy includes an informal and a formal procedure relating to psychological and sexual harassment. The Centre has appointed confidential counsellors who are able to handle the informal	No cases.

	<p>harassment as early as 2009. With these rules, the Centre implemented a common policy of prevention of psychological harassment and sexual harassment within the context of the Staff Regulations. The Centre also organises regular information sessions regarding the prevention of harassment for its staff.</p>	<p>procedure. The formal procedure can be initiated at any time by contacting the Head of HR Section or by writing to the specific mailbox to report cases of harassment. Currently there are 2 confidential counsellors at the Centre who participate regularly in training sessions on the prevention of harassment (the last comprehensive, several days training was organised in December 2017). Representatives from HR and confidential counsellors participated to two workshops on prevention of harassment organised by EIGE in 2018. In 2019, the Translation Centre adopted new Guidelines for Managerial Development, which included a training on harassment prevention in the career path of all the senior and middle managers, Heads of section and potential managers. The guidelines explicitly confirm the commitment of the Translation Centre to zero tolerance towards harassment.</p>	
<p>Commen</p>			<p>No harassment cases were reported/investigated/taken before court.</p>

12. What was the average absence from work due to sick leave in 2019? How many working hours were lost as a consequence of burnouts or other work-related reasons?

Answer by the Agency

	Average absence from work due to sick leave (in days) in 2019.	Number of working hours lost as a consequence of burnouts or other work related reasons	Comments
Reply	9.6 days	0	The Centre did not receive from the medical service any indication about burnouts or other work-related absences.

13. Could the Network prepare a comprehensive list of staff-cuts implemented per individual Agency in accordance with the Commission's plan until 2019? How many of these staff-cuts were replaced by Contractual Agents or External experts?

Staff cuts 2013-2019

	Staff cuts per Agency	Contract agents employed	External experts employed	Comments
2013	-9	7	0	7 FTE contract staff members were added to partly replace temporary staff.
2014	-3	0	0	
2015	-3	1	0	1 FTE contract staff member was added to partly replace temporary staff. 1 additional FTE contract staff member was added to constitute the Croatian language team, but was not related to the replacements linked to the staff cuts.
2016	-3	0	0	11 FTE contract staff

				members were added for the Online Dispute Resolution (ODR) project with DG JUST which was linked to a projected increase in volume. These contract staff members were not related to the replacements linked to the staff cuts.
2017	-2	0	0	
2018	-2	0	0	7 FTE contract staff members were cut for the Online Dispute Resolution (ODR) project with DG JUST since the projected increase in volume did not materialise at the level originally forecast.
2019	0	0	0	

14. Is there any increase of the workload or new tasks designated to each agency and how does it manage to accommodate these to the available staff in 2019? Did your Agency face an increase in workload or new tasks assigned in 2019? How did you accommodate these with the staff available in 2019?

Reply: The Centre has experienced an increase of over 60% in its client portfolio, from 41 clients in 2009 to 68 clients in 2019. The addition of these new clients, has resulted in higher translation volumes. Moreover, the diversification of the client base has also added to the complexity of the workload requiring significant internal human resources.

The Centre has been continuously investing in solutions stemming from the development and adoption of language technologies to increase the efficiency and the quality of the services delivered to its clients. Following the report of an external study in 2018, the Centre embarked on a two-year transformation plan aimed at implementing a financially sustainable business model while increasing efficiency and effectiveness. The plan is based on the use of state-of-the-art language technologies combined with the expertise of the Centre's staff.

### *Conflicts of interest and transparency*

15. Could each Agency confirm whether the declarations of conflicts of interest are in place (and public) for their: · management board members · senior management?

Declaration of Col

	Management board members	Senior management	Comments
Reply	yes	yes	Published on the CdT website

16. Could each Agency confirm if they publish on their website the CVs of their: · management board members · management staff · external experts · in-house experts?

	Management board members	Management staff	External experts	In-house experts	Comments
Answer	No	Yes for senior management staff (Director)	Not applicable	Not applicable	



17. What kind of mechanisms do the Agencies use to identify and avoid conflicts of interest, and were there any cases of conflicts of interest reported, investigated and concluded in 2019?

Reply: A panel composed of the Head of HR section and Head of legal affairs section analyses the declarations and investigates if there is any suspicion of conflict of interest. There were no cases of conflicts of interest reported, investigated and concluded in 2019.

18. For the Agencies that depend on fee collection: how many percent of the Agency's income consist of fees? How does the Agency view in this regard the danger of conflicts of interest for relying on fees from their clients? What kind of mechanism(s) to prevent conflict of interests do the agencies that collect fees from their clients have at their disposal? Would the Agency consider it an appropriate solution if the Commission would collect the fees, and the Agency would hence be fully funded from the EU budget?

Fee financed Agencies

	How many percent of your Agency's income consists of fees?	Does the Agency see any potential danger of Col from relying on fees from its clients?	What kind of mechanisms does the Agency use to prevent Col stemming from the collection of fees?	Would the Agency consider it an appropriate solution for the Commission to collect the fees and the Agency to be fully funded from the EU budget?
Reply	The Translation Centre's income is mostly composed of fees paid by its clients for the services. It amounts to 99.2 % of the total income.	The risk of conflict of interest is even broader for the Translation Centre since its clients are represented in its management board and therefore approve the Translation Centre's price lists for services. Furthermore, to this day, there are no obligations on the Translation Centre's clients to respect the budgetary forecast they submit to the	The Translation Centre tries to keep budgetary reserve called "reserve for the stability of prices" in order to balance the budget in case of unforeseen events or reduced demands from its clients, whether the reduction was planned or not.	To this date, it would not be appropriate. In the future, we might imagine that an annual funding, dedicated to the linguistic services, might be allocated to all our clients linked with the Commission, and that the Commission would pay annually to the Centre this allocated sum.

		Centre concerning the ordering of services. Therefore, the revenues cannot be guaranteed on the year while most of the expenses are structural and recurring and therefore are difficult to reduce during the year in order to balance the budget.		
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19. Have all the Agencies set up and implemented internal rules or common guidelines on whistleblowing? Could the Agencies provide the number of open, closed and ongoing whistleblowing cases in 2018? Which actions were taken for each of these case and what were the results?

	Has your Agency implemented internal rules or common guidelines on whistleblowing?	Can the Agency provide the number of open/closed/on-going whistleblowing cases in 2019?	What actions were taken for each of these cases and what were the results?	Comments
Reply	Yes, internal rules on whistleblowing have been implemented, they are based on the common guidelines.	There were no case in 2019.	Not applicable.	
Comment				

20. Are all meetings with lobbyists, in case such meetings were held: · registered · made public?

Meeting with lobbyists

	Were the meetings registered?	Were the meetings made public?	Comments
Agency meeting with lobbyists	Not applicable.	Not applicable.	There are no meetings with lobbyists, due to the nature of the core tasks of the Translation Centre.

## *Other comments*

21. Which measures did the Agencies implement in 2019 in order to increase their public visibility and online presence? Could you please summarize shortly the actions taken in order to promote the work of the Agencies to EU citizens, and to make services available to the wider public, civil society and academia where appropriate?

Reply: To enhance communication with the European citizens, the Translation Centre's website is available in 24 EU languages, as recommended by the European Commission's Roadmap for a Common Approach towards EU Agencies and the European Ombudsman. In 2019, the website recorded almost 115 000 visits.

The number of social media subscribers to the Centre's three accounts (Facebook, LinkedIn and Twitter) increased by 37% in 2019, reaching approximately 15 000 people. Given the increasing importance of visual communication, especially on social media, the Centre produced two videos: one to explain the functioning and benefits of its web translation module for Drupal-based websites, and one to explain the re-ranking procedure, which is a key element of the Centre's quality assurance process. Particularly successful on social media was the Centre's Advent calendar in 24 languages at the end of the year, which was even presented by the radio station France Bleu Lorraine, allowing listeners to discover the sound of all the European languages recorded by the Centre's staff.

A major public outreach highlight was the Centre's coordination of the interinstitutional stand on 'Translating for Europe' in the context of the Luxembourg Europe Day celebrations on 9 May. Its objective was to promote the profession of EU translators and multilingualism. For this event, the Centre produced different promotional materials (posters, roll-ups, T-shirts, pens, etc.) with the aim of making them available to all institutions for re-use at similar events in the future.

The Centre continued to manage and further develop the EU's interinstitutional terminology database (IATE) on behalf of its institutional partners. IATE is publicly available and registers around 30 million queries per year. The tool was presented by the IATE Management Group (IMG) members at different external events, e.g.:

- European Commission's DGT Field Officers' meeting in Luxembourg in January 2019.
- JIAMCATT, hosted by the European Commission in Luxembourg in May 2019.
- TermNet Terminology Summer School, in Vienna, in July 2019.
- Bureau de la traduction / Services publics et Approvisionnement / Gouvernement du Canada, in relation to the development of the new TERMIUM on their side.
- European Day of Languages, Brussels, September 2019.
- Event organised by the Catalan Studies Institute, Barcelona, October 2019.
- European Migration Network (Glossary working group), Sliema, October 2019.
- European Commission's Translating Europe Forum, Brussels, November 2019.

- Translating and the Computer, London, November 2019.

A paper on IATE co-authored by the Centre's IATE Tool Manager and the Head of the Centre's Translation Department was published by John Benjamins Publishing Company in the journal Terminology. International Journal of Theoretical and Applied Issues in Specialized Communication.

Throughout 2019, the Centre continued to maintain contacts with educational and other official bodies in order to raise awareness about the translator's profession in the EU context, to promote its work for the EU agencies and to benchmark its working methods, e.g.:

- Visits from 20 students enrolled on the Franco-German law course at the University of Nanterre (France) and from 25 Romance language students from Bonn University (Germany). Visits by 280 trainees (7 groups) from the EU institutions.
- Presentation to the Benelux General Secretariat in Brussels (Belgium).
- Keynote speech at a conference organised by the University of Liège (Belgium) about translators and new technologies. Following this event, the Centre was featured in 'Le Quinzième Jour', the quarterly magazine produced by the Université de Liège.
- Presentation on how language technology impacts the work of translators at the 'First international congress on Spanish as a science language and a means of innovation' organised by the University of Rome Tor Vergata – Rome (Italy).
- Knowledge sharing exercise on 'Translation and localisation project management' with the KU Leuven University in Antwerp (Belgium).

As in previous years, the Centre continued to be involved in the meetings and subgroups of the international forums for language professionals IAMLADP and JIAMCATT where it shared its experience in workflow and terminology management as well as language technology use.

22. Which measures did the Agencies implement in 2019 in order to increase their cyber security and protection of the digital records in its possession? Does the Agency have such a policy in place / in a making?

Reply: The Centre has established an inventory and security plans for all its information systems. In addition, the Centre has in place policies (and their respective implementing rules) on the security of communication and information systems and on the implementing provisions necessary to ensure, inter alia, the confidentiality of certain work. Additional IT security standards and security notices are in the process of being adopted.

The Centre continued to maintain and update its security infrastructure that protects all the Centre's information systems, including the ones used to manage records.

23. Could the Agencies provide a list of their internal measures in place to: · put in place a comprehensive strategy for sustainable development, including steps to reduce or offset CO<sup>2</sup> emissions? · ensure a cost-effective and environment-friendly working place?

Internal measures in place

	Ensuring cost-effective and environment-friendly working place	Comprehensive strategy for sustainable development, including steps to reduce or offset CO <sub>2</sub> emissions?
Answer	<p>The Centre has been making significant efforts to create, maintain and further develop an environment-friendly and a cost-effective working environment. Due to the introduction of paperless workflow the paper consumption decreases year by year. In 2019 we used 160 boxes of paper (2500 sheets/box), which is 33% less than in the previous year. We also opted for the use of large-scale printers located on the corridors instead of individual office printers located in the offices. This not only reduces the electricity and paper consumption but also reduces the volume of waste generated (cartridges, out-of-service equipment). The Centre places emphasis on selective waste collection. We have been engaged in this process for years and by the way of external audits we acquired the SuperDrecksKesch label annually, including for the year 2019. As environmental issues are among the priorities of the Centre, new colleagues receive</p>	<p>Being an agency active in the field of translation, the biggest part of the Centre's carbon footprint is related to electricity consumption. We use energy saving equipment in all fields (notably lighting and IT) and the lighting on corridors and community spaces are equipped with movement sensors in order to be used only when necessary. Purchasing electricity from a green source reduces the CO<sub>2</sub> indirect output. As electricity is the most important commodity it has to be available from an alternative source as well. In the case of the Centre it comes from a diesel-powered electricity generator, the CO<sub>2</sub> output of which is scheduled to be tested in Q3 2020. In addition to decreasing our electricity consumption to the lowest possible level, the Centre plans to purchase electricity from a sustainable source. Therefore, the Centre plans to join an inter-institutional initiative to procure electricity supply from a green source. This project is still in progress. Another significant source of CO<sub>2</sub> emission comes from transport. In order to facilitate the reduction of fuel consumption of the Centre, we initiated the process of changing the company car from a petrol-powered vehicle to semi-electrical car. There are charging facilities available at our parking lot making it possible to recharge electric cars. The Centre also joined the Commission's car-</p>

	<p>their first training as part of their induction training. As the Centre rents its office space, we have the opportunity to join the projects of the facility owner in addition to our own environmental and sustainable development initiatives. The latest of this is the establishment of bee hives on the premises, aiming to facilitate the preservation of local biodiversity.</p>	<p>sharing initiative in 2015 and continued to remain a participant in the reporting period. The Centre's staff members are also encouraged to take advantage of the free public transport system in Luxembourg starting in Q1 2020.</p>
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***Budget and financial management and performance***

1. Could all Agencies illustrate the amounts of planned and unplanned carryovers and of carryover cancellations by budgetary title and the main reasons behind them?

**Planned carry-overs**

	Budgetary title	Amount	Justification
Title 1	Staff expenditure	184 123 EUR	The carry overs represent amounts planned to be paid in the following year, related to recruitment, training and legal expenditure.
Title 2	Infrastructure and operating expenditure	485 782 EUR	348 026 EUR invested in upgrade of software and hardware infrastructure. 119 951 EUR related to utilities and other running costs (security, cleaning, transportation costs) 17 805 EUR related to legal services and administrative meetings
Title 3	Operational expenditure	3 537 218 EUR	The Agency uses Differentiated Appropriations in Title 3. All projects carried forward to 2020 were according to plans.
Title 4			

**Unplanned carry-overs**

	Budgetary title	Amount	Justification
Title 1	Staff expenditure	0 EUR	The amounts carried over were all planned
Title 2	Infrastructure and operating expenditure	124 367 EUR	The amount consists of three 2nd priority projects which depended on budget availability and were related to upgrade of ICT infrastructure and consultancy on ICT strategy
Title 3	Operational expenditure	0 EUR	The Agency uses Differentiated appropriations in Title 3 and all carry



			overs were planned.
Title 4			

#### Cancelled carry-overs

	Budgetary title	Amount	Justification
Title 1	Staff expenditure	40 521 EUR	Estimates for staff removal, training and recruitment costs deviated from the actual expenditure, due to cancellation of activities.
Title 2	Infrastructure and operating expenditure	18 811 EUR	Estimates of utilities were overstated. Also, one order form for mobile equipment was cancelled
Title 3	Operational expenditure	0 EUR	The Agency managed to pay all commitments carried over from previous years or carry them over for an additional year, according to the planned payments stipulated in contracts signed (Differentiated Appropriations).
Title 4			

2. What are the key performance indicators (outcome/impact) used by the Agencies for measuring the added value provided by their activities, and for enhancing their budget management in this regard? Which KPIs were added / deleted in 2019? Do the Agencies use or plan to introduce other instruments to measure performance?

Performance indicators:

Cedefop introduced a performance measurement system (PMS) already in 2009 to measure its performance and the success and achievement of its activities. The PMS is an integral part of the Agency's planning and monitoring processes and was highlighted as an example of good practice in 2012 by the IAS. In addition, Cedefop's PMS has been praised as 'exemplary'<sup>1</sup> by the European Parliament in the discharge reports for the financial years 2017 and 2018.

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<sup>1</sup> 2017: [https://www.europarl.europa.eu/doceo/document/TA-8-2019-0258\\_EN.html](https://www.europarl.europa.eu/doceo/document/TA-8-2019-0258_EN.html)

2018: [https://www.europarl.europa.eu/doceo/document/TA-9-2020-0092\\_EN.html](https://www.europarl.europa.eu/doceo/document/TA-9-2020-0092_EN.html)

The PMS measures project, activity and organisational level performance and is in line with the EU de-centralised agencies Common Approach ( ) which outlines key performance indicators (KPIs) for the Directors of EU de-centralised agencies. It helps Cedefop manage and evaluate its impact, efficiency, effectiveness and relevance, and strengthens the alignment of the organisation's activities with its strategic objective and priorities.

The PMS uses three types of results – output, outcome and impact – which are measured using a set of indicators. Results are contextualised qualitatively to understand where further performance improvements and efficiency gains can be made. Cedefop's Governing Board is informed of the results in the progress and annual reports. They are also included in the CAAR to inform the Budgetary Authority. Some examples of outcome indicators include:

- Quality of Cedefop's consultation with its Governing Board
- Satisfaction and engagement of Cedefop staff members
- References of Cedefop's work in policy documents of EU and international organisations
- Mandates and assignments entrusted to Cedefop by EU institutions
- Contributions of Cedefop to (i) policy documents and (ii) meetings that inform policies and their implementation
- Citations of Cedefop work in academic literature
- Take up of Cedefop's work in the European media
- Satisfaction of participants with meetings and events organised by Cedefop

Which KPI's is your Agency using to enhance its budget management?

Cedefop is using a number of performance indicators to make sure that it meets its core value of being an efficient and well-run organisation. These indicators measure the effectiveness and efficiency of its internal processes related to budget execution, procurement, HR processes, staff training etc. Performance indicators related to budget management include:

- Percentage of budget execution
- Rate of outturn (payment appropriations)
- Percentage of payments completed within the legal/contractual deadlines

In 2019 Cedefop launched its first user satisfaction survey to about 6 000 beneficiaries of its work to inform three newly developed qualitative indicators and understand better to which extent the quality and relevance of Cedefop's work and expertise is used and valued by its users. More specifically the survey provided information on Cedefop's shifting role as a knowledge broker, its targeted support to the Member States (e.g. policy learning activities) and the shift from printed/conventional publications to presenting its work on-

line (e.g. online databases, data visualisations, audio-visual content) in an interactive, clear and user-friendly way:

- Satisfaction with Cedefop's online interactive tools and databases
- Cedefop's success in facilitating policy learning
- Mobilisation of Cedefop's networks as information multipliers

Cedefop's work was assessed as reliable, clear and understandable, up to date, presented in an attractive form, and meeting the needs of stakeholders. 90% or more respondents strongly agreed or agreed with all of these statements.

In 2020 Cedefop reviews its PMS to:

- i. Make data collection and reporting more efficient by exploring IT and AI-based solutions and rationalise the indicators to make the PMS more manageable;
- ii. consider the impact of latest trends and developments (e.g. COVID-19, new technologies) on Cedefop's work and the way its performance should be measured;
- iii. align it with Cedefop's priorities and the post 2020 mission, values and multi annual objectives as far as necessary.

In addition to rationalising its PMS, Cedefop continues to collaborate in 2020 to align its system with those of the other agencies which are under the remit of DG EMPL, namely Eurofound, ETF and EU-OSHA. This is in line with one of the recommendation of the Commission's Staff Working Document<sup>2</sup> on the evaluation of the EU Commission Agencies working in the employment and social affairs policy field, published on 9 April 2019. More specifically the four agencies agreed to compare administrative indicators and their methodologies with the aim to align them where possible. As for the indicators that relate to uptake of agencies' work in and contributions to EU-level policy documents (Cedefop PMS indicators 1 and 3) the four agencies cooperate in the context of the PDN working group to further improve their methodologies for data collection and analysis of results.

4. Have the Agencies identified and evaluated the possibility to coordinate and share resources on overlapping tasks with other Agencies with similar activities?

Reply: In May 2020, Cedefop and ENISA signed a new Service Level Agreement, renewing their commitment from 2017 to seek efficiency gains of sharing services between the two agencies and to share knowledge, expertise and best practices across the two agencies. The agencies have agreed to share knowledge and expertise on business solutions and common

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<sup>2</sup> Commission Staff Working document Evaluation of the EU Commission Agencies working in the employment and social affairs policy field: EUROFOUND, CEDEFOP, ETF and EU-OSHA {SWD(2019) 160 final}

IT tools, HR matters and the implementation of the Staff Regulations and CEOS, finance and procurement matters, policies, strategies and procedures related to the Internal Control Framework, on information security and data protection, on business continuity and disaster recovery, on quality and performance management, and on their respective fields of expertise. Furthermore, the two agencies are committed to seek systematic cooperation in procurement (joint procurements), IT services, the prevention of harassment, the implementation of the Agencies' respective seat agreements, staff training and communication. They will explore the possibility of developing staff exchanges and the provision of back-up for specific functions common across the two agencies such as e.g. Data Protection officer, Accounting Officer.

5. To what extent has the working program of each agency been implemented and what are the most important achievements?

Reply: Please see Cedefop's Annual Report 2019 (link [https://www.cedefop.europa.eu/files/4185\\_en.pdf](https://www.cedefop.europa.eu/files/4185_en.pdf))

6. How many recommendations for improvement have been given by the internal audit service and how many of the recommendations from the previous year have been implemented?

Reply: Six recommendations were issued by IAS in 2019 and were followed up closely under the supervision of the Internal Control Coordination (ICC) team. Five were implemented, sent for review and for closure in 2019. One was implemented in 2020 and sent for review and closure in 2020.

### *Staff policy*

7. How did the Establishment Plan (officials and temporary agents) of each Agency evolve from 2018 to 2019, taking the data of 31.12.2019 compared with 31.12.2018? How many seconded national experts, contract staff, interim staff and consultants were working for each Agency in 2019, expressed in FTEs?

Number of staff

	Officials (posts filled)	Temporary agents (posts filled)
Establishment plan 31.12.2017-31.12.2018	13 (2017) 12 (2018)	75 (2017) 75 (2018)
Establishment plan 31.12.2018-31.12.2019	12 (2018) 12 (2019)	75 (2018) 74 (2019)

Other staff

	SNEs (FTE)	Contract agents (FTE)	Interim staff (FTE)	Consultants (FTE)
31.12.2019	3	25	0	8,5

8. Could each Agency present a gender and nationality breakdown of its senior and middle management positions and its management board, and of its staff overall, including as percentage of the total number for each category requested?

	Senior management Male	Senior management Female	Management board - Male	Management board - Female	Staff overall - Male	Staff overall - Female
Austria			5	1		2
Belgium		1	2	4	1	4
Bulgaria				4		1
Croatia				5		1
Cyprus			4	2		
Czech Republic			3	2	1	1
Denmark			3	2		2
Estonia			2	4		
Finland			2	4		2
France			1	4	4	7
Germany	2		5	5	2	5
Greece	1		6		23	25
Hungary			2	2		
Ireland			5			

Italy	1	1	5	1	3	4
Latvia				5	1	1
Lithuania			3	2		
Luxembourg			5	1		
Malta			4	2		
Netherlands			1	3	1	
Poland			3	2		1
Portugal			3	3	1	
Romania			2	3	1	3
Slovakia			5		1	
Slovenia			1	2		1
Spain			3	3	2	1
Sweden			3	2		1
United Kingdom			2	3	2	1
Norway			1	2	1	1

Representation expressed as percentage

	% of males in the overall management staff	% of females in the overall management staff	% of males in the overall management board staff	% of females in the overall management board staff	% of males in the overall staff	% of females in the overall staff
Answer	66.7%	33.3%	53%	47%	41%	59%



9. How many former MEPs, Commissioners or high-level officials (from AD 14) still receive money from the budget of your institution as advisors, contract agents or others? What are their tasks and their respective salaries?

Reply: None

10. What measures / activities were organised to improve on the well-being for staff in each agency? What were the costs in 2019 and how many staff members participated in these events?

Events/measures taken by the Agency

	Measures/Activities organised to improve on the well-being for staff	Cost of the activities	Number of staff that participated
	To respond to staff desire to improve their work-life balance, a 'Take Time for Your Life- Towards a Healthier Work Life Balance' workshop was offered in February. It gave the participants the opportunity to take a step back and consider their lives holistically, gaining new insights into their professional, social and personal priorities.	2 884 EUR	20 staff members
	Well being events (sports and leisure activities, farewell events, end of year event)	All staff members	All staff members

11. What measures do Agencies use to prevent and fight against harassment? What kind of efforts have the Agencies made to facilitate easy and confidential reporting of internal and external harassment towards their staff? Were there any harassment cases reported, investigated or taken before the court in 2019?

Measures taken by the Agency

	What measures does your Agency use to prevent and fight against harassment?	What measures does your Agency have in place to facilitate easy and confidential reporting of internal and external harassment towards your staff?	In 2019 how many harassment cases were reported/investigated/taken before court?
Reply	<p>A key focus continued to be the raising of staff awareness regarding non-discrimination and what can and must be their contribution for enhancing and further promoting a climate of dignity at work and respect. Two information sessions were delivered (in February and in November) by the Coordinator of the Network of Confidential Counsellors and the counsellors. The 6-module training for new confidential counsellors was successfully completed in June and new confidential counsellors were appointed in September. Their contact details are posted on Intranet under the respective anti-harassment section alongside other relevant documents. Furthermore, on 24 June Cedefop organised and hosted in Thessaloniki a Peer Learning and Mentoring workshop for confidential counsellors and HR officers. The</p>	<p>Easy access to information regarding the procedure and the confidential counsellors. Continuous capacity building of the confidential counsellors - periodic meetings of the confidential counsellors and the coordinator, as well as supervision with external contractor. Briefing on dignity at work and a meeting with counsellor is part of the newcomers' induction.</p>	<p>There were no formal harassment cases in 2019.</p>

	<p>event was a follow up to the first initiative of this kind that was organised by EIGE in 2018 and brought together 23 HR coordinators and 21 CC from a total of 30 Agencies. In the break-out groups and in the plenary the participants exchanged experience regarding the implementation of their dignity at work policies and learned from one another, they discussed challenges faced and possible solutions. The event included a teleconference with Ms Angela Marcos Figueruelo, a Legal Officer at the European Ombudsman, who presented their report with the best practices identified across the EU civil service in preventing and dealing with harassment, and responded to questions from the audience</p>		
Commen			

12. What was the average absence from work due to sick leave in 2019? How many working hours were lost as a consequence of burnouts or other work-related reasons?

Answer by the Agency

	Average absence from work due to sick leave (in days) in 2019.	Number of working hours lost as a consequence of burnouts or other work related reasons	Comments
Reply	11.7	This information is not available as it concerns confidential medical information.	

13. Could the Network prepare a comprehensive list of staff-cuts implemented per individual Agency in accordance with the Commission's plan until 2019? How many of these staff-cuts were replaced by Contractual Agents or External experts?

Staff cuts 2013-2019

	Staff cuts per Agency	Contract agents employed	External experts employed	Comments
2013	1 post cut	23	8.5	on 31/12/2013
2014	2 posts cut	23	8.5	on 31/12/2014
2015	2 posts cut	25	8.5	on 31/12/2015
2016	2 posts cut	26	8.5	on 31/12/2016
2017	2 posts cut	26	8.5	on 31/12/2017
2018	1 post cut	25	8.5	on 31/12/2018
2019	0 post cut	25	8.5	on 31/12/2019

14. Is there any increase of the workload or new tasks designated to each agency and how does it manage to accommodate these to the available staff in 2019? Did your Agency face an increase in workload or new tasks assigned in 2019? How did you accommodate these with the staff available in 2019?

Reply: The implementation of the annual work programme is presented and discussed regularly with Cedefop's Executive Board.

### *Conflicts of interest and transparency*

15. Could each Agency confirm whether the declarations of conflicts of interest are in place (and public) for their: · management board members · senior management?

Declaration of Col

	Management board members	Senior management	Comments
Reply	From 163 Members and alternates, 22 still pending	Executive Director, Deputy Executive Director, Deputy Director and Heads of Department	

16. Could each Agency confirm if they publish on their website the CVs of their: · management board members · management staff · external experts · in-house experts?

	Management board members	Management staff	External experts	In-house experts	Comments
Answer	From 163 Members and alternates, 22 still pending	Executive Director, Deputy Executive Director, Deputy Director and Heads of Department	N/A	N/A	

17. What kind of mechanisms do the Agencies use to identify and avoid conflicts of interest, and were there any cases of conflicts of interest reported, investigated and concluded in 2019?

Reply: A section of the agency's intranet is dedicated to the prevention and management of conflict of interest, under Ethics and Staff Conduct. Guidelines are provided for reporting any potential case by the staff.

18. For the Agencies that depend on fee collection: how many percent of the Agency's income consist of fees? How does the Agency view in this regard the danger of conflicts of interest for relying on fees from their clients? What kind of mechanism(s) to prevent conflict of interests do the agencies that collect fees from their clients have at their disposal? Would the Agency consider it an appropriate solution if the Commission would collect the fees, and the Agency would hence be fully funded from the EU budget?

Fee financed Agencies

	How many percent of your Agency's income consists of fees	Does the Agency see any potential danger of Col from relying on fees from its clients?	What kind of mechanisms does the Agency use to prevent Col stemming from the collection of fees	Would the Agency consider it an appropriate solution for the Commission to collect the fees and the Agency to be fully funded from the EU budget?
Reply	N/A			

19. Have all the Agencies set up and implemented internal rules or common guidelines on whistleblowing? Could the Agencies provide the number of open, closed and ongoing whistleblowing cases in 2018? Which actions were taken for each of these case and what were the results?

	Has your Agency implemented internal rules or common guidelines on whistleblowing?	Can the Agency provide the number of open/closed/on-going whistleblowing cases in 2019?	What actions were taken for each of these cases and what were the results?	Comments
Reply	Yes	0		
Comment	The guidelines are available on the agency's intranet			

20. Are all meetings with lobbyists, in case such meetings were held: · registered · made public?

Meeting with lobbyists

	Were the meetings registered?	Were the meetings made public?	Comments
Agency meeting with lobbyists	N/A		

## *Other comments*

21. Which measures did the Agencies implement in 2019 in order to increase their public visibility and online presence? Could you please summarize shortly the actions taken in order to promote the work of the Agencies to EU citizens, and to make services available to the wider public, civil society and academia where appropriate?

Reply: Cedefop's strategic collaboration with DG EMPL continued, focusing on joint communication campaigns (e.g. #CedefopPhotoAward and the European vocational skills week 2019 in Brussels), and the Agency's focus on social media activities, audio-visual content, data visualisation and innovative interactive online tools, contributed also to an increase of public visibility and online presence.

22. Which measures did the Agencies implement in 2019 in order to increase their cyber security and protection of the digital records in its possession? Does the Agency have such a policy in place / in a making?

Reply:

- a) Cedefop appointed a LISO (Local Information Security Officer) in early 2019
- b) Security policy and risk register have been implemented for the major web services of Cedefop
- c) Cedefop's ICT service staff and contractors participates regularly to the ENISA and CERT-EU conferences, meetings and exercises where valuable experience is collected on how to deal with incidents and methods.
- d) The LISO performed regular ICT cybersecurity awareness sessions to all the staff of the Centre.
- e) Cedefop with the assistance of CERT-EU made a phishing exercise to all the staff of Cedefop to measure the effectiveness of the awareness sessions and also check the readiness of the staff.
- f) The ICT service utilised a second antivirus engine to filter all incoming e-mails and reduce the risk of malware infecting the internal systems of the Centre
- g) An initial cyber security training program has been started by the LISO in the areas of security skills, the certification of CISSP (Certified Information Security System's Professional) was obtained by the LISO, and additional training is planned in the current and coming years.

Records of the organisation are authentic, reliable and accessible, meeting the legal obligations.

Digital records are organised in a dedicated ECMS (enterprise content management system) Livelink of OpenText.



23. Could the Agencies provide a list of their internal measures in place to: · put in place a comprehensive strategy for sustainable development, including steps to reduce or offset CO<sup>2</sup> emissions? · ensure a cost-effective and environment-friendly working place?

Internal measures in place

	Ensuring cost-effective and environment-friendly working place	Comprehensive strategy for sustainable development, including steps to reduce or offset CO <sub>2</sub> emissions?
Answer	<p>Since 2008, Cedefop is making a firm commitment to environment management practices. It has introduced a comprehensive and structured internal Environmental Management System (EMS) and uses performance indicators to measure progress towards the achievement of the Agency's green objectives. The related performance indicators are reviewed annually. In the period 2021-2023, in addition to enhancing the functionality of its building facilities, Cedefop will, within the limits of evolving budgetary constraints, gradually convert to a reliable, sustainable and competitive energy system. The aim is to generate savings through energy efficiency as well as to reduce the environmental footprint of the organisation. To reduce the use of paper, Cedefop is moving towards a paperless office (incl. e-procurement since 2018) and monitors closely the use of paper for printing in order to reduce consumption. The Agency sorts its waste and has</p>	<p>Cedefop plans to design and implement a corporate sustainability policy and produce a first sustainability report by 2021. In June 2020, in the context of the PDN network, a group of volunteer Agencies started working on the environmental planning &amp; reporting guidelines for EU Agencies. The study is currently ongoing aiming at providing EU Agencies with environmental planning &amp; reporting guidelines.</p>

	<p>taken actions to reduce the use of plastic. Cedefop conducts calculations of Greenhouse gas (GHG) emissions since 2008. Cedefop's CO2 emissions main producers are: electricity consumption, heating oil consumption, water consumption and waste. Due to its remote location, Cedefop favours video and teleconferencing when possible to reduce the need for travelling.</p>	
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**Budget and financial management and performance**

1. Could all Agencies illustrate the amounts of planned and unplanned carryovers and of carryover cancellations by budgetary title and the main reasons behind them?

## Planned carry-overs

	Budgetary title	Amount	Justification
Title 1	STAFF expenditure	89 693 EUR	80% of the carry over related to interim staff contracts invoiced in 2020. The remaining part was covering other contracts (training, recruitment cost, and missions) not yet delivered/invoiced in 2019.
Title 2	Buildings, equipment and miscellaneous expenditure	116 136 EUR	Mainly IT equipment ordered and IT services contracted in Q4. Delivery and invoicing were planned for 2020
Title 3	Operational expenditure	551 594 EUR	Approximately 90 000 EUR for service contract (interim staff) invoiced in 2020. 320 000 EUR for Training courses held in Q4 2019 and not yet claimed or planned for Q1 2020.  Other: IT contract for LEED platform extended up to Q1 2020, Renewal of subscriptions invoiced in 2020, and Communication purchase delivered in 2020.
Title 4	N/A	N/A	N/A

## Unplanned carry-overs

	Budgetary title	Amount	Justification
Title 1	STAFF expenditure	0	
Title 2	Buildings, equipment and miscellaneous expenditure	0	
Title 3	Operational expenditure	0	
Title 4	N/A	N/A	N/A

## Cancelled carry-overs

	Budgetary title	Amount	Justification
Title 1	STAFF expenditure	1 093 EUR	Up to end of August 2020, less than 1% of the carried forward credits were cancelled concerning not delivered services.
Title 2	Buildings, equipment and miscellaneous expenditure	0 EUR	No cancellation up to end of august 2020.
Title 3	Operational expenditure	16 158 EUR	Up to end of August 2020, approximately 3% of the carried forward credits were cancelled. Mainly for training courses. This is lower that the average de-commitment rate for courses.

Title 4	N/A	N/A	N/A
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2. What are the key performance indicators (outcome/impact) used by the Agencies for measuring the added value provided by their activities, and for enhancing their budget management in this regard? Which KPIs were added / deleted in 2019? Do the Agencies use or plan to introduce other instruments to measure performance?

Performance indicators:

CEPOL uses performance indicators to measure success at organisational level as well as achievement of each activity in the work programme.

Full account of progress achieved per each indicator is given in the 2019 Consolidated Annual Activity Report available on CEPOL website (<https://www.cepola.europa.eu/sites/default/files/08-2020-MB.pdf>). The multi-annual perspective indicators are summarised in Annex I a. The performance indicators did not significantly change from 2018 to 2019.

One of the CEPOL's key performance indicator is the 'Level of customer satisfaction with training activities', which is measured via evaluation survey filled in by course participants at the end of the training event. In 2019, the satisfaction rate achieved 96% versus target 94%.

In order to measure impact and to be able to better report on the effect of CEPOL trainings, the Agency conducts post-course evaluation surveys, six months after the training event.

In 2019, the detailed evaluation results confirmed that CEPOL trainings had positively changed the job performance of participating officers and cascaded good working practices in the sending authorities. 92% of participants declared that provided trainings were relevant, while four out of every five attendants, reiterated the personal and organisational benefits of CEPOL trainings.

The outcome of CEPOL trainings in national law enforcement organisations according to the feedback of former participants and their line managers, is: greater staff competence, enhanced international cooperation, better internal working methods and higher operation results.

Concerning budget management, CEPOL is using the following performance indicators:

- Commitment appropriations used (97%)
- Payment appropriations used (95%)
- Payment delays (95% of payments processed in time)

In addition to the performance indicators, CEPOL implemented the following additional instruments to monitor performance:

- quarterly progress reports per staff member
- monthly progress reports per Department
- twice a year progress reports on Agency level to the Management Board
- weekly and monthly budget implementation reports.

4. Have the Agencies identified and evaluated the possibility to coordinate and share resources on overlapping tasks with other Agencies with similar activities?

Reply:

CEPOL is continuously exploring the possibilities of sharing of resources on overlapping tasks (such as IT and other services) with other Agencies, especially with European Institute of Innovation and Technology (EIT), which is also located in Budapest.

To this end, a working agreement has been signed in 2014 based on which cooperation takes place in the following fields: sharing facilities (e.g. meeting rooms for joint trainings for staff), sharing expertise and capabilities in ICT including mutual placement of back up servers, mutual support for recruitment and procurement procedures.

In 2014 CEPOL outsourced its accounting services to the European Commission, therefore the EC Accounting Officer provides all services required by Articles 49 and 50 of the Framework Financial Regulation applicable to Agencies. The outsourcing arrangement produced positive outcomes since established, resulting in continuously favourable opinions on reliability of accounts from the external auditor.

Since 2017, when CEPOL obtained ISO 9001:2017 certification, the regular internal quality audits are implemented with the support of the Lead Quality Auditor from the European Maritime Safety Agency, generating cost savings and exchange of practices on quality management system.

In the area of core business, training coordination efforts among JHA agencies continued to be supported through joint activities organised by CEPOL in close cooperation with partner agencies, e.g. joint agreement between Frontex and CEPOL resulted in the implementation of 94 exchanges under the area of border and coast guarding funded by Frontex and carried out by CEPOL in 2019.

CEPOL has an active Working Agreement with Europol based on which, very close and efficient cooperation is taking place concerning the organisation of joint activities and providing input to residential activities and e-learning tools. Europol's experts contributed significantly to CEPOL's residential activities in a complementary manner and we acknowledge Europol's continuous involvement in implementation of CEPOL's Work Programme. Europol is equally strongly engaged into the analysis and identification of training needs based on their operational knowledge.

5. To what extent has the working program of each agency been implemented and what are the most important achievements?

Reply:

The Agency has successfully delivered its mandate, in some cases exceeding objectives set in its Annual Work Programme 2019.

For details please refer to the Consolidated Annual Activity Report 2019 - Management Board's analysis and assessment (page 4 and 5) (<https://www.cepola.europa.eu/sites/default/files/08-2020-MB.pdf>)

6. How many recommendations for improvement have been given by the internal audit service and how many of the recommendations from the previous year have been implemented?

Reply:

In November 2018, the IAS has implemented an audit concerning *'Training implementation, knowledge sharing and monitoring of results'*. The report includes 6 audit recommendations of which one critical (European Joint Master Programme), one very important (call for FWP agreements for residential training) and four important (e-net, training evaluation, e-Learning

process, internal and external reporting on new target group, non-substantial changes to the SPD, CEP narrative reports).

The one critical recommendation was immediately addressed by postponing the continuation of the Joint Master Programme to enable an open procurement procedure for the next cycle. All other recommendations have been implemented via corrective actions in 2020; the auditors' review of the implementation status was completed in September 2020, confirming that all recommendations have been addressed and therefore were closed.

### *Staff policy*

7. How did the Establishment Plan (officials and temporary agents) of each Agency evolve from 2018 to 2019, taking the data of 31.12.2019 compared with 31.12.2018? How many seconded national experts, contract staff, interim staff and consultants were working for each Agency in 2019, expressed in FTEs?

#### Number of staff

	Officials (posts filled)	Temporary agents (posts filled)
Establishment plan 31.12.2017-31.12.2018	N/A	32 (occupied: 32)
Establishment plan 31.12.2018-31.12.2019	N/A	32 (occupied: 30)

#### Other staff

	SNEs (FTE)	Contract agents (FTE)	Interim staff (FTE)	Consultants (FTE)
31.12.2019	5	17	16	

8. Could each Agency present a gender and nationality breakdown of its senior and middle management positions and its management board, and of its staff overall, including as percentage of the total number for each category requested?

	Senior management - Male	Senior management - Female	Management board - Male	Management board - Female	Staff overall - Male	Staff overall - Female
Austria			1		1	1
Belgium			1		1	
Bulgaria			1			
Croatia				1	2	3
Cyprus			1			
Czech Republic			1			
Denmark					1	
Estonia		1	1			2
Finland			1			
France				1		
Germany	1		2		2	
Greece			1		5	
Hungary				1	10	16
Ireland			1			
Italy			1		2	1
Latvia				1		1

Lithuania			1		1	1
Luxembourg			1			
Malta			1			
Netherlands	1			1	3	
Poland				1	2	2
Portugal			2		2	
Romania			1		1	5
Slovakia				1		1
Slovenia			1			
Spain			1	1	1	0
Sweden						1
United Kingdom					1	
Norway						

Representation expressed as percentage

Answer	67%	33%	71%	29%	44%	56%



9. How many former MEPs, Commissioners or high-level officials (from AD 14) still receive money from the budget of your institution as advisors, contract agents or others? What are their tasks and their respective salaries?

Reply: Not applicable.

10. What measures / activities were organised to improve on the well-being for staff in each agency? What were the costs in 2019 and how many staff members participated in these events?

Events/measures taken by the Agency

	Measures/Activities organised to improve on the well-being for staff	Cost of the activities	Number of staff that participated
1	CEPOL HQ has a gym that can be used by staff members; also our Hungarian partner (the International Training Centre of the Ministry of Interior) offers the use of their – much bigger – gym to CEPOL staff members.	CEPOL has to cover maintenance costs of its gym equipment.	Accessible to all staff
2	Once a year, CEPOL organises – at minimal costs – a barbeque for all staff and family; this is at minimal costs as staff is expected to bring food and drinks themselves. CEPOL costs are therefore limited to charcoal, plates/cups/cutlery etc.	-	approx. 45
3	CEPOL staff Christmas party	4,769 €	approx. 80 staff

11. What measures do Agencies use to prevent and fight against harassment? What kind of efforts have the Agencies made to facilitate easy and confidential reporting of internal and external harassment towards their staff? Were there any harassment cases reported, investigated or taken before the court in 2019?

Measures taken by the Agency

	What measures does your Agency use to prevent and fight against harassment?	What measures does your Agency have in place to facilitate easy and confidential reporting of internal and external harassment towards your staff?	In 2019 how many harassment cases were reported/investigated/taken before court?
Reply	On 6 June 2017, CEPOL adopted the policy on protecting the dignity of the person and preventing psychological and sexual harassment (MB Decision 09-2017-MB). The adopted policy contains preventive measures (information sharing and training) as well as remedies (Informal procedure with confidential counsellors as well as a formal procedure)	CEPOL has implemented the so-called informal procedure with confidential counsellors. This can be used for both internal and external harassment of our staff.	No harassment cases reported in 2019
Comments			

12. What was the average absence from work due to sick leave in 2019? How many working hours were lost as a consequence of burnouts or other work-related reasons?

Answer by the Agency

	Average absence from work due to sick leave (days) in 2019.	Number of working hours lost as a consequence of burnouts or other work related reasons	Comments
Reply	7.9 days / staff member	One staff member recovering from burnout followed a re-introduction to the workplace from the beginning of 2019. Numbers of working hours lost as a consequence totalled 320.	The average absence from work due to sick leave in 2019 is negatively impacted by 3 staff members who were on long-term sick leave (2 for 1 month, 1 for 1 ½ month).

13. Could the Network prepare a comprehensive list of staff-cuts implemented per individual Agency in accordance with the Commission's plan until 2019? How many of these staff-cuts were replaced by Contractual Agents or External experts?

Staff cuts 2013-2019

	Staff cuts per Agency	Contract agents employed	External experts employed	Comments
2013	0			
2014	-1			One TA position was cut following outsourcing the accounting function to the EC Accounting Officer. This position was not replaced with CA or external experts.
2015	0			
2016	0			
2017	0			
2018	0			
2019	0			

14. Is there any increase of the workload or new tasks designated to each agency and how does it manage to accommodate these to the available staff in 2019? Did your Agency face an increase in workload or new tasks assigned in 2019? How did you accommodate these with the staff available in 2019?

Reply:

In the last years, the number of law enforcement officials taking part in CEPOL training activities has continuously grown, in spite of a budget which remained essentially stable, as no significant increase of financial or human resources was granted to the agency to implement fully its enhanced mandate that came into application in July 2016.

CEPOL receives a continuously growing demand for law enforcement training. Due to the 2019 budget cuts, CEPOL had to apply negative priorities, hence 50% of the residential activities identified in the 2019 needs assessment process, and 53% of the applications for CEPOL Exchange Programme could not be satisfied due to budget constraints.

The Management Board - in its decision 08/2020/MB on establishing the analysis and assessment of the Consolidated Annual Activity Report 2019 – emphasised the importance of providing the Agency with adequate resources (both financial and human) for the implementation of its mandated tasks as well as addressing the ever-growing demand from the law enforcement community to provide more specific training and capacity building activities.

***Conflicts of interest and transparency***

15. Could each Agency confirm whether the declarations of conflicts of interest are in place (and public) for their: · management board members · senior management?

Declaration of CoI

	Management board members	Senior management	Comments
Reply	YES	YES	

16. Could each Agency confirm if they publish on their website the CVs of their: · management board members · management staff · external experts · in-house experts?

	Management board members	Management staff	External experts	In-house experts	Comments
Answer	YES	YES	NO	NO	

17. What kind of mechanisms do the Agencies use to identify and avoid conflicts of interest, and were there any cases of conflicts of interest reported, investigated and concluded in 2019?

Reply:

CEPOL adopted and implements the following key documentation: Code of Administrative Behaviour (Decision of the Director 26/2019), CEPOL's Anti-Fraud Sub-Strategy (Decision 33/2017/GB), Policy on Management of Conflict of Interest (Decision 32/2014/GB) and guidelines on whistleblowing (Decision 03/2019/MB).

In line with the policy on conflict of interest, MB members, staff members, SNEs, interims, have all signed a declaration of conflict of interest which is renewed on regular basis.

Staff participating in tender evaluations and/or recruitment panels have for each procedure in which they participate sign a declaration on absence of conflict of interest.

No cases of conflict of interest were identified in 2019.

18. For the Agencies that depend on fee collection: how many percent of the Agency's income consist of fees? How does the Agency view in this regard the danger of conflicts of interest for relying on fees from their clients? What kind of mechanism(s) to prevent conflict of interests do the agencies that collect fees from their clients have at their disposal? Would the Agency consider it an appropriate solution if the Commission would collect the fees, and the Agency would hence be fully funded from the EU budget?

Fee financed Agencies

	How many percent of your Agency's income consists of fees?	Does the Agency see any potential danger of Col from relying on fees from its clients?	What kind of mechanisms does the Agency use to prevent Col stemming from the collection of fees?	Would the Agency consider it an appropriate solution for the Commission to collect the fees and the Agency to be fully funded from the EU budget?
Reply	N/A	-	-	-

19. Have all the Agencies set up and implemented internal rules or common guidelines on whistleblowing? Could the Agencies provide the number of open, closed and ongoing whistleblowing cases in 2018? Which actions were taken for each of these case and what were the results?

	Has your Agency implemented internal rules or common guidelines on whistleblowing?	Can the Agency provide the number of open/closed/on-going whistleblowing cases in 2019?	What actions were taken for each of these cases and what were the results?	Comments
Reply	YES	YES: 0	N/A	N/A
Comment				

20. Are all meetings with lobbyists, in case such meetings were held: · registered · made public?

Meeting with lobbyists

	Were the meetings registered?	Were the meetings made public?	Comments
Agency meeting with lobbyists	N/A	N/A	N/A

## Other comments

21. Which measures did the Agencies implement in 2019 in order to increase their public visibility and online presence? Could you please summarize shortly the actions taken in order to promote the work of the Agencies to EU citizens, and to make services available to the wider public, civil society and academia where appropriate?

Reply:

Although the *general public* is not considered as first tier audience, it is recognised in CEPOL's Communication Strategy<sup>3</sup> as an enabler in pursuing, in particular, the objective of promoting the role of training to enhance cooperation amongst law enforcement officials.

From that perspective, CEPOL managed in 2019 to connect with a wider demographic of people by reinforcing its presence in social media through the use of sophisticated multimedia materials and a steady and regular drumbeat of communications on Twitter, Facebook, LinkedIn and Youtube.

These platforms have grown into a fundamental channel for interacting with CEPOL stakeholders on a daily basis and for reaching a wider audience. As a matter of fact, in 2019 CEPOL's increased its number of followers by 24% on LinkedIn, by 37% on Facebook and by 33% on Twitter.

CEPOL has also delivered a new CEPOL Corporate Video – promoting the understanding of the Agency's role and its placement in the context of real concerns affecting EU citizens.

CEPOL has also successfully managed to respond to queries and requests coming from media, the general public, NGOs, citizens, especially in relation to raising number of requests for access to documents.

22. Which measures did the Agencies implement in 2019 in order to increase their cyber security and protection of the digital records in its possession? Does the Agency have such a policy in place / in a making?

Reply:

CEPOL does not have yet such a policy in place. CEPOL has initiated in 2020 the process to implement ARES as document management system. The partner agency EIT provides direct support for this project to CEPOL in Budapest. Subject to the necessary contract with the European Commission it is planned that this should be realised in first quarter 2021.

23. Could the Agencies provide a list of their internal measures in place to: · put in place a comprehensive strategy for sustainable development, including steps to reduce or offset CO<sup>2</sup> emissions? · ensure a cost-effective and environment-friendly working place?

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<sup>3</sup>

<https://www.cepola.europa.eu/sites/default/files/21-2016-GB%20ADOPTING%20CEPOL%27S%20COMMUNICATIONS%20SUB-STRATEGY%20FOR%202016-2020.pdf>

## Internal measures in place

	Ensuring cost-effective and environment-friendly working place	Comprehensive strategy for sustainable development, including steps to reduce or offset CO2 emissions?
Answer	<p>CEPOL's headquarter has been made available to the Agency by the Hungarian authorities. The agreement with Hungary includes, for the first 10 years (ending 30 September 2024) that the Hungarian authorities do not charge any rental fees for the use of the building; the Hungarian authorities also make available without charges to the Agency Reception, Handymen, Cleaning, 24/7 Security and technical support (on call). In general areas in CEPOL's headquarters (corridors, bathrooms etc.) motion-sensing lights are installed. CEPOL has a receptacle for used batteries, to ensure that these are not entering the normal garbage. Staff is advised to destroy waste paper in the special shredding bins. Paper put in here will be securely shredded and recycled. At present CEPOL is, in cooperation with the Hungarian authorities, investigating the possibilities for further separate waste collection. This has to be done in cooperation as separate waste collection could lead to higher cleaning costs (which, as mentioned before, are covered by the Host country).</p>	<p>CEPOL does not have a CO2 off-setting scheme in place. The cost of participating in such a scheme cannot be covered from the limited (financial) resources made available to the Agency. For shorter distances (e.g. Vienna, Zagreb, Prague etc.) staff is/will be encouraged to use train or bus instead of planes.</p> <p>CEPOL does not have a parking garage but rents 20 places (for currently 70 persons working in the Agency) in this way encouraging staff to commute to work by public transport or bicycle. The Agency is planning to look into the option of providing public transport passes to staff (or reimbursing staff for these passes) to further encourage staff to use public transport.</p> <p>The Agency shall deliberate on realistic goals on environment management, taking in consideration the responsibilities of the Agency as a public administration versus its limited human and financial resources. The results of this exercise shall be formalised in the next programming document (Single Programming Document and Work Programme 2021).</p>



***Budget and financial management and performance***

1. Could all Agencies illustrate the amounts of planned and unplanned carryovers and of carryover cancellations by budgetary title and the main reasons behind them?

## Planned carry-overs

	Budgetary title	Amount	Justification
Title 1	Staff	244,717	Planned events or services at year end.
Title 2	Building, equipment and miscellaneous operating expenditure	5,128,672	IT costs, EASA building expenditure and services; delivery planned for December or next year.
Title 3	Operational expenditure	2,475,189	Aviation studies, which extend beyond the calendar year.
Title 4	N/A		

## Unplanned carry-overs

	Budgetary title	Amount	Justification
Title 1	Staff	116,583	Small amounts not paid by year end closure.
Title 2	Building, equipment and miscellaneous operating expenditure	1,941,884	Amounts not paid by year end closure.
Title 3	Operational expenditure	1,160,052	Amounts not paid by year end closure.
Title 4	N/A		

## Cancelled carry-overs

	Budgetary title	Amount	Justification
Title 1	Staff	13,527	Very small amounts where actual amounts invoiced were slightly lower than anticipated.
Title 2	Building, equipment and miscellaneous operating expenditure	272,569	Small amounts for the EASA building expenditure, IT services and legal expenses not provided.

Title 3	Operational expenditure	128,265	Relatively small amounts spread over 27 individual commitments related mainly to missions and operational expenditure on International Cooperation and communication services where actual costs were lower than anticipated.
Title 4	N/A		

2. What are the key performance indicators (outcome/impact) used by the Agencies for measuring the added value provided by their activities, and for enhancing their budget management in this regard? Which KPIs were added / deleted in 2019? Do the Agencies use or plan to introduce other instruments to measure performance?

Performance indicators:

There is a series of Key Performance indicators that the Agency reports during the year with a formal procedure done every three months (Quarterly Reporting), where all KPIs are reported, from which a summary is prepared and is presented at the EASA Executive Committee. Action plan and measures are also put in place after this analysis which are then reviewed in the following quarter.

Based on these reviews, the resources and allocation of budget is adjusted in alignment with the Agency priorities and the Action plans define for each of the Activities.

More than 60KPIs are followed, and here are some examples of KPIs

Process	KPI
<b>Safety Intelligence and Performance</b>	Timely processing of occurrence reports
<b>Product Certification</b>	Occurrences backlog monitoring rate
<b>Organisation Approval</b>	Timely approval of Organisation continuation
<b>International Cooperation</b>	Timely progression on Bilateral Agreements
<b>Rule-making</b>	Timely Progress on Rulemaking Programme (Opinion)
<b>Transversal and Enabling Act.</b>	Visitor satisfaction with in-house conference facilities

A review of the KPIs are done every year and in 2019 the following KPIs were added:

### **Safety Intelligence and Performance**

New KPIs 2019:

- 1. Safety Intelligence and Performance** - Processing of requests for participation in external research projects.
- 2. Organisations approval** - Feedback on OA process (yearly)
- 3. Third-Country Operators (TCOs)** - Authorised TCOs reviewed as planned
- 4. EU Ramp Inspection Programme** - Overall stakeholder satisfaction
- 5. EU Ramp Inspection Programme** - Downtime of Ramp Inspection Database
- 6. International Cooperation** - Quality of delivered projects based on stakeholder feedback
- 7. Rulemaking** - Regulation quality
- 8 Rulemaking** - Timely answer to exemption requests (as defined by regulation)
- 9. Applicant Services** - Typical processing times met
- 10. Applicant Services** - Actual outsourced hours performed compared to the target
- 11. Applicant Services** - Applications received online
- 12. Transversal and Enabling Activities** - Technical training days per staff member per year
- 13. Transversal and Enabling Activities** - Trainee satisfaction
- 14. Transversal and Enabling Activities** - For the European Central Question Bank (ECQB): number of newly developed questions and of reviewed existing questions per year

Deleted KPIs of 2018:

- 1. Safety Intelligence and Performance** - Research Resource engagement
- 2. Organisations approval** - Established CMP implemented as programmed
- 3. Organisations approval** - Timely answer to exemption requests (as defined by regulation)
- 4. Standardisation** - SIAP implementation

4. Have the Agencies identified and evaluated the possibility to coordinate and share resources on overlapping tasks with other Agencies with similar activities?

Reply:

The Agency shares resources on overlapping tasks with other Agencies, including notably the European Food Safety Agency, the European Training Foundation, the European Securities Market Authority, in the areas of surveys, e-learning, cloud and LinkedIn services and environment awareness training. The Agency actively keeps seeking for further and broader cooperation with all of the Union agencies (e.g. participation in Inter-Agency tender on staff selection assistance).

5. To what extent has the working program of each agency been implemented and what are the most important achievements?

Reply:

The 2019 Work Programme of EASA was largely implemented and the main achievements are described below as presented in the Consolidated Annual Activity Report of 2019:

- Environment & Innovation

In cooperation with global partners and industry, the Agency stepped up its efforts to improve the environmental impact of aviation. Achievements include the development of new CO<sub>2</sub> standards, the monitoring of **Environmental Fraud prevention**, the concept of an **EcoLabel** as well as of **LifeCycle Assessments**. Furthermore, EASA is actively assisting its Member States to pivot towards greener and more sustainable aviation. To this end, the Agency and Norway signed an **Innovation Partnership Agreement** to assist **Norway's Electrification** of its domestic air transport system. Notwithstanding the Agency is committed to green aviation projects, while ensuring these meet its core goal of passenger safety in the EU and worldwide.

- Generating Safety Information and addressing Safety Issues

EASA's Big Data project **Data4Safety** made significant progress in 2019, with the proof of concept phase agreed upon and the implementation of the first metrics. A reviewed version for the European Accident and Incident Reporting Systems (ECCAIRS 2.0) has been prepared to start in 2020. The Agency also established the Aviation Forum **SAFE 360°** bringing together the aviation safety community in an innovative conference format that provide an all-round multi-sectorial picture of safety issues. Dedicated roadshow events were organised to support industry and ensure a smooth implementation of the new Part 21 (Reg 2019/897).

In line with its efforts to emphasize more strongly non-rulemaking safety interventions, EASA published **eight Opinions**, a number that allowed better alignment with the capacity of the EU system for the adoption of new rules, while still giving priority to strategic issues. Highlights cover domains such as electric propulsion, Flight Crew Licensing evaluation, Ground Handling and General Aviation.

- Certification

In cooperation with the US Federal Aviation Administration (FAA) and other aviation authorities around the globe, a thorough **technical investigation** of the two **Boeing 737-Max** accidents was performed leading to the identification of appropriate actions. The case reminded the whole industry how quickly trust can be lost and the importance of safety. The agency also looks into the future with the first **Electric Vertical Take-off and Landing** approval for a Design Organisation and by focusing on **Additive Manufacturing** methods like 3D printing in coordination with the industry and the FAA.

- Improving effectiveness and efficiency of Safety oversight

As a response to EASA's enlarged scope, introduced via Regulation (EU) 2018/1139, two Operators signalled their interest to centralise their oversight by placing it under EASA, drawing upon **Article 65**. Negotiations are well under way and are expected to close in 2020. In parallel, EASA achieved the implementation of a **risk-based oversight** approach in the approval process for all Organisation Approvals.

EASA extended its **implementation support** to Greece and Hungary, working with the national aviation authorities to make the EASA system more robust and resilient. Furthermore, the European **Aero-Medical Repository** was implemented, a key recommendation after the Germanwings accident in 2015.

- Enlarging the EU's global footprint

Committed to assisting the EU in enlarging its global footprint, EASA signed six new **Working Arrangements**, strengthening its partnership with Azerbaijan, Singapore, Egypt, China and Mexico, as well as two new **Memoranda of Understanding** with South Korea and Indonesia, on enhanced cooperation in civil aviation safety. Furthermore, EASA expanded its worldwide **technical cooperation and assistance** activities with the successful launch of two new projects, implemented on behalf of the EU: the EU-Africa Safety in Aviation project and an EU-South East Asia project on environmental protection and climate change.

2019 brought also the signature of the **EU-China Bilateral Aviation Safety Agreement (BASA)**, with the subsequent negotiations on the technical implementation procedures (TIP) concluding swiftly in early 2020. The **EU-Japan BASA** was also initialled in July 2019, triggering the start of the TIP negotiations soon thereafter.

- Sound Financials

In 2019, the European Commission adopted EU Regulation 2019/2153, specifying the **Fees & Charges (F&C)** regime applicable to the Agency's industry stakeholders as of 2020. It ensures the sound financing of the Agency and adapts

its F&C structure to the recent innovations of the aviation industry, now covering explicitly Vertical Take-off and Landing Aircraft, as well as Unmanned Aircraft Systems. In addition, EASA took immediate steps to reduce its expenditures and continue the review of processes and organisational structure to **deliver change, increase productivity and ensure effective results**.

6. How many recommendations for improvement have been given by the internal audit service and how many of the recommendations from the previous year have been implemented?

Reply:

Recommendations raised by the Internal Audit Service (IAS) to EASA are:

Audit title	Year of audit	Number of recommendations	Comments
Ethics, Fraud prevention and Conflict of Interest	2018	5	- 1 pending (revised deadline 01/10/2020) - 4 ready for review
Applicant Services, Outsourcing, Partnership agreements	2019	5	

### *Staff policy*

7. How did the Establishment Plan (officials and temporary agents) of each Agency evolve from 2018 to 2019, taking the data of 31.12.2019 compared with 31.12.2018? How many seconded national experts, contract staff, interim staff and consultants were working for each Agency in 2019, expressed in FTEs?

Number of staff

	Officials (posts filled)	Temporary agents (posts filled)
Establishment plan 31.12.2017-31.12.2018	0	680
Establishment plan 31.12.2018-31.12.2019	0	680

Other staff

	SNEs (FTE)	Contract agents (FTE)	Interim staff (FTE)	Consultants (FTE)
31.12.2019	17	89	15	26.5

8. Could each Agency present a gender and nationality breakdown of its senior and middle management positions and its management board, and of its staff overall, including as percentage of the total number for each category requested?

	Senior management Male	Senior management Female	Management board - Male	Management board - Female	Staff overall - Male	Staff overall - Female
Austria				2	5	3
Belgium	1	1	1	1	29	9
Bulgaria			1	1	3	9
Croatia			3		3	2
Cyprus			2	1	2	1
Czech Republic			3		4	3
Denmark	2		1	1	5	1
Estonia			2	1		1
Finland		1	2	2	8	4
France	8	2	1	1	101	35
Germany	6	1	3		112	59
Greece			3		17	14
Hungary			1	1	3	6
Ireland			1	1	9	5
Italy		2	3		77	19

Latvia			2		4	2
Lithuania			1		3	1
Luxembourg			2			
Malta			2			
Netherlands	1		3		21	5
Poland			2		10	11
Portugal			2		6	6
Romania			3		17	15
Slovakia			2		4	3
Slovenia			3	1	4	1
Spain			1	2	43	20
Sweden			1		4	1
United Kingdom			1	1	11	1
Norway			1	1	1	

Management board staff in addition to above:

European Commission: 3 male, 1 female

Iceland: 2 male, 1 female

Liechtenstein: 1 female

Switzerland: 2 male



All staff nationality also includes 1 female staff member from Serbia.

Representation expressed as percentage

	% of males in the overall management staff	% of females in the overall management staff	% of males in the overall management board staff	% of females in the overall management board staff	% of males in the overall staff	% of females in the overall staff
Answer	80%	20%	75%	25%	68.1%	31.9%

9. How many former MEPs, Commissioners or high-level officials (from AD 14) still receive money from the budget of your institution as advisors, contract agents or others? What are their tasks and their respective salaries?

Reply: None

10. What measures / activities were organised to improve on the well-being for staff in each agency? What were the costs in 2019 and how many staff members participated in these events?

Events/measures taken by the Agency

	Measures/Activities organised to improve on the well-being for staff	Cost of the activities	Number of staff that participated
1	10 team building events for various EASA teams organised by HR Department with external training provider.	EUR 88,232.38	187 participants
2	Sports and social activities organised by the EASA Social Committee	EUR 35.480,80.  This also includes the expenses for the flying club/activities (EUR 13.024,32) which are not accessible to all staff.	Accessible to all staff
3	2 All Staff Events	EUR 64.658,70	Approx. 450 participants per event

4	Internal Newsletter	EUR 1.848,00	All staff (800+)

11. What measures do Agencies use to prevent and fight against harassment? What kind of efforts have the Agencies made to facilitate easy and confidential reporting of internal and external harassment towards their staff? Were there any harassment cases reported, investigated or taken before the court in 2019?

Measures taken by the Agency

	What measures does your Agency use to prevent and fight against harassment?	What measures does your Agency have in place to facilitate easy and confidential reporting of internal and external harassment towards your staff?	In 2019 how many harassment cases were reported/investigated/taken before court?
Reply	EASA has a policy on protecting the dignity of the person and preventing psychological harassment and sexual harassment and a respective work instruction.	The confidential reporting of harassment cases is done through a focal point.	No harassment cases have been formally reported, investigated or taken before court in 2019.
Comments			

12. .What was the average absence from work due to sick leave in 2019? How many working hours were lost as a consequence of burnouts or other work-related reasons?

Answer by the Agency

	Average absence from work due to sick leave (in days) in 2019.	Number of working hours lost as a consequence of burnouts or other work related reasons	Comments
Reply	8.9 days (9.6 including Medical Part-time)	6040	The figure takes into account TAs, CAs and SNEs

13. Could the Network prepare a comprehensive list of staff-cuts implemented per individual Agency in accordance with the Commission's plan until 2019? How many of these staff-cuts were replaced by Contractual Agents or External experts?

Staff cuts 2013-2019

	Staff cuts per Agency	Contract agents employed	External experts employed	Comments
2013	-2			-5% reduction target was still not in place. +60 additional staff were granted due to new competencies: Issuance and renewal of Certificates of FSTD (Flight Simulation Training Devices) and the Approval of OSD (Operational Suitability Data)
2014	-14			+7 additional staff were granted due to new competencies: Fee & Charges posts granted by the Parliament.
2015	-17			+11 additional staff were granted due to new competencies linked with TCO and

				RPAS.
2016	-22			+19 additional staff were granted due to new competencies in the areas of TCO and RPAS plus additional Fees and charges post
2017	-12			+14 additional staff were granted due to new competencies. New fees and charges pots +9 and in addition +5 post linked with the new basic regulation
2018	Stable request			+ 2 additional post were Approved
2019	Stable request			No additional post 680 stable is the Staff requested and approve for EASA

14. Is there any increase of the workload or new tasks designated to each agency and how does it manage to accommodate these to the available staff in 2019? Did your Agency face an increase in workload or new tasks assigned in 2019? How did you accommodate these with the staff available in 2019?

Reply:

In an environment of a growing aviation sector, with new technologies and innovative products, EASA has also, enlarged its competencies with the entry into force of the new Basic Regulation on 11 September 2018. While the total 2019 EASA's workload remain stable (slight decrease) compare to previous year, the below activities and task increased compared to 2018:

- Organisation Approvals +4.6 Full Time Equivalent – FTE, due to Training organisation and ATM
- New technologies: Drones and RPAs: +2.3 FTES combining an effort in both certification and regulation. CyberSecurity: +3.2 FTES and Research: +2 FTES
- EASA digitalisation & Transformation : +2.8 FTES
- Technical support to 3rd countries: +1.7 FTES

This increase in Workload has been accompanied by a relatively stable resources resulting in a major challenge for EASA to full field all its tasks and objectives. The

agency was able to accommodate those increases by a combination of efficiency measures as well as postponement/deprioritise certain activities during 2019.

*Conflicts of interest and transparency*

15. Could each Agency confirm whether the declarations of conflicts of interest are in place (and public) for their: · management board members · senior management?

Declaration of Col

	Management board members	Senior management	Comments
Reply	Yes	Yes	N/A

16. Could each Agency confirm if they publish on their website the CVs of their: · management board members · management staff · external experts · in-house experts?

	Management board members	Management staff	External experts	In-house experts	Comments
Answer	Yes	Yes	No	No	N/A

17. What kind of mechanisms do the Agencies use to identify and avoid conflicts of interest, and were there any cases of conflicts of interest reported, investigated and concluded in 2019?

Reply:

EASA has in place a comprehensive set of measures concerning the prevention and mitigation of Col. This includes in particular a “Code of Conduct for the staff of EASA”, including a dedicated “Policy on impartiality and independence: prevention and mitigations of conflict of interest” and “Policy on Gifts and Hospitality”.

The main measures and actions contained therein are (1) the requirement for all EASA staff (incl. TAs, CAs, SNEs, interims, trainees, consultants) to complete an annual Declaration of Interest (DoI) and set up of a formal assessment process, (2) the establishment of an Ethical Committee to assess completed DoI submitted to it and to support the Executive Director on any matters related to the EASA Code of Conduct and (3) the establishment of a mandatory training on the Code of Conduct and its Annexes.

Similar Codes of Conduct have been established for the EASA Board of Appeal, the EASA Management Board (system of Public Declarations of Interest and Specific Declarations of Interest, set up of Assessment Committee) and a dedicated code for External Experts supporting EASA.

It should also be noted that in addition, several EASA processes contain specific elements that contribute to the prevention and mitigation of Col. For example, in the specific context of issuing certificates this includes the signature of declarations of interest, supervision of the decision making process by management, four-eye principle in decision making, and identification of sensitive functions and staff mobility requirements.

Finally, it should be noted that EASA has established an “EASA Anti-Fraud Strategy” and appointed a staff member responsible for “Anti-Fraud” at EASA.

Summary of main controls in place:

- Declaration of Interest process
- Establishment Ethical Committee
- Conflicts of Interest situations register
- Collegiality - "4 eyes principle" - and transparency in decision making (no single point of decisions)
- Sensitive functions policy
- Gifts and Hospitality policy
- Outside activities and post-employment

- Enforcement
- Mandatory training on Code of Conduct, Col and Anti-Fraud
- Anti-Fraud Strategy

The Agency has performed a review of the existing Col framework for EASA staff/Board of Appeal members taking into account the recommendations from the IAS Audit Report on Ethics, Fraud Prevention and Conflict of Interest performed at EASA end 2018. In particular, EASA further improved its mechanism in developing guidelines for staff members and managers aiming at harmonising across the Agency the mitigating measures to be implemented in similar situations.

Were there any cases of conflicts of interest reported, investigated and concluded in 2019 in your Agency?

For EASA staff: During the 2019 Declaration of Interest process, 17 case of a potential Col were identified during the assessment. Furthermore, 11 case of a potential Col were identified in the context of assessing applications for authorization to engage in an occupational activity after leaving EASA. In all the cases, the Col risk could be addressed through the application of specific mitigating measures No cases had to be forwarded to the Ethical Committee for further assessment.

For EASA MB: During the 2019 DoI exercise, given the interests declared, 6 cases of a potential Col were identified and had to be further assessed by the MB Assessment Committee; in 4 of the cases did not require any mitigating measure however in 2 cases the risk of potential Col could be addressed through specific mitigating measures.

18. For the Agencies that depend on fee collection: how many percent of the Agency's income consist of fees? How does the Agency view in this regard the danger of conflicts of interest for relying on fees from their clients? What kind of mechanism(s) to prevent conflict of interests do the agencies that collect fees from their clients have at their disposal? Would the Agency consider it an appropriate solution if the Commission would collect the fees, and the Agency would hence be fully funded from the EU budget?

Fee financed Agencies

	How many percent of your Agency's income consists of	Does the Agency see any potential danger of Col from relying on fees from its	What kind of mechanisms does the Agency use to prevent Col stemming from the collection of fees?	Would the Agency consider it an appropriate solution for the Commission to collect the fees and the Agency to be fully funded from the EU



	fees?	clients?		budget?
Reply	72 %	The fact that applicants pay fees does not represent a conflict of interest as such. The Agency acts as an independent body	The fee mechanism is regulated in the Fees & charges regulation. Fees are collected following an application from the client	In general, the Agency's fees collection system functions well and there was a high recovery rate in 2019. Therefore it does not seem to be of additional benefit to pass this function to the European Commission. Remark: Due to the impact of COVID-19, the rate of recovery has been lower in 2020 and as a result the Agency's F&C income will be lower than planned.

19. Have all the Agencies set up and implemented internal rules or common guidelines on whistleblowing? Could the Agencies provide the number of open, closed and ongoing whistleblowing cases in 2018? Which actions were taken for each of these case and what were the results?

	Has your Agency implemented internal rules or common guidelines on whistleblowing?	Can the Agency provide the number of open/closed/on-going whistleblowing cases in 2019?	What actions were taken for each of these cases and what were the results?	Comments
Reply	Yes	0	N/A	
Comment				

20. Are all meetings with lobbyists, in case such meetings were held: · registered · made public?

Meeting with lobbyists

	Were the meetings registered?	Were the meetings made public?	Comments
Agency meeting with lobbyists			EASA is a technical EU agency that by its nature needs to have an open dialogue with aviation stakeholders and take into consideration their views when carrying out its work (e.g. certification, rulemaking). All the technical workshops organised by the agency with its aviation stakeholders are reflected on the events page of the EASA website.

## *Other comments*

21. Which measures did the Agencies implement in 2019 in order to increase their public visibility and online presence? Could you please summarize shortly the actions taken in order to promote the work of the Agencies to EU citizens, and to make services available to the wider public, civil society and academia where appropriate?

Reply:

EASA has taken the following measures: Online publications, Unruly Passenger communication campaign including corporate video, website, and social media.

Visitor groups: Guided tours and presentation about the Agency's role and tasks to general public e.g. in cooperation with regional "Europe Direct" offices (approx. 25 pax/ 12x per year) or universities.

Objective: Increase public understanding of the role of EU Agencies & increase visibility of EASA in the region.

"Nacht der Technik 2019": Visitors' night for public interested in technology in cooperation with City of Cologne and regional associations (approx. 1000 visitors/evening).

Objective: Strengthen Community Relations, increase visibility of EASA in the region.

Other actions/means applied:

- Press Releases
- Organisation of international Conferences, Workshops, Expert Meetings
- Safety Promotion Activities
- Stakeholder events
- Technical Publications, Easy Access Rules, Safety Reports, Research reports
- Training, also at international level for capability building
- Printed material (leaflets and others)
- Participation in different trade fairs & meetings (AERO, EATS, Career Fairs)
- Participation in other events like Stadtradeln or Business run
- Promotional –branded material for conferences and meetings

What actions did your Agency take to increase its online presence?

- Enhancements and updates to the corporate website

- Increased use of social media, also for recruitment purposes. More active posting.
- Workshop recordings made available using YouTube, including live stream for specific workshop

22. Which measures did the Agencies implement in 2019 in order to increase their cyber security and protection of the digital records in its possession? Does the Agency have such a policy in place / in a making?

Reply:

During 2019, the following ISMS measures were established:

- EUCI analysis and roadmap definition: process initiated
- Information classification schema harmonization (including the personal data classification schema)
- Updated information assets inventories for the processes with highest criticality in terms of information security
- Updated Business Impact Analysis for critical processes
- actions
- ISM awareness through communication and training

Some examples are indicated below:

- **mandatory e-learning** on *Information Security awareness for all staff, including trainees, interims and consultants. The training covers a set of behavioural rules.*
- **Updated ISM test** within the Agency to retrieve lessons learnt and improvement actions.

What measures did your Agency take to increase its cyber security?

- Fully fledged penetration tests (applications and infrastructure)
- On-going “IT Security as a Service” contract with external company called CANCOM
- Corporate IT Security Cybersecurity strategy (multiannual plan and based on priorities) and embedded into CORAL project
- Collaboration with CERT-EU and dedicated CERT-EU contract for security services (e.g. security monitoring, forensic and security investigation, security alerts, Indicators of Compromise)
- Implemented solution for “Bring your Own Device” and for corporate phones (solution called MaaS360)
- Selected tools for implementing a security DIAS project (containing 2 major solutions: Saviynt and F5)

23. Could the Agencies provide a list of their internal measures in place to: · put in place a comprehensive strategy for sustainable development, including steps to reduce or offset CO<sup>2</sup> emissions? · ensure a cost-effective and environment-friendly working place?

## Internal measures in place

	Ensuring cost-effective and environment-friendly working place	Comprehensive strategy for sustainable development, including steps to reduce or offset CO2 emissions?
Answer	<p>In march 2020 the Agency adopted a comprehensive Sustainable Aviation Programme. This programme includes one action on “Sustainable EASA”, which will drive the Agency’s roadmap towards monitoring and managing EASA environmental footprint. As preparatory work, a review of the building emissions as well as well as the missions has been performed in 2018/2019.</p>	<p>EASA’s strategy includes an enhancement and optimisation of the environmental footprint and performance of EASA and its facilities. Since 2016 we moved to a DGNB gold (German Sustainable Building Council) certified building. The building optimises the use of energy and water consumption and this is closely monitored. We implement the Green Public Procurement (GPP) tool for the selection of contractors, and have measures in place to reduce paper and office supplies consumption. We purchase electricity from renewable energy. We encourage cycling and the use of public transport by subsidising the transport ticket and offer flexible working time as well as teleworking. We offset electricity consumption (RheinEnergie Ökostrom) and business travel by train (Deutsche Bahn offsetting scheme).</p> <p>The Agency also has invested and is to invest furthermore, in videoconference facilities as an incentive to reduce business travel.</p> <p>A project to enhance videoconferencing facilities in the EASA conference centre is ongoing and the review of EASA travel policy to strengthen the use of sustainable technology is set as an objective for 2020.</p>

***Budget and financial management and performance***

1. Could all Agencies illustrate the amounts of planned and unplanned carryovers and of carryover cancellations by budgetary title and the main reasons behind them?

## Planned carry-overs

	Budgetary title	Amount	Justification
Title 1	Staff expenditure	1,376,859.78	Amounts corresponding to administrative missions, recruitment of candidates, schooling, legal services related to HR, training and language courses and interim services for which invoices/reimbursements are to be received only in year n+1.
Title 2	Infrastructure and operating expenses	4,153,515.45	The amounts carried over are mainly linked to legal commitments for which goods/services were still to be delivered and/or paid in year n+1. Carry over amounts refer to building expenses and associated costs (rental, utilities, cleaning, etc.) and fitting out of premises. Also costs for ICT equipment and ICT support services, administrative translations and communications were carried over for which invoices are received in year n+1
Title 3	Operational expenditure	20,217,720.39	The main carryovers are in the area of activities under Operating Plans for Italy and Greece, where EASO provides operational support by deploying experts and providing necessary services such as interpreters, cultural mediators, interim case-workers and support staff. For those activities, carryovers cover interpretation and cultural mediators; the deployments of

			experts: interim services - caseworkers in Italy, Greece and Cyprus; and containers in those countries. In addition, carryovers covered various translations and publications; operational missions; various consultancy services; and expert reimbursements. For all these costs, invoices are to be received in the year n+1
Title 4			

#### Unplanned carry-overs

	Budgetary title	Amount	Justification
Title 1	EASO does not make a specific distinction between planned and un-planned carry-overs, given the relatively moderate level of global carry-overs.		
Title 2			
Title 3			
Title 4			

#### Cancelled carry-overs

	Budgetary title	Amount	Justification
Title 1	Staff expenditure	274,465.71	The largest part of cancellations related to recruitment of candidates and administrative missions where 10% of contingency was carried over on provisional commitments to guarantee sufficient funds to cover the expected expenses. Also a substantial amount of the carry over for interim services had to be

			cancelled due to non-completion of interim workers' contracts.
Title 2	Infrastructure and operating expenses	369,132.90	Cancellations on provisional commitments related to building expenses (utilities) and telecommunication costs. Furthermore, cancellations on fitting out of premises and ICT support services.
Title 3	Operational expenditure	2,108,128.01	The main cancellations related to the deployment of experts and interpretation services under Operating Plans due to the interruption of deployments, cancellation or early termination of deployments/interpretation services, unused contingency amounts as extra hours (overtime) for interpretation services or specific costs (car rental, etc.) for experts. Overestimation of operational missions and operational translations and publications; cancellations of expert meetings or less participants attending.
Title 4			

2. What are the key performance indicators (outcome/impact) used by the Agencies for measuring the added value provided by their activities, and for enhancing their budget management in this regard? Which KPIs were added / deleted in 2019? Do the Agencies use or plan to introduce other instruments to measure performance?

Performance indicators:

EASO's overall Key Performance Indicator (KPI) is the Agency's ability to conduct its core business and to meet the specific objectives set out in the Work Programme. This outcome/impact-related overall KPI is represented by a qualitative indicator, aiming at demonstrating the impact of the Agency's support to the implementation of the Common European Asylum System (CEAS), taking into account:



- (i) the tasks laid down in the EASO Regulation, the recast EU asylum acquis and other related EU documents and the Agency's progress in implementing activities to fulfil these tasks;
- (ii) the requests made by the EU+ countries, the European Commission, the Council of the EU, the European Parliament and other EU institutions, agencies and bodies to develop and execute additional EASO activities in order to support the implementation of the CEAS;
- (iii) the opinions expressed by the EU+ countries, the European Commission, the Council of the EU, the European Parliament, other EU institutions, agencies and bodies and other EASO partners on the Agency's work.

The EASO Work Programme, adopted by the Management Board, cascades this overall KPI into measurable objectives, indicators and targets. In 2019, performance reporting addressed altogether 347 indicators. Addition/deletion of indicators was carried out to enhance planning and specify reporting in some activity areas, with only marginal impact on performance management (mostly reporting).

Besides the indicators set out in the Work Programme, additional indicators were introduced by Management Board Decision 53, adopted on 7 June 2019, subsequently amended by MB Decision 60 on 18 February 2020, which call for quarterly reporting to the Management Board in the following areas: implementation of the EASO Work Programme, budget and finance, human resources, staff engagement, internal controls, and procurement. In 2019, these KPIs included the following in relation to budget management:

- % of budget implementation during the financial year per title (CA) (95%)
- % of payments processed on time during the financial year N ( $\geq 95\%$ )
- % carry over cancellation for the financial year N ( $< 10\%$ )
- % of payment transaction rejections ( $< 10\%$ )
- % of payment appropriations executed during the financial year per title (PA) ( $> 90\%$ )

4. Have the Agencies identified and evaluated the possibility to coordinate and share resources on overlapping tasks with other Agencies with similar activities?

Reply: The Agency does not have overlapping tasks with other Agencies with similar activities. However, long-term close cooperation is in place among all JHA Agencies, both within the JHA Agencies Network and bilaterally. The Heads of Agencies hold regular meetings, where effective use of resources is also discussed. EASO has close exchange of expertise with Frontex (core business coordination, facilitated by EASO's Liaison Officer to Frontex), CEPOL (training related collaboration), FRA (project based collaboration), Europol (project based collaboration), eu-LISA (horizontal collaboration).

Three Working Arrangements and two Cooperation Plans are in place with other JHA Agencies while the elaboration of further Arrangements/Exchange of Letters framing cooperation is underway. Several joint initiatives are carried out, including substantive ones such as the production of joint reports, cooperation on thematic and methodological issues in relation to training, and so forth, in order to pool the expertise of different JHA Agencies and maximise use of resources. Joint initiatives have also been taken in the areas of recruitment and procurement. EASO has participated in a procedure for the nomination of Confidential Counsellors together with other agencies. The call was launched in September 2019 and was coordinated by the European Union Agency for the Cooperation of Energy Regulators (ACER), and was launched for the following EU Agencies besides EASO: Community Plant Variety Office (CPVO), European Global Navigation Satellite Systems Agency, The European Union Agency for Cybersecurity – ENISA, Body of European Regulators for Electronic Communications (BEREC)). EASO also actively participates in the EU Agencies Network and the various sectoral groups within the Network. This year, with the outbreak of the COVID-19 pandemic, EASO also actively participated in the Advisory Group on Return to Office Strategy under the EUAN umbrella.

5. To what extent has the working program of each agency been implemented and what are the most important achievements?

Reply: The Agency successfully achieved or exceeded 81% of 347 pre-established targets set for KPIs covering 31 activity areas in the Work Programme 2019. The most important achievements of 2019 were:

- Increasing support to Member States under particular pressure to ensure successful implementation of Operating Plans signed with Italy, Greece, Cyprus and Malta
- Supporting ad hoc disembarkation and voluntary relocation exercises in Italy and Malta, by working within the framework established by the European Commission
- Implementation of Roadmaps with Turkey, Serbia and North Macedonia in agreement with the European Commission, and launch of the EASO Pilot Resettlement Support Facility (RSF) in Turkey
- Increased level of National Contact Points (NCP) satisfaction with EASO Asylum Intervention Pool (AIP), together with further development of EASO Deployment Management Tool (EAIPS)
- Increasing volume of processing of Country of Origin (COI) and MedCOI queries, and product development
- Management of complex and strategic operational data and information for monitoring and analysing the asylum situation in the EU+
- Growth of EASO case law database on relevant jurisprudence

- Increasing public interest in EASO regular publication, ‘the Annual Report on the Situation of Asylum in the EU’
- Providing the EASO Training Curriculum covering the core aspects of the asylum procedure to nearly 7,000 participants, and increasing the number of operational training courses to cover over 2,000 participants
- Overall progress achieved in governance and internal control domains

6. How many recommendations for improvement have been given by the internal audit service and how many of the recommendations from the previous year have been implemented?

Reply: The IAS Report on significantly delayed and very important and important Internal Audit Service Recommendations 2019 was issued on 23 March 2020, and includes 4 recommendations from the IAS which are still open from previous years.

### *Staff policy*

7. How did the Establishment Plan (officials and temporary agents) of each Agency evolve from 2018 to 2019, taking the data of 31.12.2019 compared with 31.12.2018? How many seconded national experts, contract staff, interim staff and consultants were working for each Agency in 2019, expressed in FTEs?

#### Number of staff

	Officials (posts filled)	Temporary agents (posts filled)
Establishment plan 31.12.2017-31.12.2018	/	151
Establishment plan 31.12.2018-31.12.2019	/	228 (difference of +77)

#### Other staff

	SNEs (FTE)	Contract agents (FTE)	Interim staff (FTE)	Consultants (FTE)
31.12.2019	10 (difference of +6)	80 (difference of +16)	59 (difference of -8)	0



8. Could each Agency present a gender and nationality breakdown of its senior and middle management positions and its management board, and of its staff overall, including as percentage of the total number for each category requested?

	Senior management Male	Senior management Female	Management board - Male	Management board - Female	Staff overall - Male	Staff overall - Female
Austria	N/A	N/A	1		2 - 67%	1 - 33%
Belgium	2 - 100%	0 - 0%	1		14 - 70%	6 - 30%
Bulgaria	N/A	N/A		1	2 - 29%	5 - 71%
Croatia	N/A	N/A		1	1 - 20%	4 - 80%
Cyprus	N/A	N/A		1	2 - 100%	0 - 0%
Czech Republic	N/A	N/A	1		1 - 20%	4 - 80%
Denmark	N/A	N/A	1		N/A	N/A
Estonia	N/A	N/A		1	0 - 0%	2 - 100%
Finland	N/A	N/A		1	0 - 0%	3 - 100%
France	1 - 100%	0 - 0%	1		10 - 59%	7 - 41%
Germany	N/A	N/A			1 - 12%	7 - 88%
Greece	1 - 100%	0 - 0%	1		15 - 38%	24 - 62%
Hungary	N/A	N/A	1		3 - 43%	4 - 57%
Ireland	1 - 100%	0 - 0%	1		1 - 33%	2 - 67%

Italy	0 - 0%	1 - 100%		1	19 - 33%	38 - 67%
Latvia	N/A	N/A	1		0 - 0%	3 - 100%
Lithuania	N/A	N/A		1	1 - 20%	4 - 80%
Luxembourg	N/A	N/A		1	N/A	N/A
Malta	1 - 50%	1 - 50%		1	9 - 32%	19 - 68%
Netherlands	1 - 100%	0 - 0%		1	5 - 56%	4 - 44%
Poland	N/A	N/A	1		6 - 46%	7 - 54%
Portugal	1 - 100%	0 - 0%	1		5 - 56%	4 - 44%
Romania	N/A	N/A	1		6 - 35%	11 - 65%
Slovakia	N/A	N/A		1	3 - 38%	5 - 62%
Slovenia	0 - 0%	1 - 100%		1	3 - 60%	2 - 40%
Spain	N/A	N/A		1	5 - 45%	6 - 55%
Sweden	N/A	N/A	1		0 - 0%	4 - 100%
United Kingdom	N/A	N/A	N/A	N/A	2 - 50%	2 - 50%
Norway	NO : N/A CH N/A IS : N/A : N/A	NO : N/A CH N/A IS : N/A : N/A	NO : 1 CH : 1 IS : / LI : 1	NO : / CH : / IS : 1 LI : /	NO : 1 - 100% CH : 1 - 100% IS : N/A LI : N/A	NO : 0 - 0% CH 0 - 0% IS : N/A : N/A

Representation expressed as percentage

	% of males in the overall management staff	% of females in the overall management staff	% of males in the overall management board staff	% of females in the overall management board staff	% of males in the overall staff	% of females in the overall staff
Answer	73%	27%	50%	50%	40%	60%

9. How many former MEPs, Commissioners or high-level officials (from AD 14) still receive money from the budget of your institution as advisors, contract agents or others? What are their tasks and their respective salaries?

Reply: None

10. What measures / activities were organised to improve on the well-being for staff in each agency? What were the costs in 2019 and how many staff members participated in these events?

Events/measures taken by the Agency

	Measures/Activities organised to improve on the well-being for staff	Cost of the activities	Number of staff that participated
	EASO Kids Carnival party	EUR 996	50 children and their parents (staff)
	Intercultural afternoon	No budget/cost	200
	Info Day Quiz activity for staff	EUR 300	30
	Beach and Underwater Clean-up day	EUR 2,934.76	50
	Supporting Malta Pride 2019	EUR 1,214.00	30
	Staff Away Day	EUR 17,021.62	200
	18 Departments/Units/Sectors Away Days and other activities	EUR 43, 935. 92	All staff
	15 Brown Bag Lunch events organised	15x EUR 272.00 (NET price for 40 people).	~ 40 staff members to each event (40 x 15 =



	in 2019	Please note that some of the events were attended by 60 people Total: 4,080 euro	600)
	Christmas party	EUR 14,999.02	200
	'Taste of Europe & beyond' national cuisine days at the EASO canteen	No budget/cost	All staff
	7 Training sessions for EASO staff (related to well-being)	Approx. EUR 90,000	358
	Yoga at EASO	No budget/cost	15
	Spanish conversation table	No budget/cost	6
	Arabic conversation table	No budget/cost	6
	Inter-Agency Volleyball Tournament (travel and accommodation)	3,775 16	15
	Inter-Agency Football Tournament (travel and accommodation)	8,700	28

11. What measures do Agencies use to prevent and fight against harassment? What kind of efforts have the Agencies made to facilitate easy and confidential reporting of internal and external harassment towards their staff? Were there any harassment cases reported, investigated or taken before the court in 2019?

Measures taken by the Agency

	What measures does your Agency use to prevent and fight against harassment?	What measures does your Agency have in place to facilitate easy and confidential reporting of internal and external harassment towards your staff?	In 2019 how many harassment cases were reported/investigated/taken before court?
Reply	EASO policy on protecting the dignity of the person and preventing psychological harassment and sexual harassment was adopted by MB Decision 50 of 16/07/2019. In order to raise awareness on the topic in 2018-2019, there were training sessions provided in Malta, two dedicated sessions for managers as well as a separate session in Greece. EASO participated in a call for expression of interest for Confidential Counsellors together with other agencies. All information on the process was disseminated through a specific information campaign, published on the EASO intranet, as well addressed to staff by email. The counsellors have been pre-selected and will undertake compulsory joint training scheduled for November 2020 in order to be confirmed.	There is an informal procedure established in EASO in order to facilitate reporting. EASO has established a dedicated intranet page with information related to anti-harassment	No cases of harassment were reported in 2019, neither investigated, nor taken to Court.
Comment			

12. What was the average absence from work due to sick leave in 2019? How many working hours were lost as a consequence of burnouts or other work-related reasons?

Answer by the Agency

	Average absence from work due to sick leave (in days) in 2019.	Number of working hours lost as a consequence of burnouts or other work related reasons	Comments
Reply	5.02	The Agency was not notified of any sick leave as a consequence of burnout or other work-related reasons.	

13. Could the Network prepare a comprehensive list of staff-cuts implemented per individual Agency in accordance with the Commission's plan until 2019? How many of these staff-cuts were replaced by Contractual Agents or External experts?

Staff cuts 2013-2019

	Staff cuts per Agency	Contract agents employed	External experts employed	Comments
2013				
2014				
2015	2			EASO has implemented the mandatory 5% staff reduction (i.e. a loss of 2 posts). As the Agency was initially in the start-up phase and later on received new tasks, it experienced an overall net

				increase in staff. The Agency has experienced an annual increase in staff allocation so far since then.
2016				
2017				
2018				
2019				

14. Is there any increase of the workload or new tasks designated to each agency and how does it manage to accommodate these to the available staff in 2019? Did your Agency face an increase in workload or new tasks assigned in 2019? How did you accommodate these with the staff available in 2019?

Reply: Over the past years, EASO has been operating at the very limits of its current mandate dating from 2010 with an increased role in providing operational support to Member States, especially those under significant pressure, as well as the assignment of additional tasks, such as the Council Decisions on provisional measures to support Italy and Greece, support to measures in the implementation of the EU-Turkey Statement, Council Conclusions on country guidance, and significant support to post disembarkation activities and relocation from Italy and Malta on the request of the latter Member States and the European Commission. This situation has had both budgetary and staffing consequences on the Agency. However, since EASO saw an increase in its staff and budget for 2019, the Agency managed to meet the workload and effectively fulfil its tasks, also with the recourse to temporary agency workers to fill the gap left by limited deployment of experts by other Member States.

For 2020, the budgetary authority allocated to EASO a budget of EUR25 million less than EASO had requested based on its assessment of needs. EASO worked closely with the Commission, Council and European Parliament to address this gap, which would have risked EASO being unable to fully implement its tasks. In April 2020, EASO was allocated a further EUR10 million through Amending Budget 1, to address the migratory pressure in Greece. The COVID-19 pandemic and consequent adjustments to EASO's activities, have resulted in the possibility of reallocating funds to ensure the fulfilment of EASO's tasks. Given that EASO operates in an area in which emergencies can quickly develop, EASO has been using contributions from Associate Countries as a contingency for any unforeseen needs.

Going forward, and since it is expected that Member States will need more support from EASO, sufficient budget and staff will need to be allocated in the coming years (MFF 2021-2027) to EASO in order to ensure that it can effectively deliver. EASO has requested EUR142 million and

50 additional staff (TA/CA/SNEs) for 2021 and hopes that the budget envisaged for EASO in the Commission's revised MFF proposal (May 2020) will be maintained.

### *Conflicts of interest and transparency*

15. Could each Agency confirm whether the declarations of conflicts of interest are in place (and public) for their: · management board members · senior management?

Declaration of Col

	Management board members	Senior management	Comments
Reply	Yes	Yes	Declarations for the Management Board Members are published on the EASO website. Declarations for senior management are in place, but not published publically. Only the declaration of conflict of interest of the Executive Director is published on EASO webpage.

16. Could each Agency confirm if they publish on their website the CVs of their: · management board members · management staff · external experts · in-house experts?

	Management board members	Management staff	External experts	In-house experts	Comments
Answer	Yes	Only the Executive Director	No	No	<a href="https://www.easo.europa.eu/about-us/easo-organisation-structure">https://www.easo.europa.eu/about-us/easo-organisation-structure</a>

17. What kind of mechanisms do the Agencies use to identify and avoid conflicts of interest, and were there any cases of conflicts of interest reported, investigated and concluded in 2019?

Reply: EASO is committed to maintaining the highest ethical standards to prevent conflict of interest, which must guide all of our actions and decisions. The staff and other personnel are critical to establishing and reinforcing a strong ethical culture at EASO. They understand and appreciate how essential it is to the success of work, and crucial to fostering trust in and maintaining the credibility of EASO. Declarations of interest are signed by all EASO staff when joining the Agency (including the senior management) and are available at EASO. In addition, these declarations are signed by officers participating in selection panels and by members of evaluation committees for procurement procedures.

No cases of conflict of interest were reported, investigated or concluded in 2019.

18. For the Agencies that depend on fee collection: how many percent of the Agency's income consist of fees? How does the Agency view in this regard the danger of conflicts of interest for relying on fees from their clients? What kind of mechanism(s) to prevent conflict of interests do the agencies that collect fees from their clients have at their disposal? Would the Agency consider it an appropriate solution if the Commission would collect the fees, and the Agency would hence be fully funded from the EU budget?

Fee financed Agencies

	How many percent of your Agency's income consists of fees	Does the Agency see any potential danger of Col from relying on fees from its clients?	What kind of mechanisms does the Agency use to prevent Col stemming from the collection of fees	Would the Agency consider it an appropriate solution for the Commission to collect the fees and the Agency to be fully funded from the EU budget?
Reply	N/A	N/A	N/A	N/A

19. Have all the Agencies set up and implemented internal rules or common guidelines on whistleblowing? Could the Agencies provide the number of open, closed and ongoing whistleblowing cases in 2018? Which actions were taken for each of these case and what were the results?

	Has your Agency implemented internal rules or common guidelines on whistleblowing?	Can the Agency provide the number of open/closed/on-going whistleblowing cases in 2019?	What actions were taken for each of these cases and what were the results?	Comments
Reply	Yes			
Comment	EASO Guidelines on Whistleblowing were adopted by MB Decision No 57 of 20 September 2019, and the procedure explained to all staff on a number of occasions: training on Ethics and Integrity, an induction training on the same subject and Internal Control / anti-fraud training. In addition, a dedicated hotline was set up for EASO staff by creating a link on the intranet site to OLAF's online forms concerning fraud allegation, and further information on steps to be followed in the event of suspected fraud.	Nil		

20. Are all meetings with lobbyists, in case such meetings were held: · registered · made public?

Meeting with lobbyists

	Were the meetings registered?	Were the meetings made public?	Comments

Agency meeting with lobbyists	Not applicable – no such meetings were held		
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## *Other comments*

21. Which measures did the Agencies implement in 2019 in order to increase their public visibility and online presence? Could you please summarize shortly the actions taken in order to promote the work of the Agencies to EU citizens, and to make services available to the wider public, civil society and academia where appropriate?

Reply: In 2019, EASO overhauled its overall Communications Strategy, focussing heavily on making the Agency more relatable to the general public by emphasising areas of work of EASO which relate to broader mainstream issues. The goal is to demonstrate that Asylum is directly associated with issues that are of concern to citizens, and that EASO provides value in this regard.

As a result of the new strategy and a heavy focus on simpler narratives and more audio-visual materials, in 2019 EASO almost doubled its reach in press articles from 4.5 billion (2018) to 8.2 billion for the second consecutive year. At the time of writing, as the effect of the new strategy becomes clearer, this result is on track to more than double again (third consecutive year) in 2020, possibly up to 20 billion.

In terms of social media, the average monthly reach of EASO's channels, including a new Twitter page for the Executive Director as an Ambassador of the Agency, dramatically increased in 2019, from 284,000/month (2018) to 1,739,400/month in 2019 (+513%). EASO's social media channels have developed into powerful communication tools utilised to provide transparent reporting and links to all activities of the Agency. EASO's website received a +28% increase in views in 2019.

Amongst various specific initiatives were the hosting of a workshop as part of the 2019 Migration Media Awards, participation at various Europe Day events throughout Europe, the hosting of 30 information meetings and events, the translation of 800 dossiers into EU languages, regular public newsletters, 6 social media campaigns and 3 integrated communication campaigns.

EASO has also continued to engage closely with Civil Society. In 2019, 5 Consultative Forum meetings were organised, including the annual plenary meetings as well as thematic meetings and workshops. Civil Society organisations were consulted on various documents developed by EASO and were also consulted/involved in various EASO activities, such as the development of practical tools and training modules. A total of approximately 250 CSOs have participated in EASO's meetings and activities.

22. Which measures did the Agencies implement in 2019 in order to increase their cyber security and protection of the digital records in its possession? Does the Agency have such a policy in place / in a making?

Reply: During the year of 2019, EASO dramatically increased its security posture across its entire operational infrastructure and technological landscape. Out of the many examples of changes, the following are some highlights :

- Appointment of a new Information Security Officer to lead a team of two newly appointed IT Security Assistants totalling now three staff dedicated to the function;
- Adoption of the Information Security Standards policy;
- Professional and standardized in working instructions the patching and updating of all IT systems and components;
- Complete deployment of end-point tripwire and machine learning security for all staff;
- Complete deployment of encrypted disks in all end-points to avoid any data loss in case of loss or theft;
- Consolidation of all workstation, systems and server logs in one single pane view tool;
- SSI decryption of all inbound connections to our publicly available products and services for a constant machine-based evaluation and prevention of known vulnerabilities;
- Launched an all staff security training program on safe browsing and phishing;
- Implemented a coherent and complete firewall deployment across all 14 EASO geographical locations;

The work has not stopped and has continued in 2020 and will continue in the future, with additional investment in machine learning and automated threat prevention and blocking, as IT security needs to continue to grow at the same pace as the expansion of EASO's mission and activities.

23. Could the Agencies provide a list of their internal measures in place to: · put in place a comprehensive strategy for sustainable development, including steps to reduce or offset CO<sup>2</sup> emissions? · ensure a cost-effective and environment-friendly working place?

Internal measures in place

	Ensuring cost-effective and environment-friendly working place	Comprehensive strategy for sustainable development, including steps to reduce or offset CO <sub>2</sub> emissions?
Answer	The office lighting is being replaced with LED-lighting, which will significantly reduce the consumption of electricity and decrease the maintenance cycle. Further replacement of conventional lighting systems in the rest of the building is foreseen in the coming years. A secondary-class water system is	N/A

	<p>operational to provide water for sanitaraires. Due to the very mild winters in Malta, EASO is experimenting to leave central heating (provided through the air-conditioning system) off during the colder months. Instead, local heating is offered only where needed. EASO's Green Team was created in 2018 and started its activities in January 2019, implementing staff-led initiatives. It has implemented a number of environmental initiatives, for instance, in 2019 the Agency terminated the provision of paper cups adjacent to coffee machines; EASO supplied each member of staff with a new mug that can be used instead. Also, EASO implemented a pilot project to eliminate large numbers of individual waste baskets &amp; back bin liners which were previously placed under each individual desk. More work is underway to implement pull printing to save paper, and a survey was conducted to understand the extent to which lights, screen-standby and AC are being left on overnight and at weekend.</p>	
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***Budget and financial management and performance***

1. Could all Agencies illustrate the amounts of planned and unplanned carryovers and of carryover cancellations by budgetary title and the main reasons behind them?

## Planned carry-overs

	Budgetary title	Amount	Justification
Title 1		112,277	Services provided in 2018 invoiced in 2019: for local taxes, training, interim staff, CdT work, IT software and consultancy.  Annual contract timing: data centre contract (annual contract runs to end March); annual website services (contract runs to early November); annual maintenance on IT equipment (contract runs to end November); IT project timing; various subscriptions and annually renewing software licences.  The figure in Title 2 includes EUR 1.5 million committed for fit-out costs, which were funded entirely by externally assigned revenue received from the French government in 2018. These were fully consumed in 2019.
Title 2		4,409,867	
Title 3		1,924,613	
Total		6,446,757	

## Unplanned carry-overs

	Budgetary title	Amount	Justification
Title 1		-	Not applicable
Title 2		-	Not applicable
Title 3		-	Not applicable

## Cancelled carry-overs

	Budgetary title	Amount	Justification
Title 1		24,883	EBA achieved a 97.5% execution rate on the 176 commitments carried forward from 2018.
Title 2		72,966	
Title 3		62,676	The largest de-commitment of EUR 21,272 resulted from lower than expected reimbursements for Board of Appeal cases for 2018.  Two others, totalling EUR 38,332 arose from late invoicing from one supplier (a UK government agency) and under-consumption of professional services.
Title 4		160,525	

2. What are the key performance indicators (outcome/impact) used by the Agencies for measuring the added value provided by their activities, and for enhancing their budget management in this regard? Which KPIs were added / deleted in 2019? Do the Agencies use or plan to introduce other instruments to measure performance?

Performance indicators:

Within its Work Programme, the EBA is using 14 KPIs which are grouped under each strategic area and fall under the following categories: Input (1 KPI), Output (7 KPIs), Outcome (4 KPIs), Impact (2 KPIs). The KPIs that the EBA has selected are relatively simple, realistic and not over-ambitious.

Specifically, in relation to “Outcome” and “Impact” the EBA is using the following KPIs:

- [Outcome] “Percentage of completed yearly assessments of colleges” which measures the completeness and the level of responsiveness of colleges in regards to the yearly assessment process).
- [Outcome] “Feedback on training from seminar participants” which measures the satisfaction of the participants in regards to the quality of the trainings and the seminars organized by the EBA.
- [Outcome] “Data processing” which measures the Timely delivery of “new” Risk Indicators to the ESRB.

- [Outcome] “Establishment Plan achieved %” which measures the fulfilment of the establishment plan.
- [Impact] “Composite indicator of supervisory and resolution convergence” which is computed as the weighted average of outcome of direct thematic assessments, peer reviews and the successful mediation cases.
- [Impact] Number of visits to the EBA Website.

Given the nature of the EBA’s work, careful interpretation of them is required since a) performance indicators might not capture easily the quality of the EBA’s regulatory work b) a significant number of KPIs measure the result and the impact of the EBA’s work which is something that the EBA can influence but cannot control c) a range of other factors outside the control of the EBA also may affect the EBA’s outcomes therefore the EBA cannot be held solely responsible for achieving/not achieving results as measured against these indicators.

Within its Work Programme the EBA is using the following “input” KPI to enhance its budget management:

- “Budget Execution” which measures the a) execution on appropriations on the current year budget and the b) Execution on commitment appropriations carried forward from previous year’s budget.

Moreover, and in particular to this topic some additional KPIs (i.e. budget outturn, budget transfers, supplier invoice processing, mission reimbursements etc) are internally monitored and presented regularly to the EBA’s MB.

No changes to KPIs were made between years 2018 and 2019.

The EBA has developed further a set of KPIs specific to their multi-annual and annual objectives so as to boost the performance of the overall framework. As of 2021, KPIs will be tailored to priorities defined in the work programme. Nonetheless, since these objectives are evolving over time, it is worth mentioning that this will increase complexity and resources/time put into their monitoring and implementation of the KPI.

The EBA also is regularly updating its Management Board on status of the deliverables of the Annual Work Programme.

4. Have the Agencies identified and evaluated the possibility to coordinate and share resources on overlapping tasks with other Agencies with similar activities?

Reply:

Regarding inter-institutional and joint procurement EBA has coordinated itself with institutions that have similar and identical needs of products and services and has started to systematically study the possibility to participate in third party procurements. On the other hand, EBA also offers each time it will run its own procurement procedure to other ESAs and

NAPO agencies participation the possibility to participate and benefit from the synergies that this creates. Besides, the three ESAs, ERA and other agencies located in France usually face the same difficulties, in order to save resources and to adopt consistent approaches, the agencies discuss, exchange templates, advice, etc. The cooperation between procurement officers from the three ESAs and other agencies develops in a way that sometimes it looks as if they were colleagues working in a single procurement team.

Administration: Administrative staff of the EBA, ESMA and EIOPA hold regular meetings to discuss matters of shared interest. These have resulted in sharing of practices and templates, with resultant efficiency gains.

5. To what extent has the working program of each agency been implemented and what are the most important achievements?

Reply:

The EBA delivered on time 80% of its work programme in 2018. The EBA published the report and monitoring of Common Equity Tier 1 (CET1). The Authority contributed to Council roadmap on non-performing loans (NPLs) that translated to a significant acceleration in the cleaning of bank balance sheets. The EBA undertook a major effort to facilitate this process by improving the functioning of the secondary market, for instance via NPL templates designed to overcome information asymmetries. Namely, the EBA delivered a Call for advice on the NPLs on prudential backstops, and two set of Guidelines one on management of non-performing and forborne exposures, and one disclosure of non-performing and forborne exposure. The authority extensively prepared for the 2018 EU-wide stress test exercise a tool to help supervisors identify remaining pockets of vulnerability.

A top priority, although completed in 2019, was to prepare the EBA's response to the Call for Advice from the Commission concerning the implementation in the EU of the final Basel agreement of December 2017. The EBA started a data collection with a wide sample of banks, covering institutions with different business models, size and geographic reach, to assess the impact of the new international standards and suggested the best and most proportionate way to implement them in our legal framework.

Besides the common work on anti-money laundering and combating the financing of terrorism (AML-CFT) conducted under the aegis of the Joint Committee, the EBA launched a comprehensive plan to review the effectiveness of AML-CFT supervision in all Member States.

The implementation of the revised Payments Services Directive (PSD2) was a major challenge for competent authorities and firms alike, in light of its ambition to facilitate innovation, enhance competition, also by allowing new providers to access customers' payments accounts at incumbent banks in a secure and standardised way. The EBA published an opinion on implementation aspects of the RTS on Strong Customer Authentication and Common Secure Communication (SCA&CSC) to ensure supervisory convergence in the application of the new regulatory framework.

The EBA launched a general discussion on technological innovation in financial services (FinTech) through a discussion paper, followed by a comprehensive roadmap and the establishment of a knowledge hub. The first efforts focused on the risks and opportunities from FinTech and the challenges for banks' business models. The EBA published a report on big data and also updated its warning on virtual currencies.

The legislative initiatives on covered bonds and the discussion on European Secured Notes (ESNs) also benefited from the EBA's input. The EBA published an RTS on homogeneous underlying exposures, an RTS specifying the requirements for originators, sponsors and original lenders related to risk retention, and Guidelines on the STS criteria for non-ABCP securitisation.

The Authority also had an increase use of the mediation and breach of Union law tools that year.

The withdrawal of the UK from the EU (Brexit) was a top priority for the EBA in 2018. Two opinions were published urging the industry to accelerate preparations for the scenario in which no deal is reached between the UK and the EU and, therefore, no transitional arrangements were in place. The EBA regularly monitored progress in contingency planning and relocation of business.

6. How many recommendations for improvement have been given by the internal audit service and how many of the recommendations from the previous year have been implemented?

Reply:

During 2019 there were no new recommendations issued by the IAS.

In October 2019, the IAS performed a follow-up audit. The objective was to assess the progress made in implementing the open recommendations stemming from the following two audits:

- Supervisory Convergence – colleges and training (conducted in 2017);
- Single Rulebook – questions and answers (conducted in 2018).

Based on the results of the follow-up, the IAS concluded that all the remaining recommendations had been adequately and effectively implemented and would therefore be closed (2 on Supervisory Convergence and 3 on Single Rulebook)

### *Staff policy*

7. How did the Establishment Plan (officials and temporary agents) of each Agency evolve from 2018 to 2019, taking the data of 31.12.2019 compared with 31.12.2018? How many seconded national experts, contract staff, interim staff and consultants were working for each Agency in 2019, expressed in FTEs?



Number of staff

	Officials (posts filled)	Temporary agents (posts filled)
Establishment plan 31.12.2017-31.12.2018	0	142 TA
Establishment plan 31.12.2018-31.12.2019	0	144 TA

Other staff

	SNEs (FTE)	Contract agents (FTE)	Interim staff (FTE)	Consultants (FTE)
31.12.2019	19	45	0	41

8. Could each Agency present a gender and nationality breakdown of its senior and middle management positions and its management board, and of its staff overall, including as percentage of the total number for each category requested?

	Senior management Male	Senior management Female	Management board - Male	Management board - Female	Staff overall - Male	Staff overall - Female
Austria					4	
Belgium						5
Bulgaria					1	1
Croatia				1	2	
Cyprus					2	1
Czech Republic					1	
Denmark			1		2	
Estonia					1	2
Finland					1	1
France		1	1		11	9
Germany			1		9	10
Greece				1	3	4
Hungary	1					2
Ireland					3	1
Italy	1				18	16

Latvia						2
Lithuania					2	2
Luxembourg					2	
Malta					1	
Netherlands			1		3	1
Poland					1	9
Portugal					7	5
Romania					6	5
Slovakia	1				1	4
Slovenia					1	2
Spain	1				13	12
Sweden					1	1
United Kingdom	1				5	6
Norway						

Representation expressed as percentage

Answer	83%	17%	67%	33%	50%	50%

9. How many former MEPs, Commissioners or high-level officials (from AD 14) still receive money from the budget of your institution as advisors, contract agents or others? What are their tasks and their respective salaries?

Reply:

None – N/A

10. What measures / activities were organised to improve on the well-being for staff in each agency? What were the costs in 2019 and how many staff members participated in these events?

Events/measures taken by the Agency

	Measures/Activities organised to improve on the well-being for staff	Cost of the activities	Number of staff that participated
1	Annual medical visits	40250 EUR	82
2	Flexitime	N/A	N/A
3	Occasional telework	N/A	N/A
4	Flu campaign	Not organised, framework contract terminated with the medical service provider in May 2019 due to relocation.	

5	Ergonomic training	2215	25
6	EBA First Aiders and Firewardens	9030	20

11. What measures do Agencies use to prevent and fight against harassment? What kind of efforts have the Agencies made to facilitate easy and confidential reporting of internal and external harassment towards their staff? Were there any harassment cases reported, investigated or taken before the court in 2019?

Measures taken by the Agency

	What measures does your Agency use to prevent and fight against harassment?	What measures does your Agency have in place to facilitate easy and confidential reporting of internal and external harassment towards your staff?	In 2019 how many harassment cases were reported/investigated/taken before court?
Reply	<p>The EBA has adopted a policy on protecting the dignity of the person and preventing psychological and sexual harassment. Further to the adoption of the policy, awareness sessions were organised.</p> <p>The EBA has a confidential counsellor whose mandate has been extended until 31 December 2020. The confidential counsellor joined a confidential counsellors supervision session, on 5 November 2019 in EIOPA, Frankfurt.</p> <p>The EBA is launching a new call for expression of interest for confidential counsellors in September 2020.</p>	<p>The EBA's policy on protecting the dignity of the person and preventing psychological harassment and sexual harassment, as well as the manual on informal procedures are published on the EBA's intranet for staff to consult. The contacts of the confidential counsellor and Coordinator of the network of confidential counsellor are also published on the intranet so staff can refer to them easily. The EBA organised awareness sessions for its managers to take place in 2020 on this matter.</p>	0

Commen			No harassment cases were reported in 2019.
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12. What was the average absence from work due to sick leave in 2019? How many working hours were lost as a consequence of burnouts or other work-related reasons?

Answer by the Agency

	Average absence from work due to sick leave (in days) in 2019.	Number of working hours lost as a consequence of burnouts or other work related reasons	Comments
Reply	7.43 days/staff member	N/A	

13. Could the Network prepare a comprehensive list of staff-cuts implemented per individual Agency in accordance with the Commission's plan until 2019? How many of these staff-cuts were replaced by Contractual Agents or External experts?

Staff cuts 2013-2019

	Staff cuts per Agency	Contract agents employed	External experts employed	Comments
2013	The EBA requests for temporary agent positions continued to be reduced since the establishment of the EBA. As the EBA's policy is to allocate temporary agent positions primarily to core business, the EBA tried to compensate for their reductions by increasing the number of CA and by hiring interims in IT (IT consultants) and in administration and corporate support areas. As the			

	purpose of hiring interim staff is to cover for short-term needs, the EBA had to hire contract agents to replace some of the IT consultants by TAs and interim admin staff by CA.			
2014				
2015				
2016				
2017				
2018				
2019				

14. Is there any increase of the workload or new tasks designated to each agency and how does it manage to accommodate these to the available staff in 2019? Did your Agency face an increase in workload or new tasks assigned in 2019? How did you accommodate these with the staff available in 2019?

Reply:

In 2018, the EBA expected a considerable number of legislative reforms from the Commission which came into effect in mid-2019. These were (i) a review of the CRR and the consequences of the BCBS's revision of the trading book; (ii) implementation of TLAC; (iii) a follow-up on the discussion on proportionality in the regulatory framework; and (iv) mandates stemming from the covered bonds legislation. The EBA also received new mandates: (i) the mandates on the securitisation framework in the context of the CMU; (ii) the mandates on NPLs; (iii) the mandates on FinTech; and (iv) the mandates on sustainable finance. These tasks were absorbed by existing staff.

Moreover, also the EBA expected additional work stemming from the legislative proposal of September 2017 of the ESAs European System of Financial Supervisors, the so-called ESAs review, that was adopted by the co-legislators in 2019 and that entered into force in January 2020. The EBA received additional headcount for this split between years 2020 and 2021.

Furthermore, the UK's triggering of Article 50 of the Treaty on European Union has started the 2-year process for its withdrawal from the EU, which has had a twofold impact on the EBA and its work programme. Existing staff took additional tasks following Brexit.



### *Conflicts of interest and transparency*

15. Could each Agency confirm whether the declarations of conflicts of interest are in place (and public) for their: · management board members · senior management?

Declaration of Col

	Management board members	Senior management	Comments
Reply	Yes	Yes	The EBA is collecting annually declarations of conflicts of interest from all members of the management board and its senior management and publishes them on the EBA's website.

16. Could each Agency confirm if they publish on their website the CVs of their: · management board members · management staff · external experts · in-house experts?

	Management board members	Management staff	External experts	In-house experts	Comments
Answer	Yes	Yes	No	No	The EBA is publishing the CV's of the members of the Management Board, Board of Supervisors, Chairperson, Executive Director and Directors.

17. What kind of mechanisms do the Agencies use to identify and avoid conflicts of interest, and were there any cases of conflicts of interest reported, investigated and concluded in 2019?

Reply:

All staff and all members and alternates of the Board of Supervisors, including members of the Management Board, are required to submit annually a declaration of conflicts of interest. The declarations are screened by the Ethics Officer, who reports any identified conflicts of interest together with proposed measures for their mitigation to the Chairperson (BOS members COI) or Executive Director (EBA staff). There are a few cases where minor conflicts have been identified and mitigating measures have been taken, e.g. some staff would not work on certain files, if they would concern areas where they could be perceived as being conflicted. Staff is also asked to sell shares in companies that fall in the scope of EBA’s action, where possible (e.g. respecting applicable retention periods) before entering into service. Staff is required to report ad hoc any situation or change of situation which might lead to a conflict of interest. In addition, within each selection or procurement procedure, the selection panel is required to declare if they have conflicts of interest and if so, such members are being replaced.

In 2020, following the change of the EBA founding regulation, additional measures have been implemented. Before each meeting all members of the Board of Supervisors must declare if they have a conflict of interest regarding the topics on the Agenda. Furthermore, the scope of the collection and publication of annual declarations of conflicts of interest has been extended to two standing committees responsible for Anti Money Laundering and Resolution.

18. For the Agencies that depend on fee collection: how many percent of the Agency’s income consist of fees? How does the Agency view in this regard the danger of conflicts of interest for relying on fees from their clients? What kind of mechanism(s) to prevent conflict of interests do the agencies that collect fees from their clients have at their disposal? Would the Agency consider it an appropriate solution if the Commission would collect the fees, and the Agency would hence be fully funded from the EU budget?

Fee financed Agencies

	How many percent of your Agency’s income consists of fees	Does the Agency see any potential danger of Col from relying on fees from its clients?	What kind of mechanisms does the Agency use to prevent Col stemming from the collection of fees	Would the Agency consider it an appropriate solution for the Commission to collect the fees and the Agency to be fully funded from the EU budget?

Reply				
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19. Have all the Agencies set up and implemented internal rules or common guidelines on whistleblowing? Could the Agencies provide the number of open, closed and ongoing whistleblowing cases in 2018? Which actions were taken for each of these case and what were the results?

	Has your Agency implemented internal rules or common guidelines on whistleblowing?	Can the Agency provide the number of open/closed/on-going whistleblowing cases in 2019?	What actions were taken for each of these cases and what were the results?	Comments
Reply	Yes			
Comment	The EBA adopted its Guidelines on whistleblowing in 2018.	In 2018 no whistleblowing cases were reported at the EBA.		

20. Are all meetings with lobbyists, in case such meetings were held: · registered · made public?

Meeting with lobbyists

	Were the meetings registered?	Were the meeting made public?	Comments
Agency meeting with lobbyists	Yes	Yes	The EBA maintains a public meeting register that includes all meetings with lobbyists and external stakeholders and publishes regularly updates of it on the EBA's website.

## *Other comments*

21. Which measures did the Agencies implement in 2019 in order to increase their public visibility and online presence? Could you please summarize shortly the actions taken in order to promote the work of the Agencies to EU citizens, and to make services available to the wider public, civil society and academia where appropriate?

Reply:

### PUBLICATIONS

In 2019, the Communications Team undertook several tasks to promote a large number of publications and to support the delivery of the EBA's main projects as mentioned in the work programme. Such publications include the Transparency Exercise and Risk Assessment Report, the monitoring of Basel implementation, financial technologies and sustainable finance, anti-money laundering, and Annual Report. As a result, 130 news items and press releases were published.

### COMMUNICATION MATERIAL

In liaison with the Publications Office of the European Union, the EBA started producing infographics and factsheets on various themes of interest to provide information on how the EBA work can benefit EU citizens. By the end of 2020, a series of podcast will also be made available.

### INTERVIEWS and BRIEFINGS with the press

Throughout the year, the EBA Press Office organised 46 interviews and background briefings with journalists. The Authority has featured on financial pages of many notable European and international media outlets, thus expanding its coverage. Briefings and interviews were organised either reactively or proactively, based on the EBA outputs that, in the light of specific relevance or sensitivity, were deemed to require dedicated media activities.

### PROMOTION through social media channels

In 2019, the EBA's Twitter in LinkedIn profile continued to increasingly generate attention. During this period, it gained 2.150 new followers on Twitter, bringing it together to over 10.400 total followers. The LinkedIn followers counter in end-December showed more than 41.000 followers. In order to reach out to specific audiences and to add a personal touch to the EBA social media activities, the Communication team has launched the Chairperson's official LinkedIn account. By August 2020, the profile has gained a total of 3,071 followers.

2019 was a very successful year also in terms of notable activities, as the campaign on the Authority's relocation to Paris (under the hashtag #EBAinParis) gained 15,688 impressions and 1,026 engagements. In addition, the EBA has actively promoted its core and ad-hoc publications, namely the advice on the implementation of Basel III in the EU, Roadmap on the risk reduction measures package, EU-wide Transparency Exercise and Risk Assessment Report, and the Action Plan on Sustainable Finance.

The EBA is currently working on its social media and digital strategy.

22. Which measures did the Agencies implement in 2019 in order to increase their cyber security and protection of the digital records in its possession? Does the Agency have such a policy in place / in a making?

Reply:

In 2019, the EBA approved its Information Security Policy, together with a set of standards and guidelines, which cover access control and authentication, password protection, clean desk and incident handling.

In 2019, the EBA has kicked off its Cyber Security Awareness training campaign for its entire statutory staff. The campaign covers tutorials and videos on common cyber security threats and it is accompanied by short assessments. During the course of the year, the EBA has executed a spear-phishing exercise to test the overall exposure of the staff to this specific threat.

23. Could the Agencies provide a list of their internal measures in place to: · put in place a comprehensive strategy for sustainable development, including steps to reduce or offset CO<sup>2</sup> emissions? · ensure a cost-effective and environment-friendly working place?

Internal measures in place

	Ensuring cost-effective and environment-friendly working place	Comprehensive strategy for sustainable development, including steps to reduce or offset CO <sub>2</sub> emissions?
Answer	Replying to the European Court of Auditors' recommendation of full implementation of European eco-management and audit scheme (EMAS) by all EU institutions and bodies, as from January 2020 the EBA has started working to achieve its EMAS registration. The approved scope of the EMAS at the EBA is 'all the EBA's activities and its products'.	

***Budget and financial management and performance***

1. Could all Agencies illustrate the amounts of planned and unplanned carryovers and of carryover cancellations by budgetary title and the main reasons behind them?

## Planned carry-overs

	Budgetary title	Amount	Justification
Title 1	Staff Expenditure	454 838,67	All carry-forwards were planned to cover for staff related expenditure such as training, external services and mission expenses.
Title 2	Infrastructure and operating expenditure	1 946 808,36	All carry-forwards were planned to cover for administrative expenditure such as security of building, ICT hardware, strategic management consultancy and development of administrative applications and systems.
Title 3	Operational expenditure	8 190 452,16	All carry-forwards were planned to cover for operational expenditure such as surveillance, scientific advice, public health training and informatics.
Title 4	N/A	N/A	N/A

## Unplanned carry-overs

	Budgetary title	Amount	Justification
Title 1	Staff Expenditure	None	N/A
Title 2	Infrastructure and operating expenditure	None	N/A
Title 3	Operational Expenditure	None	N/A
Title 4	N/A	N/A	N/A

## Cancelled carry-overs

	Budgetary title	Amount	Justification
Title 1	Staff Expenditure	0	Please note that the carry-forward from 2019 is still under implementation. Therefore we can only show the situation until 10 August 2020. No de-committments have been done so far for this Title.
Title 2	Infrastructure and operating expenditure	285	Please note that the carry-forward from 2019 is still under implementation, therefore we can only show the situation until 10 August 2020. The amount de-committed so far represents a small left-over from the carry-forward.
Title 3	Operational expenditure	111 071,35	Please note that the carry-forward from 2019 is still under implementation, therefore we can only show the situation until 10 August 2020. So far, carry-forwards have been de-committed mostly in the area of non-implemented meetings due to COVID-19.
Title 4	N/A	N/A	N/A

2. What are the key performance indicators (outcome/impact) used by the Agencies for measuring the added value provided by their activities, and for enhancing their budget management in this regard? Which KPIs were added / deleted in 2019? Do the Agencies use or plan to introduce other instruments to measure performance?

Performance indicators:

ECDC used a number of KPIs in its SPD 2019 to measure the added-value of its activities and for enhancing budget management. All KPIs are part of the annual SPD and reported in the Annual Report (AR) and include a high proportion of outcome indicators.

Examples of KPIs used in 2019:

Output indicators:



- Number of European surveillance systems evaluated
- Number of people trained
- Proportion of activities implemented from the AWP
- Proportion of field response requests from Member States (MS) positively replied by ECDC

Outcome indicators:

- Time from closure of MS data collection to the publication of results of the Surveillance Atlas
- Use of the online surveillance Atlas by external users
- Proportion of peer-reviewed articles, published as gold standard in open access scientific journals
- Proportion of requests answered within the agreed timeline (EP, Commission, MS)
- Proportion of MS finding EULabCap country reports useful
- Average number of downloads per Rapid Risk Assessment (RRA)
- Level of satisfaction of the RRA
- Participant satisfaction with training activities
- Satisfaction from pre-accession and ENP partner countries on support for their progressive integration into ECDC
- Usage of the ECDC web portal and social media channels
- Increase of articles in Europe referencing ECDC and its experts
- Rating of the ESCAIDE annual conference by participants
- Timeliness of internal digitalised key processes.

Impact:

- Five year impact factor of ECDC peer-reviewed publications
- Average number of citations per article
- Impact factor of the Eurosurveillance journal and journal rank positioning
- Proportion of scientific opinions and guidance perceived as relevant and useful by ECDC stakeholder (measured in 2019 only through the external evaluation of ECDC).

ECDC uses the list of compulsory financial KPIs included in the Commission staff working document SWD (2015) 62 final (Guidelines on key performance indicators (KPI) for directors of EU decentralised agencies):

- % of budget committed (C1) and % of payments executed (C1) in the same year as the commitment
- % of invoices paid within the time limits
- Rate of cancellation of payment appropriations
- Rate of outturn

In addition, senior management reviews monthly an implementation report, which includes budget execution, net payment times, list of procurement procedures at risk.

In 2019, ECDC revise its indicators slightly, and the list was completely revised in 2020 for the SPD 2021, as part of ECDC new strategy.

The most notable change was the set-up of an ambitious indicator on the “provision of diseases for which surveillance data is published within 3 months after closure of data completion”. This target demonstrated that ECDC was able to provide 75% of the updated surveillance data within 3 months of closure of their collection (compared to about 5% in previous years).

ECDC uses routinely the following instruments:

#### I. Integrated management Framework (IMF):

In 2019, ECDC started the development of an IMF, including relevant IT tools, which will improve measuring performance through better integration of information, timely monitoring of operational KPIs, production of reports for managers to facilitate decision making. The IMF will regroup four areas: governance, performance management, quality management, and internal controls.

#### II. Internal and external evaluations:

- ECDC completed its third independent external evaluation. The evaluation report answered a set of questions, including:
  - o The extent to which the tasks and outputs are relevant to the needs of key stakeholders
  - o The extent the stakeholders used ECDC outputs
  - o What has ECDC achieved that could not have been achieved by the Member States themselves, the Commission, the European Parliament or international organisations
  - o Where impacts were achieved at lower costs because of the Centre’s intervention
  - o The extent to which ECDC outputs were used by policy makers
  - o The most likely consequences at the EU level if the Centre had not existed
  - o The coordination and complementary of ECDC activities to those of the Member States

- o How ECDC prevented unnecessary or overlapping activities with Member States.
- In 2019, ECDC completed outsourced internal evaluations of:
  - o Fellowship Programme
  - o EU/EEA surveillance systems coordinated by ECDC
  - o Two Disease Programmes
  - o Document Management System

II. Systematic ex-ante evaluations for all new projects approved by senior management.

III. Activity Based Budget (ABB) and Activity Based Costing (ABC) are in place since 2011. Since 2016, activity reporting from staff is available.

IV. Development of electronic workflows, that result in better compliance with the process. In 2019, four electronic workflows were in place. Four additional e-workflows are expected in 2020. In 2019, 560 workflows were initiated electronically and their total duration was reduced between 25% and 95%.

4. Have the Agencies identified and evaluated the possibility to coordinate and share resources on overlapping tasks with other Agencies with similar activities?

Reply: The network of EU agencies has established an online catalogue of shared services (mainly IT services).

ECDC has been using in particular an inter-agency procurement for the management of its bi-annual staff survey, which allows anonymised benchmarking with a number of other EU agencies, which are part of the contract.

In 2019, ECDC has taken part in seven inter-agency procurements for a value of estimated 3.5 M EUR. They cover in particular IT (software, hardware) furniture, learning and development, communication, and scientific studies (behavioural studies).

ECDC is also a party of the shared service offered by EUIPO for computer centre facilities for disaster recovery purposes and for business continuity (“Disaster Recovery services”). The annual cost of this service is 18,950.40 EUR. To our understanding, the benefit for a single agency is between 26.744 EUR and 33.060 EUR, which would be the estimated saving generated. This shared service is used by nine EU agencies.

In 2019, ECDC prepared the launch of GovSec, a shared service that provides a tool and a methodology to assist information security officers in producing information security risk assessments and treatment plans. The tool shall be available to all Agencies of the EU Agencies Network from September 2020.

GovSec is developed by DIGIT and the Cloud Security WG as an open source project financed by ISA2. The Agencies access a common instance of the solution hosted by DIGIT and

financed based on the principle of recovery of costs by the Cloud II broker fee paid by the Agencies. ECDC acts as business owner for the Agencies and chairs a Community of users which collaborates on the creation of risk assessments for IT products of common use (e.g. O365).

GovSec is web-based and supports the risk assessment process with built-in drop-down menus for business impact assessment, threats, vulnerabilities, likelihood, frequency and security measures making risk management somewhat easier to do. GovSec also provides automated calculations for risks levels.

GovSec has been specially designed for the management of cloud, but practice has shown that it is also fit for purpose for risk assessments of any type of hosting (e.g. on premise).

5. To what extent has the working program of each agency been implemented and what are the most important achievements?

Reply: In 2019, ECDC implemented 90.1% of its AWP, reaching its 85% target. Annex 1 of the annual report provides a detailed overview of the implementation of the work programme by activity as adopted by MB in the SPD 2019. The third external evaluation of the Centre for 2013-2017 was finalised, and the new long-term strategy (2021–2027) discussed by the MB. The Centre's new organisational structure was prepared for implementation as of 2020 to ensure efficient internal collaboration. Work started on two new programmes: e-Health/Digital Technologies and Foresight: The 'Foresight' programme will provide a structured approach for assessing future trends and threats. It will be based on a combination of quantitative (e.g. modelling) and qualitative (e.g. expert consultation) methods, to help identifying major future trends, defining strategic priorities, and projecting the likely workforce skills required in the medium to long-term, as well as Member State preparedness measures. The programme was initially supposed to cover for the next four years, antimicrobial resistance and vaccine preventable diseases. Based on its unique experience in managing and analysing public health data for cross-border disease surveillance, ECDC will explore the challenges and opportunities offered by new technologies. The Centre will build on the Commission Recommendation on a European Electronic Health Record exchange format that aims to have a common data exchange format for several health information domains, including laboratory and vaccination data. In 2019, the internal governance structures of these two programmes were established, and the first datasets for e-health were collected. In 2020, the COVID19 has changed the thinking for both projects and thus their scope has already changed slightly and will be further discussed. In 2019, ECDC work focused on five key priorities: 1) Strengthening the Member States' and the EU's preparedness against epidemics: ECDC supported the implementation of Article 4 of Decision No 1082/2013/EU on serious cross-border threats to health. 2) Increasing vaccination coverage in Europe and tackling vaccine hesitancy: ECDC helped the Member States implement the 2018 Council Recommendation on vaccine-preventable diseases. 3) Tackling antimicrobial resistance in Europe. ECDC supported the 2017 European One health action plan against antimicrobial resistance, providing evidence

on antimicrobial resistance and promoting the prudent use of antibiotics. 4) Reaching the targets set in the United Nations SDGs: ECDC helped countries raise awareness of the SDGs; ECDC also aligned its monitoring with the SDGs, particularly for HIV, TB and hepatitis. 5) Strengthening the cooperation with external partners: ECDC worked closely with WHO Regional Office for Europe and relevant EU agencies; ECDC also reinforced its links with other centres for disease control. In 2019, ECDC continued to provide scientific and operational support to the Member States and the European Commission by: - delivering 24 rapid risk assessments that provided important information on risk levels and management at the EU and national levels; - further improving its surveillance processes and reengineering its surveillance systems. For the first time in its existence, ECDC published 75% of its surveillance data within three months of collection; - providing technical support to the European Commission in the implementation of Article 4 of Decision No 1082/2013/EU on serious cross-border threats to health; in this context, ECDC also updated the 'Early Warning and Response System', based on the request of the Commission and guidance by the Health Security Committee; - responding to 34 scientific requests from the Commission and the European Parliament and publishing over 200 scientific documents; - sending a response team to Mozambique to support the control of the cholera outbreak; another team went to the Democratic Republic of Congo in response to the Ebola outbreak to support the efforts of the Directorate-General for European Civil Protection and Humanitarian Aid Operations. The Centre continued to support policymaking at EU and national levels by providing relevant public health data, e.g an interactive disease atlas, a vaccine scheduler, evidence-based data, interactive maps, and assessments of laboratory quality. ECDC helped countries who lacked whole genome sequencing capacities. Major projects in 2019 also included the reengineering of ECDC's surveillance systems, the outsourcing of the Centre's information technology and making whole genome sequencing accessible to all Member States. From September 2018 to February 2020, ECDC chaired the Network of EU Agencies, which provided an excellent opportunity to gain more visibility, engage in strategic exchanges and help align our processes, with tangible benefits for ECDC day-to-day work.

6. How many recommendations for improvement have been given by the internal audit service and how many of the recommendations from the previous year have been implemented?

Reply: From the IAS there was one audit report in 2019, with five recommendations being made (two have been implemented and three are still open). All IAS recommendations from previous years have been implemented.

## Staff policy

7. How did the Establishment Plan (officials and temporary agents) of each Agency evolve from 2018 to 2019, taking the data of 31.12.2019 compared with 31.12.2018? How many seconded national experts, contract staff, interim staff and consultants were working for each Agency in 2019, expressed in FTEs?

### Number of staff

	Officials (posts filled)	Temporary agents (posts filled)
Establishment plan 31.12.2017-31.12.2018	0	180 (posts filled on 31.12.2018: 177)
Establishment plan 31.12.2018-31.12.2019	0	180 (posts filled on 31.12.2019: 174)

### Other staff

	SNEs (FTE)	Contract agents (FTE)	Interim staff (FTE)	Consultants (FTE)
31.12.2019	1	100 (filled on 31.12.2019: 99)	28	6 (structural service providers)

8. Could each Agency present a gender and nationality breakdown of its senior and middle management positions and its management board, and of its staff overall, including as percentage of the total number for each category requested?

	Senior management Male	Senior management Female	Management board - Male	Management board - Female	Staff overall - Male	Staff overall - Female
Austria			1		1	1
Belgium		1	1		4	4
Bulgaria			1		4	5
Croatia			1			1
Cyprus				1	1	
Czech Republic				1		2
Denmark				1	3	3
Estonia				1	2	2
Finland				1	3	10
France	1			1	11	13
Germany		1			6	16
Greece			1		5	4
Hungary				1	2	1
Ireland				1	1	2

Italy			1		13	7
Latvia				1	2	3
Lithuania			1			5
Luxembourg			1			
Malta				1	2	
Netherlands				1	5	2
Poland			1		4	7
Portugal				1	3	7
Romania				1	11	8
Slovakia			1			2
Slovenia				1	1	1
Spain				1	2	5
Sweden	2		1		12	42
United Kingdom	1				5	8
Norway			1			



Representation expressed as percentage

	% of males in the overall management staff	% of females in the overall management staff	% of males in the overall management board staff	% of females in the overall management board staff	% of males in the overall staff	% of females in the overall staff
Answer	70	30	42	58	38	60

9. How many former MEPs, Commissioners or high-level officials (from AD 14) still receive money from the budget of your institution as advisors, contract agents or others? What are their tasks and their respective salaries?

Reply: None

10. What measures / activities were organised to improve on the well-being for staff in each agency? What were the costs in 2019 and how many staff members participated in these events?

Events/measures taken by the Agency

	Measures/Activities organised to improve on the well-being for staff	Cost of the activities	Number of staff that participated
	Change management for HR staff	5,160	10
	Effectively listening and communicating to your staff in times of change	27	27
	Supporting staff through change	Facilitated by internal trainers	16
	Training in Psychological First Aid	1,230	13
	Training for Confidential Counsellors (mandatory initial training for new Confidential Counsellors) and supervision for current Confidential counsellors	17,157 €	4

	Manager as mediator	2,995 €	18
	Teambuilding (eight teams)	32,289 €	36
	Stress prevention lecture Stress management workshop Training in CPR Defibrillation and First Aid Presentations on 'Prevention of Harassment in the Workplace' Specific workshop for Staff Committee members on 'Prevention of Harassment in the workplace'	2,000 € 7,800 € 2,181.00 € 2,100 € 700 €	

11. What measures do Agencies use to prevent and fight against harassment? What kind of efforts have the Agencies made to facilitate easy and confidential reporting of internal and external harassment towards their staff? Were there any harassment cases reported, investigated or taken before the court in 2019?

Measures taken by the Agency

	What measures does your Agency use to prevent and fight against harassment?	What measures does your Agency have in place to facilitate easy and confidential reporting of internal and external harassment towards your staff?	In 2019 how many harassment cases were reported/investigated/taken before court?
Reply	ECDC provides yearly training on prevention of harassment for all staff and managers. ECDC also has a number of internal confidential counsellors in place who can deal with harassment matters in a so called informal	ECDC provides yearly training on prevention of harassment for all staff and managers. ECDC also has a number of internal confidential counsellors in place who can deal with harassment matters in a so called informal procedure with the aim of finding an amicable solution.	None

	<p>procedure with the aim of finding an amicable solution. All staff furthermore have the possibility to launch a formal complaint to the Director. The Director has repeatedly reiterated to staff that the Centre has zero tolerance for any kind of harassment in the work place. The Centre carefully assess cases of reported harassment within the established legal and procedural framework. ECDC has a webpage on its intranet called "Respectful working environment" in which information about harassment, and subsequent support in case of need, is available.</p>	<p>All staff furthermore have the possibility to launch a formal complaint to the Director. The Director has repeatedly reiterated to staff that the Centre has zero tolerance for any kind of harassment in the work place. The Centre carefully assess cases of reported harassment within the established legal and procedural framework. ECDC has a webpage on its intranet called "Respectful working environment" in which information about harassment, and subsequent support in case of need, is available.</p>	
Commen			

12. What was the average absence from work due to sick leave in 2019? How many working hours were lost as a consequence of burnouts or other work-related reasons?

Answer by the Agency

	Average absence from work due to sick leave (in days) in 2019.	Number of working hours lost as a consequence of burnouts or other work related reasons	Comments
Reply	5.06 % (on average 12 days per staff member)	no data available	ECDC does not monitor the reasons for sick leave absences due to data protection reasons

13. Could the Network prepare a comprehensive list of staff-cuts implemented per individual Agency in accordance with the Commission's plan until 2019? How many of these staff-cuts were replaced by Contractual Agents or External experts?

Staff cuts 2013-2019

	Staff cuts per Agency	Contract agents employed	External experts employed	Comments
2013	-2	n/a	n/a	n/a
2014	-4	n/a	n/a	n/a
2015	-4	n/a	n/a	n/a
2016	-4	n/a	n/a	n/a
2017	-4	n/a	n/a	n/a
2018	-2	n/a	n/a	n/a
2019	nil	n/a	n/a	n/a

14. Is there any increase of the workload or new tasks designated to each agency and how does it manage to accommodate these to the available staff in 2019? Did your Agency face an increase in workload or new tasks assigned in 2019? How did you accommodate these with the staff available in 2019?

Reply: There was no increase in the workload or tasks handled to ECDC in 2019. This was a particularly busy year for ECDC, when the Centre was able to deliver over 90% of its planned work programme, without additional resources, despite conducting in parallel a number of cross-cutting and organisational projects (development of the long term strategy 2021-2027, change in the ECDC organisational setting, third external evaluation of ECDC , and launch of cross-unit projects for e-health and ‘foresight’).

Due to the COVID situation, the workload of ECDC was increased in 2020 and a number of regular activities had to be deprioritised, with the approval of the Management Board.

### *Conflicts of interest and transparency*

15. Could each Agency confirm whether the declarations of conflicts of interest are in place (and public) for their: · management board members · senior management?

Declaration of Col

	Management board members	Senior management	Comments
Reply	yes	yes	

16. Could each Agency confirm if they publish on their website the CVs of their: · management board members · management staff · external experts · in-house experts?

	Management board members	Management staff	External experts	In-house experts	Comments
Answer	yes	yes	yes	no	Comment: ECDC confirms that the CVs are published on ECDC’s website for management board members and senior management. The CVs for external experts are available in ECDC’s expert directory. The ECDC independence

					policy does not foresee the publication of CVs of in-house experts.
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17. What kind of mechanisms do the Agencies use to identify and avoid conflicts of interest, and were there any cases of conflicts of interest reported, investigated and concluded in 2019?

Reply: ECDC has adopted an Independence Policy that requires routine collection and checking of Declarations of Interest from members and alternates of its governing bodies (Management Board and Advisory Forum), its senior management team, key staff members and external experts participating in ECDC's activities. In most cases, these Declarations of Interest are also published on ECDC's website. When consulting ad hoc expert panels, ECDC seeks to achieve a balanced representation of experts from different backgrounds on these panels. Information about expert meetings and consultations is transparently made available on ECDC's website. In addition, ECDC has adopted an independence policy for staff that requires expert staff members contributing to ECDC's scientific outputs to submit Annual Declarations of Interest.

29 relevant interests were identified and further investigated. In 21 cases a potential conflict of interest was identified. Mitigation measures applied included exclusion from an agenda point of a meeting, screening of the input of the experts by ECDC independent staff members for potential bias and restricting participants from being chair or vice chair for a group.

18. For the Agencies that depend on fee collection: how many percent of the Agency's income consist of fees? How does the Agency view in this regard the danger of conflicts of interest for relying on fees from their clients? What kind of mechanism(s) to prevent conflict of interests do the agencies that collect fees from their clients have at their disposal? Would the Agency consider it an appropriate solution if the Commission would collect the fees, and the Agency would hence be fully funded from the EU budget?

Fee financed Agencies

	How many percent of your Agency's income consists of fees	Does the Agency see any potential danger of Col from relying on fees from its clients?	What kind of mechanisms does the Agency use to prevent Col stemming from the collection of fees	Would the Agency consider it an appropriate solution for the Commission to collect the fees and the Agency to be fully funded from the EU budget?
Reply	N/A	N/A	N/A	N/A



19. Have all the Agencies set up and implemented internal rules or common guidelines on whistleblowing? Could the Agencies provide the number of open, closed and ongoing whistleblowing cases in 2018? Which actions were taken for each of these case and what were the results?

	Has your Agency implemented internal rules or common guidelines on whistleblowing?	Can the Agency provide the number of open/closed/on-going whistleblowing cases in 2019?	What actions were taken for each of these cases and what were the results?	Comments
Reply	Yes, an internal procedure on whistleblowing has been put in place.	1 closed	Written reminder to staff member about duties under the SR.	
Comment				

20. Are all meetings with lobbyists, in case such meetings were held: · registered · made public?

Meeting with lobbyists

	Were the meetings registered?	Were the meetings made public?	Comments
Agency meeting with lobbyists	Yes, all external correspondance/meeting requests are registered in ECDC's Chrono-System	No, unless requested through a request under Regulation 1049/2001	

## *Other comments*

21. Which measures did the Agencies implement in 2019 in order to increase their public visibility and online presence? Could you please summarize shortly the actions taken in order to promote the work of the Agencies to EU citizens, and to make services available to the wider public, civil society and academia where appropriate?

Reply: Media and risk communication

In 2019, ECDC promoted its content to press and media, via press releases and social media channels. ECDC released 5 press releases and 46 news items, and replied to 90 media requests.

ECDC published over 200 reports, including rapid risk assessments and regular surveillance reports, and disseminated them across multiple channels, from social media to info-stands in scientific conferences, as well as the monthly publications newsletter that saw a considerable increase in subscribers. ECDC continued to increasingly publish data, graphs, maps and infographics as downloadable, copyright-free assets to allow partners and stakeholders to reuse ECDC content.

ECDC developed a number of communication campaigns, using traditional media, social media, video, toolkits, infographic visuals and PowerPoint materials, which can be reused by Member States in their language during various occasions, such as the European Antibiotic Awareness Day, the European Immunization Week, World Tuberculosis Day, World Hepatitis Day, Influenza season, World AIDS Day, and European Testing Week.

ECDC organised a joint panel with EFSA as part of the official conference programme of the World Conference of Science Journalists to present ECDC work and connect to science and health journalists from across the globe.

### Social media

ECDC has continued its active presence on social media, and its followership has grown substantively, both on the corporate accounts as well as disease-specific ones across all social media platforms. ECDC started a closer cooperation with the biggest platforms (Facebook and Twitter notably) to ensure better propagation of the messages on public health (notably – verification of all Twitter accounts and Facebook Pages). The cooperation proved to be of utmost importance from January 2020 onwards in communicating about the pandemics.

### Stakeholder engagement

ECDC participated with an information stand at six conferences; the European Congress of Clinical microbiology and infectious diseases (ECCMID), the European Society for Paediatric Infectious Diseases (ESPID), the World Conference of Science Journalists, the International Union Against Sexually Transmitted Infections, the EU Health Programme meeting and the European Public Health Conference. ECDC actively informed participants about ECDC activities and promoted all ECDC information products, including all online materials, at these conferences both through staff at the stand and through participating experts.

In addition, ECDC organised the annual conference European Scientific Conference on Applied Infectious Disease Epidemiology (ESCAIDE), mainly targeted at academia. The estimated number of participants of the aforementioned conferences well exceeded 20 000.

ECDC maintains several functional inboxes where the public can contact ECDC and receive information about the areas in their mandate and information about data resources. The number of queries to the functional inboxes averaged 100 per month in 2019.

40 countries participated in the 12th edition of the European Antibiotic Awareness Day. After the event, a press briefing with a keynote speech by Commissioner for health, Vytenis Andriukaitis, and ECDC Director Andrea Ammon was organised. The Day was marked by national events and campaigns on prudent antibiotic use. ECDC continued to collaborate with WHO Europe for the World Antibiotic Awareness Week.

## Website

In 2019, the ECDC website had 29% more users than the year before. Users were particularly interested in maps and data on measles, antimicrobial resistance and emerging and vector-borne diseases, e.g. West Nile fever and Zika virus disease. The European Antibiotic Awareness Day (EAAD) website had 124% more visitors during the campaign in November compared to the same period in 2018.

## Design

Overall, in 2019, the number of design requests have increased for both internal and external communication. We have experienced a higher demand on infographics and animations, with a new Measles infographic that we have started to produce on a monthly basis. Design requests for web/social media have also increased considerably, with a focus on events and data visualisation. As for the publications, the number of deliverables has slightly increased.

22. Which measures did the Agencies implement in 2019 in order to increase their cyber security and protection of the digital records in its possession? Does the Agency have such a policy in place / in a making?

Reply: ECDC has improved its cyber-security and protection of the digital records over the last few years. The improvements include:

- Signed extended cyber security SLA with CERT-EU (prevention, intelligence, monitoring, offensive security, and incident response services)
- More and better monitoring of workstations, systems, applications, and network traffic/equipment to central logging system

- Monthly vulnerability scans of all internal IP addresses (~1500 devices) and public web services (~70 services)
- Penetration tests of public web services
- Penetration tests of web services in development
- Inventory and review of the servers and DMZ exposed services has been performed.
- New firewall software and hardware (more security features and easier to use)
- Social Media Assurance Service (for ECDC Twitter, LinkedIn and Facebook accounts)
- Red team exercise (white-hat hacking with CERT-EU)
- New security policies and rules
- Lots of security awareness and communications to staff
- IT Security Risk Project (analysed ~60 systems, network equipment and applications)
- Improved security procedures/processes (according to the IT/information security framework and NIST cyber-security frameworks)
- More encryption configured (for data in transit and for some storage)
- Better patch management procedure
- Better supplier security via FWC
- Formal security incident procedure created and used
- Multi-factor authentication (MFA) for O365 VPN and other remote logins
- VIP security (for the Director Ms. Andrea Ammon)
- Revised and improved administrator handling/control
- Administrator account password was changed and stored outside the password database

ECDC does not have a specific cyber-security policy but has several security policies in place which include cyber-security:

- ECDC/IP/26 – Use of ICT Equipment - applicable to all users of ECDC Information and Communications Technology
- ECDC/IP/31 – Guidance on Confidentiality and Discretion - guidance on confidentiality and discretion requirements related to the Centre's activities
- ECDC/IP/36 – rev.2 – Document management - rules relating to document management at ECDC, including electronic, digitised and paper documents throughout various stages of the document lifecycle

- ECDC/IP/37 – ICT remote access to ECDC using the VPN - provides information security instructions applicable to all users of ECDC computers to gain remote access to internal resources using the Virtual Private Network (VPN)
- ECDC/IP/40 – Wireless Guest Network Access - describes how access to the wireless guest network can be requested
- ECDC/IP/62 – Handling of ICT Information Security Incidents - framework in place for timely and effective handling of information security incidents
- ECDC/IP/63 – Information Security - provides for security measures to protect ECDC’s information systems and the information processed

23. Could the Agencies provide a list of their internal measures in place to: · put in place a comprehensive strategy for sustainable development, including steps to reduce or offset CO<sup>2</sup> emissions? · ensure a cost-effective and environment-friendly working place?

Internal measures in place

	Ensuring cost-effective and environment-friendly working place	Comprehensive strategy for sustainable development, including steps to reduce or offset CO <sub>2</sub> emissions?
Answer	Ensuring cost-effective and environment-friendly working place • ECDC has been operating in its new premises since March 2018. The premises have been environmentally certified as a “Green building” since 2008. ECDC is expected to receive the environmental certification ‘BREEAM Very Good in use’ for its building in Q4, 2020. The Building Research Establishment Environmental Assessment Method (BREEAM) is the world’s leading sustainability assessment method for master planning projects, infrastructure and buildings. • ECDC is putting a lot of emphasis on its environmental performance and	<ul style="list-style-type: none"> <li>• 100% of the ECDC electricity is provided by hydro powered energy.</li> <li>• Windows with energy-efficient glass optimizing daylight admission and reducing solar heat</li> <li>• Light sources mostly of LED with occupancy sensors and daylight control systems</li> <li>• In 2019, ECDC introduced a new recycling system with separation of waste into paper, plastic, glass, organic, metal, e-waste, toners, light &amp; bulbs, batteries, corrugated cardboard and boxes</li> <li>• ECDC encourages its staff to use sustainable ways of commuting by providing facilities for bicycles and offering very good connections by public transport.</li> <li>• ECDC is considering different options for offsetting its CO<sub>2</sub> emissions in the future.</li> <li>• ECDC has pursued a paperless approach through the implementation of its eAdministration paper less long-term programme. Together with the implementation of a different approach to</li> </ul>

	<p>on identifying areas of improvement. ECDC has performed an Environmental Management System based on the European Management Audit Scheme (EMAS). The decisions on practical implementation of green management (the possible second phase of EMAS) will occur in Q4 2020 as part of the implementation of ECDC's corporate quality management system.</p>	<p>printing, ECDC has since 2015, reduced by more than 37% the number of pages printed</p>
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***Budget and financial management and performance***

1. Could all Agencies illustrate the amounts of planned and unplanned carryovers and of carryover cancellations by budgetary title and the main reasons behind them?

***Budget and financial management and performance***

2. Could all Agencies illustrate the amounts of planned and unplanned carryovers and of carryover cancellations by budgetary title and the main reasons behind them?

## Planned carry-overs

	Budgetary title	Amount	Justification
Title 1	Staff	€178 186	The planned carryover relates to services delivered in 2019 for which no invoice was received.
Title 2	Building, equipment and miscellaneous operating expenditure	€4 532 130	
Title 3	Operational expenditure REACH	€8 115 968	
Title 4	Operational expenditure BPR	€2 506 446	The planned carryover relates with c. €2.4M to the further development and servicing of the Agency's IT applications
Title 5	Operational expenditure PIC and POPs	€431 383	The planned carryover relates with c. €0.4M to the further development and servicing of the Agency's IT applications

## Unplanned carry-overs

	Budgetary title	Amount	Justification
Title 1	Staff	€18 448	The unplanned carryover consists of several smaller items mainly relating to mission, training and recruitment cost

Title 2	Building, equipment and miscellaneous operating expenditure	€740	The unplanned carryover relates mostly to representation cost
Title 3	Operational expenditure REACH	€2 662	The unplanned carryover relates mostly to mission cost
Title 4	Operational expenditure BPR	€7 742	The unplanned carryover relates mostly to mission cost
Title 5	Operational expenditure PIC and POPs	€2 139	The unplanned carryover consists of several small items

#### Cancelled carry-overs

	Budgetary title	Amount	Justification
Title 1	Staff		
Title 2	Building, equipment and miscellaneous operating expenditure		
Title 3	Operational expenditure REACH	€480	The carryover relates to a cancelled meeting
Title 4	Operational expenditure BPR		
Title 5	Operational expenditure PIC and POPs		

3. What are the key performance indicators (outcome/impact) used by the Agencies for measuring the added value provided by their activities, and for enhancing their budget management in this regard? Which KPIs were added / deleted in 2019? Do the Agencies use or plan to introduce other instruments to measure performance?

Performance indicators:

The Agency has revised its whole performance management model in 2018 with a view to focus more on outcome, impact and performance. The model is incorporated in the Programming Document as of 2019. The activities of the Agency are covered with a set of indicators as listed below while the strategic priorities are accompanied by both qualitative and quantitative means.



Added/deleted KPIs in 2019 were:

Evaluation:

- Effective working time for processing one conclusion in dossier evaluation (deleted for 2020)
- Number of substances for which additional information was requested through dossier or substance evaluation (deleted for 2020)
- Priority compliance checks opened (deleted for 2020)
- Final decisions on dossier evaluation (testing proposals and compliance checks (added for 2020)
- Number of substances for which a conclusion was reached in the follow-up to dossier evaluation (added for 2020)

Biocides:

- Number of ECHA opinions on Article 75(1)(g) other than ED of active substances approval (added for 2020)
- Number of ECHA opinions on Article 38 (added for 2020)
- IT tool releases (R4BP 3) (added for 2020)
- Number of BPC opinions on major changes of Union authorisations (added for 2020)
- Support actions on identification of endocrine disrupting properties for active substances (added for 2020)
- Other support actions on evaluation of Active substance approvals (added for 2020)
- Support actions on evaluation of Union authorisation applications(added for 2020)
- Early WG discussions (added for 2020)

Support to occupational health legislation:

- Number of OEL requests received under SLA (added for 2020)
- Number of RAC opinions on OELs completed (added for 2020)

The Agency constantly monitors its indicators and provides a monthly update on the state of play of selected indicators to the Management Board. Furthermore, an internal reflection on the achievements of the ongoing year and possible deviations takes place towards the end of each term (May and September) allowing to calibrate where needed.

### Indicators for strategic priorities

STRATEGIC PRIORITY	OBJECTIVE	PERFORMANCE INDICATOR(S)
<b>1. Identification and risk management of substances of concern</b>	<p>[1] Accelerate data generation and intensify identification of substances of concern</p> <p>[2] Accelerate regulatory action on substances of concern</p>	<p>1. Screening of substances with assignment of the particular substances or group to any of the three priority groups:</p> <ul style="list-style-type: none"> <li>• High priority for risk management</li> <li>• Need for data generation</li> <li>• Low priority for regulatory action.</li> </ul> <p>Indicators based on measuring progress in the number of the substances in each of the three priority groups.</p> <p>2. Number of conclusions on the need for information generation for high priority substances.</p> <p>3. Number of substances for which regulatory risk management has been initiated.</p>
<b>2. Safe and sustainable use of chemicals by industry</b>	<p>[3] Effective communication up and down the supply chain becomes mainstream</p>	<p>Qualitative measurement with use of sub-indicators where possible.</p> <p>This may include improved methodologies for linking submission tools to those for chemical safety, developed standardised tools and formats for EU supply chain</p>

		communication and for substances in articles, broadened scope of the CSA methodologies.
<b>3. Sustainable management of chemicals through the implementation of EU legislation</b>	[4] ECHA's information, knowledge and competences on safe use of chemicals support the implementation of EU legislation.	Qualitative assessment of the milestones may include areas/legislation where ECHA has initiated contact and achieved a successful interaction/collaboration with the responsible authorities, synergies when implementing new assigned tasks, intensified cooperation with international partners or relevant pieces of new/existing legislation being implemented by the Agency over time.

## Indicators for activities

### 1.1 Dossier preparation

indicator	type	2020 estimate	2021 estimate
Effective working time for processing inquiries	performance	0.5 person day/inquiry	0.5 person day/inquiry
Inquiries received and concluded	output	3 000	3 000

### 1.2 Registration and dossier submission

indicator	type	2020 estimate	2021 estimate
Number of PPORD notifications	input	340	340
Effective working time for processing a registration dossier (first submission)	performance	0.60-0.65 person days	0.60-0.65 person days
Registration dossiers received (incl. updates)	input	15 000	15 000
Registrations stopped for manual verification at technical completeness check	input	6 000	7 000
Number of registrations failing first technical completeness check	output	1 860	2 240
Share of registration dossiers over 100 tonnes in the database that has passed the enhanced technical completeness check	outcome	50%	55%

### 1.3 Screening and prioritisation

indicator	type	2020 estimate	2021 estimate
Share of dossier updates following the sector specific actions for metals and inorganics	outcome	75%	75%

The estimate may undergo revision in 2019 in line with refinement of the indicator.

### 1.4 Evaluation

indicator	type	2020 estimate	2021 estimate
Number of substances for which a conclusion was reached in the follow-up to dossier evaluation	outcome	200	200
Number of substances for which a conclusion was reached in substance evaluation	outcome	20	20
Compliance checks concluded: draft decisions or no action	output	300	300
Substance evaluation final decisions issued	output	20	20
Final decisions on dossier evaluation (testing proposals and compliance checks)	output	300	300

### 1.5 Authorisation

indicator	type	2020 estimate	2021 estimate
Number of new entries in the Candidate List	output	15	15
Recommendation for inclusion of substances in the authorisation list	output	-	1
Cumulative number of downstream user notifications of authorised uses of SVHCs	outcome	3 000	4 000
Number of RAC & SEAC opinions adopted on applications for authorisation (number of uses)	output	80-100	30-50
Effective working time of ECHA staff per opinion	performance	38-46 person days	38-46 person days
Applications for authorisation received (number of uses)	input	50	100

### 1.6 Restrictions

indicator	type	2020 estimate	2021 estimate
Number of RAC & SEAC opinions on restriction proposals	output	8	6
Restriction proposals 69(1) or reports developed under Article 69(2)	output	3	4
Effective working time of ECHA staff per opinion (ECHA dossier)*	performance	240-290 person days	240-290 person days

Effective working time of ECHA staff per opinion (Member State dossier)*	performance	approx. 200 person days	approx. 200 person days
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### 1.7 Classification and Labelling

indicator	type	2020 estimate	2021 estimate
Number of RAC opinions on proposals for harmonised classification and labelling	output	60	70
Decisions made on requests to use alternative (Art 24)	output	45	45
Effective working time for processing RAC opinions	performance	45-55 person days	45-55 person days
Proposals for harmonised classification and labelling	input	80	80

\* The effective working time per dossier depends greatly on the complexity of the dossier.

### 1.9 Data management and dissemination

indicator	type	2020 estimate	2021 estimate
Number of unique user page views for published information on chemicals	outcome	47.0 M	48.0 M
Description and number of data requests	outcome	Internal:60 External: 30	Internal:60 External: 30
Average time taken for publication (days)	performance	4	3

### 2. Biocides

indicator	type	2020 estimate	2021 estimate
Number of BPC opinions on active substances approval	output	30	29
Number of BPC opinions on the renewal of active substances approval	output	1	4
Number of BPC opinions on endocrine-disrupting properties (ED) of active substances approval	output	10	6
Number of ECHA opinions on Article 75(1)(g) other than ED of active substances approval	output	2	2
Number of ECHA opinions on Article 38	output	2	2
Number of BPC opinions on early review of approved active substances	output	1	2
Number of applications for Union authorisation for biocidal products (received, fee paid)	input	12	9
Number of applications for same biocidal product	input	3	4

Union authorisation (received, fee paid)			
Number of BPC opinions on Union authorisations for biocidal products	output	30	30
IT tool releases (R4BP 3)	output	2	1
Number of ECHA opinions on same biocidal product Union authorisations	output	30	30
Number of ECHA opinions on administrative and minor changes of Union authorisations	output	8	8
Number of BPC opinions on major changes of Union authorisations	output	1	1
Support actions on identification of endocrine disrupting properties for active substances	output	32	30
Other support actions on evaluation of Active substance approvals	output	19	33
Support actions on evaluation of Union authorisation applications	output	3	3
Early WG discussions	output	45	45
Effective working time for processing BPC opinions	performance	27 – 33 person days	27 – 33 person days

### 3.1 PIC – prior informed consent

indicator	type	2020 estimate	2021 estimate
Scientific and technical support provided to the Commission, EU and non-EU DNAs	output	3 500	3 500
Export notifications processed (validated, rejected, resubmissions)	output	12 000	12 250
Share of notifications validated/accepted by ECHA	outcome	90%	90%
Effective working time for processing export notifications sent by email	performance	8.5 min	8.5 min

### 4.1 EU Observatory for Nanomaterials

indicator	type	2020 estimate	2021 estimate
Number of views for EUON information	input	45 000	49 000

### 4.3 Support to occupational health legislation

indicator	type	2020 estimate	2021 estimate
Number of OEL requests received under SLA	output	2	3-5
Number of RAC opinions on OELs completed	output	2	2

### 5.1 Forum

indicator	type	2020 estimate	2021 estimate
Number of enforcement trainers trained by the Forum	output	55/80 <sup>4</sup>	55/80

### 5.3 Management

indicator	type	2020 estimate	2021 estimate
Areas where audits and evaluations results (including prevention of conflicts of interest and fraud) have been taken into account in future strategic decisions	intermediate impact	4	4
Reputational survey - ECHA's activities overall	outcome	Increasing positive trend	Increasing positive trend
Website unique visitors / traffic to the web content	outcome	3.8 M	3.9 M

### 5.5 Financial resources

indicator	type	2020 estimate	2021 estimate
Level of budget implementation: commitment rate and cancelled carry-over rate	performance	Min. 95% and max. 5% respectively	Min. 95% and max. 5% respectively
Processing of payments within legal deadlines	performance	No less than 99%	No less than 99%

### 5.6 Human resources

indicator	type	2020 estimate	2021 estimate
Percentage of Establishment Plan posts filled	performance	98%	98%

4. Have the Agencies identified and evaluated the possibility to coordinate and share resources on overlapping tasks with other Agencies with similar activities?

Reply: The Agency continues to share its internal audit capability with the European Global Navigation Satellite Systems Agency.

ECHA cooperates closely with other EU decentralised agencies working in the field of environment and human health protection (i.e. EFSA, EMA, ECDC, EEA) and has concluded memoranda of understanding and working arrangements with some agencies (EMA, EFSA, EU-OSHA, JRC, EASA). In 2019, coordinating the peer review exercise among environmental agencies, participating in working sessions to exchange good practices for performance and

<sup>4</sup> 55 is the estimate for REACH and CLP trainings and 80 the estimate for REACH, CLP and BPR trainings subject to budget availability.

lean management, and providing short-term support to ECDC in the area of internal control are some examples where interagency cooperation was intensified.

ECHA also continued its strategic cooperation with EFSA on providing the data format IUCLID as a service, delivered from the ECHA Cloud Services, for EFSA's work under the Plant Protection Products Regulation. This is a clear example where synergies with EFSA and ECHA's own legislations were found and as a result economies of scale were achieved by re-using existing IT platforms. ECHA and EFSA, by using links between the agencies in providing scientific opinions to policy makers, launched a successful joint selection procedure for a scientific officer profile that is relevant for both organisations. Time and resources were saved, and a joint reserve list was created that can be used by both agencies.

More broadly, ECHA's cooperation with peer Agencies takes place within the EU Agencies' Network (EUAN), of which ECHA holds the coordinating role in 2020-2021. The EUAN provides a platform for coordination and knowledge sharing among agencies, resulting in closer cooperation in administrative matters and sharing of services, e.g. in the field of IT, procurement or performance management. ECHA also provided short-term support to the Consumers, Health, Agriculture and Food Executive Agency for data protection services.

The Agency engages in joint procurements such as for the provision of quality certification services together with EFSA and gathered experience in joint recruitments of staff with similar job profiles (also with EFSA).

5. To what extent has the working program of each agency been implemented and what are the most important achievements?

Reply: As explained in the General Report 2019 available at [https://echa.europa.eu/documents/10162/29387629/annual\\_report\\_2019\\_en.pdf](https://echa.europa.eu/documents/10162/29387629/annual_report_2019_en.pdf), the Agency has implemented the Work Programme 2019 to a very large extent. The Agency achieved 34 out of the 53 workload driver and performance indicator estimates. The 19 workload drivers and performance indicators estimates not met in 2019 relate mainly to input and output indicators. For input indicators it is difficult to predict industry intentions and output related indicators are often dependent on respective external input.

For 2019, the achievements specifically worthwhile being mentioned are

- a. Good progress towards acceleration of data generation, identification of and regulatory action on chemicals of concern for human health or the environment.
- b. Eight substances were identified and included in the Candidate List of substances for eventual inclusion in the Authorisation List. ECHA also recommended 18 substances for the Commission to include in the Authorisation List.
- c. Work with key stakeholders to identify necessary improvements to the current system for providing fit-for-purpose safety information on hazardous substances and mixtures.



- d. Advancing the understanding of and the access to information on chemicals.
- e. Extensive communication package to support companies and minimise disruptions to the EU market with regard to the UK withdrawal from the EU.
- f. Making data more accessible to all users in form of substance info cards, expanding multilingual information and quick links to key datasets.
- g. The Agency tackled non-compliant information on chemicals head on and recorded significant progress in generating needed hazard information. The dossier evaluation process is sped up and further measures are put in place to raise the percentage of the dossiers checked.
- h. The Agency has taken steps to clarify how companies apply for authorisation to continue marketing and using their substances once they are listed in the Authorisation List.
- i. The Agency worked on four restrictions in 2019 that allow to target how authorities are addressing risk to human health and the environment. There are two standout cases. Firstly, there may be smarter alternatives to microplastics that are intentionally added to some products and ultimately released into the environment in large volumes where they stay for a very long time. Secondly, the proposal to restrict hazardous chemicals in tattoo inks and permanent make-up aims to reduce the risk of cancer, as well as negative effects on fertility and skin irritation.
- j. In view of the delays at EU level on the implementation of the review programme for biocides active substances, the Agency has developed an action plan aiming to increase the number of dossiers submitted for peer review by the Member States. As part of this action plan, ECHA has increased the collaboration with Member States and provides them with concrete support to finalise their dossiers for decision making.

6. How many recommendations for improvement have been given by the internal audit service and how many of the recommendations from the previous year have been implemented?

Reply: IAS issued 2 recommendations for improvement to ECHA in 2019 and all recommendations (4) from the previous year have been implemented.

### *Staff policy*

7. How did the Establishment Plan (officials and temporary agents) of each Agency evolve from 2018 to 2019, taking the data of 31.12.2019 compared with 31.12.2018? How many seconded national experts, contract staff, interim staff and consultants were working for each Agency in 2019, expressed in FTEs?

Number of staff

	Officials (posts filled)	Temporary agents (posts filled)
Establishment plan 31.12.2017-31.12.2018	0	444 (452 on 31.12.2017)
Establishment plan 31.12.2018-31.12.2019	0	446

Other staff

	SNEs (FTE)	Contract agents (FTE)	Interim staff (FTE)	Consultants (FTE)
31.12.2019	4	122	27	3

8. Could each Agency present a gender and nationality breakdown of its senior and middle management positions and its management board, and of its staff overall, including as percentage of the total number for each category requested?

	Senior management Male	Senior management Female	Management board - Male	Management board - Female	Staff overall - Male	Staff overall - Female
Austria	0	0	1	0	2	3
Belgium	3	0	0	2	11	6
Bulgaria	0	0	0	1	2	12
Croatia	0	0	1	0	0	0
Cyprus	0	0	0	1	0	0
Czech Republic	0	0	0	1	1	3
Denmark	1	0	1	0	2	1
Estonia	0	0	0	1	1	8
Finland	4	4	0	1	68	113
France	2	1	0	2	21	15
Germany	1	0	2	3	25	11
Greece	0	0	0	1	19	12
Hungary	0	0	0	1	2	8
Ireland	2	0	0	1	11	5

Italy	1	1	0	1	26	24
Latvia	0	0	0	1	1	4
Lithuania	0	0	1	1	1	5
Luxembourg	0	0	1	0	0	0
Malta	0	0	0	1	0	3
Netherlands	4	0	2	0	14	3
Poland	0	0	0	1	7	11
Portugal	1	0	0	1	5	7
Romania	0	1	0	1	4	13
Slovakia	0	0	0	1	1	5
Slovenia	1	0	1	0	4	3
Spain	0	1	1	0	17	16
Sweden	0	0	0	1	5	4
United Kingdom	2	1	0	0	9	4
Norway	0	0	1	0	0	1
Icelandic	0	0	0	1	1	0
Liechtenstein	0	0	0	0	1	0

Representation expressed as percentage

	% of males in the overall management staff	% of females in the overall management staff	% of males in the overall management board staff	% of females in the overall management board staff	% of males in the overall staff	% of females in the overall staff
Answer	71	29	69	31	47	53

9. How many former MEPs, Commissioners or high-level officials (from AD 14) still receive money from the budget of your institution as advisors, contract agents or others? What are their tasks and their respective salaries?

Reply: Former Head of Administration at FRONTEX, serves as Alternate Member at ECHA's Board of Appeal. In this function, he is only called to work on an appeal case whenever there is a need (statutory BoA Member not available or conflicted, too many cases pending). Remuneration per case according to ECHA's internal rules. This assignment has been approved in accordance with the rules on outside activities.

10. What measures / activities were organised to improve on the well-being for staff in each agency? What were the costs in 2019 and how many staff members participated in these events?

Events/measures taken by the Agency

	Measures/Activities organised to improve on the well-being for staff	Cost of the activities	Number of staff that participated
	World health day event on 5 April 2019: Staff members could talk to the medical advisor, get their blood pressure measured, have their BMI and body fat measured, test whether their current diet is healthy and get ideas of how to improve the diet. There was also a lunch hour presentation about good sleep by a psychologist.	€560	150
	Get Active competition where Directorates compete which one is	€45	169

	the most physically active. The winner gets a trophy. Competition time: 8 April 2019- 2 June 2019		
	Break exercise application on the computer, for which ECHA has a licence.	€4341.71	189 staff members have installed the application
	1.5 day collaborative communication training for managers and team leaders in November 2019	€7850	50
	Ergonomic checks are carried out on need basis	€1330	28
	Nutrition wellbeing presentation on 27 November 2019	€560	45
	National bring your child to work day on 22 November 2019	no cost	76 staff members brought their children to the working place

11. What measures do Agencies use to prevent and fight against harassment? What kind of efforts have the Agencies made to facilitate easy and confidential reporting of internal and external harassment towards their staff? Were there any harassment cases reported, investigated or taken before the court in 2019?

Measures taken by the Agency

	What measures does your Agency use to prevent and fight against harassment?	What measures does your Agency have in place to facilitate easy and confidential reporting of internal and external harassment towards your staff?	In 2019 how many harassment cases were reported/investigated/taken before court?
Reply	<p>ECHA has a harassment prevention policy and respective guidelines in place. The network of confidential counsellors support staff. The network is coordinated by a harassment prevention coordinator and it organises several lunch hour presentations and awareness raising events every year. In 2019 a three hour awareness raising event with an external psychologist was organised for all staff and separately for the managers. ECHA encourages mediation as a way to solve conflicts as early as possible. In 2019 ECHA started a pilot project where mediation takes place in teams that have experienced conflicts. The whole team is included in the process even if the conflict is between two people. Usually others in the team also influence the situation by taking sides or by allowing the situation to continue. In the group mediation the aim is to learn open and honest communication while solving the conflict. Often so called neutral parties in the group have a crucial role as they have perspective to the situation and often good ideas for solving the situation. This kind of process prevents conflicts</p>	<p>Established network of confidential counsellors support staff members who find themselves in a conflictual situation or perceive harassment. ECHA collects anonymous information about those contacts. Staff members have the possibility to open an informal procedure where the confidential counsellor can also talk to the other party or mediate between the parties. At the end of the informal procedure it is possible to include the name of the second party to a register that is managed by the harassment prevention coordinator. If a staff member's name is included three times by three different persons within five years, HR will take action. There is also a possibility for staff members to request ECHA to start a formal procedure under article 24 of the Staff Regulations. have the possibility to open an informal procedure where the confidential counsellor can also talk to the other party or mediate between the parties. At the end of the informal procedure it is possible to include the name of the second party to a register that is managed by the harassment prevention coordinator. If a staff member's name is included three times by three different persons within five years, HR will take action. There is also a possibility for staff members to request ECHA to start a formal procedure under article 24 of the Staff Regulations.</p>	<p>There were no formal harassment cases in 2019. ECHA had one informal procedure in 2019.</p>



	<p>from happening again and staff members learn to take responsibility in solving conflicts. Through this kind of support ECHA may be able to prevent some of the long sick leaves or even invalidity cases. The pilot process is still ongoing and if it is deemed successful, continuation will be considered.</p>		
Commen			

12. What was the average absence from work due to sick leave in 2019? How many working hours were lost as a consequence of burnouts or other work-related reasons?

Answer by the Agency

	Average absence from work due to sick leave (in days) in 2019.	Number of working hours lost as a consequence of burnouts or other work related reasons	Comments
Reply	7.4 days (weekends are calculated as sick leave days)	5128 working hours (reason is often mixture of private and work reasons). The Agency has a return to work policy in place which ensures that reintegration takes place at a sustainable level, including any changes to the work place considered necessary to prevent future sick leaves.	641 days where staff members have a diagnosis related to mental health and the reason may at least partly be work related.

13. Could the Network prepare a comprehensive list of staff-cuts implemented per individual Agency in accordance with the Commission's plan until 2019? How many of these staff-cuts were replaced by Contractual Agents or External experts?

Staff cuts 2013-2019

	Staff cuts per Agency*	Contract agents employed	External experts employed	Comments
2013	5	0	0	
2014	10	0	0	
2015	11	0	0	
2016	10	0	0	
2017	10	0	0	
2018	6	0	0	
2019	0	0	0	

\*) REACH posts

14. Is there any increase of the workload or new tasks designated to each agency and how does it manage to accommodate these to the available staff in 2019? Did your Agency face an increase in workload or new tasks assigned in 2019? How did you accommodate these with the staff available in 2019?

Reply: While all of the new tasks allotted to ECHA can profit from certain synergies with our existing processes, and in any event profit from the skills and expertise in the house, they nonetheless increased our workload. In order to accommodate the start-up phase, colleagues from within the house were relieved from their regular tasks to a certain extent. Moreover, as applicable, additional manpower was recruited through interim assignments. The aim of the Agency is, however, to ensure a sustainable pool of resources – both financially and in FTE's – before accepting new tasks.

### *Conflicts of interest and transparency*

15. Could each Agency confirm whether the declarations of conflicts of interest are in place (and public) for their: · management board members · senior management?

Declaration of Col

	Management board members	Senior management	Comments
Reply	Yes	Yes	ECHA also publishes the declaration of Col for Committee Chairs on its website

16. Could each Agency confirm if they publish on their website the CVs of their: · management board members · management staff · external experts · in-house experts?

	Management board members	Management staff	External experts	In-house experts	Comments
Answer	Yes	Yes (Senior Management)	Yes	No	ECHA publishes the CVs of all members of the Management Board and its Committees (including also its chairs, who are ECHA staff members). Also

					the CVs of the Executive Director and Board of Appeal members (three of which are ECHA staff members) are published on the website.
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17. What kind of mechanisms do the Agencies use to identify and avoid conflicts of interest, and were there any cases of conflicts of interest reported, investigated and concluded in 2019?

Reply: ECHA is an organisation that issues decisions, opinions and recommendations strictly based on science. Therefore, it is important for the Agency to guarantee the independence of its collaborators from private interests.

ECHA's Conflict of Interest Prevention policies cover the whole lifespan of the employment of staff at ECHA, from the selection and recruitment phases, throughout the whole period of collaboration and continuing even during the period after the employment has ended.

To safeguard its independence, the external experts who participate in the scientific committees, Management Board and Enforcement Forum are screened against five targeted eligibility (exclusion) criteria before appointment:

- No current employment in an interest group or company with an interest in the field of activity of ECHA;
- No active membership or membership of a governing body or permanent scientific advisory body of an interest group or company with an interest in the field of activity of ECHA;
- No current contractual engagements with companies or interest groups in the field of activity of ECHA;
- No current significant investments in chemical companies manufacturing, importing or supplying substances or mixtures;
- No employment, positions in a governing body, permanent scientific advisory body or active membership in the previous two years in companies or interest groups with an interest in the field of activity of ECHA, if such position would lead to a potential conflict of interest of a general nature that would potentially lead to multiple exclusions of the individual from the meetings of the Committee or from rapporteurship.

These same eligibility criteria are also used during the selection process for other sensitive positions such as that of member of the Board of Appeal, Executive Director, senior or middle manager or chairperson to a committee.

Once appointed, ECHA obliges anyone taking up a position in ECHA to complete a detailed declaration of interests before they can start to work for the Agency. The scope of such declarations is very wide and covers all private interests held, including those of their close family members (spouse, partner and/or dependent children, as well as other relatives under the care of the members of the household). This includes, but is not limited to, previous employment, consultancy, legal representation or advice, membership of a governing body, scientific advisory body or equivalent, other membership or affiliation, research funding, financial investments, intellectual property, etc.

The declarations of ECHA middle and senior management as well as those of the members of all ECHA bodies (Management Board, Committees, Forum, Board of Appeal) and expert groups are published on ECHA's website for transparency reasons and public scrutiny.

The declarations are updated annually (or earlier if changes occur during the year) and reviewed by the supervisor of the staff member or by the Chair of the relevant scientific committee to detect any potential issues. After that, they form the basis for specific conflict of interest checks before each Committee meeting or every time a task is assigned. As a general principle, Committee members cannot vote and staff members are not assigned tasks related to organisations or substances in which they have recent or current interests.

Additionally, there are specific restrictions to outside activities, gifts and hospitality and restrictions even after the employment at ECHA has ended: for a period of two years all subsequent employment needs the authorisation of the Executive Director and conditions can be imposed. Confidentiality duties continue to apply as well.

No cases of actual conflicts of interest were reported during 2019.

18. For the Agencies that depend on fee collection: how many percent of the Agency's income consist of fees? How does the Agency view in this regard the danger of conflicts of interest for relying on fees from their clients? What kind of mechanism(s) to prevent conflict of interests do the agencies that collect fees from their clients have at their disposal? Would the Agency consider it an appropriate solution if the Commission would collect the fees, and the Agency would hence be fully funded from the EU budget?

#### Fee financed Agencies

	How many percent of your Agency's income consists of fees	Does the Agency see any potential danger of Col from relying on fees from its clients?	What kind of mechanisms does the Agency use to prevent Col stemming from the collection of fees?	Would the Agency consider it an appropriate solution for the Commission to collect the fees and the Agency to be fully funded from the EU budget?
Reply	ECHA's fee income in 2019 represents 39,5% of the total budget income established (34,7M REACH + 9,6M BPR vs total Rev Budg 112,3M). Comment: the percentage is the same if the final/3rd amended budget 2019	The REACH Regulation and its Fee Regulation foresee that industry pays a fee to ECHA for the registrations of chemical substances and applications for authorisation, among others. The fees are	The fee is paid upfront, irrespective of the outcome of the scientific assessment. Thus the payment of the fee does not have an effect on the independence of the Agency's work and	While the fees have no impact on ECHA's impartiality, the Agency would welcome a solution where the fees would be paid directly to the Commission or, alternatively, ECHA could collect the fees, but transfer them directly to the Commission, which in turn would provide a subsidy covering the Agency expenditure in full. This

	<p>figures are used. (34,4M REACH + 9,8M BPR vs total Rev Budg 112,0M = 39,5%)</p>	<p>set by the European Commission, not by ECHA. The purpose of the fee is to cover the costs of the handling of the registration or application and in particular on the scientific work to provide the opinions. It is linked with the “polluter pays” principle enshrined in EU law. The fee is paid upfront, irrespective of the outcome of the scientific assessment. Thus the payment of the fee does not have an effect on the independence of the Agency’s work and in particular on the independence of the members of ECHA’s scientific committees and ECHA’s staff who are working on the opinions. Furthermore, the committee members and ECHA staff involved in the opinion making are assessed to ensure that they do not have a conflict of interest.</p>	<p>in particular on the independence of the members of ECHA’s scientific committees and ECHA’s staff who are working on the opinions. Furthermore, the committee members and ECHA staff involved in the opinion making are assessed to ensure that they do not have a conflict of interest.</p>	<p>would also significantly facilitate the Agency’s financial management and help in mitigating the risk of a shortfall or surplus stemming from the annually fluctuating fee income. On the Commission side, the annual variations in the amounts concerned would not have a similar impact considering the sheer size of the EU budget.</p>
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19. Have all the Agencies set up and implemented internal rules or common guidelines on whistleblowing? Could the Agencies provide the number of open, closed and ongoing whistleblowing cases in 2018? Which actions were taken for each of these case and what were the results?

	Has your Agency implemented internal rules or common guidelines on whistleblowing?	Can the Agency provide the number of open/closed/on-going whistleblowing cases in 2019?	What actions were taken for each of these cases and what were the results?	Comments
Reply	Yes	0	n/a	
Comment				

20. Are all meetings with lobbyists, in case such meetings were held: · registered · made public?

Meeting with lobbyists

	Were the meetings registered?	Were the meetings made public?	Comments
Agency meeting with lobbyists	Yes	Yes	All meetings of the senior management of the Agency with interest groups are registered and published on the ECHA website for full transparency.



## *Other comments*

21. Which measures did the Agencies implement in 2019 in order to increase their public visibility and online presence? Could you please summarize shortly the actions taken in order to promote the work of the Agencies to EU citizens, and to make services available to the wider public, civil society and academia where appropriate?

Reply: ECHA uses its websites, social media channels and other communications vehicles to reach out to citizens and companies across Europe.

The ECHA main website was updated daily with new information. Two infographics on “restrictions” and “evaluations” were published, providing users with a simplified but powerful visual explanations of the processes.

The Observatory for Nanomaterials website was enriched with the new information and a specific infographic about nanomaterials at the workplace, showing in an interactive way how workers can protect themselves when working in a garage.

New information was also published in the Chemicals in Our Life website, fully targeting to EU citizens. Moreover, a new section “Guest corner” was launched to encourage dialogue and exchange of information on chemicals. Third party contributors offered a variety of views to provide citizens with opinions from different angles (EU policy makers, industry actors, NGOs and scientists).

The audio-visual communication was also increased to reach out larger audiences, several videos on different topics were produced and published to increase awareness about chemicals safety among EU and worldwide citizens.

ECHA communicated and throughout 2019 proactively about e.g. new restrictions on chemicals, preparations of ECHA and impacts of Brexit to chemical companies, action plan to improve dossiers and new tools, such as SCIP database. Special attention and effort was made with general-interest media to reach the public. Topics related to chemicals and their effects were published and distributed also via 3 issues of the ECHA online Newsletter.

ECHA improved the social media skills of its staff in 2019 with a dedicated programme. A total of 94 users joined the “ECHA’s Social Media Ambassadors” programme and actively shared content about ECHA on their own social media channels. The ambassadors potentially reached 1,3 million people via their networks and triggered over 11 000 visits to ECHA’s website.

The number of people following ECHA on Twitter, LinkedIn and Facebook increased significantly. Almost 17 000 new social media users joined the channels (30.4% annual growth on Twitter, 15% annual growth on Facebook and 79% annual growth on LinkedIn), widening the Agency’s outreach and audiences. ECHA’s posts potentially reached 23,9 million people. Visits to our websites via social media channels increased 20% in 2019 (a total of 98 316 visits).

When communicating high priority topics and aiming at reaching out to as many people as possible ECHA launched sponsored campaigns on social media, such as the consultation on microplastics and awareness raising campaign on nanomaterials.

22. Which measures did the Agencies implement in 2019 in order to increase their cyber security and protection of the digital records in its possession? Does the Agency have such a policy in place / in a making?

Reply: ECHA already had in place security policies suitable for teleworking, in particular for remote access of our IT Contractors and ECHA supported all our Contractors in applying the specific measures for teleworking of their staff. Regarding ECHA staff, we reinforced a number of security configurations and the security monitoring and response services. ECHA also reinforced our pre-existing security model for remote access of Member States Competent Authorities, which permit teleworking under controlled conditions.

23. Could the Agencies provide a list of their internal measures in place to: · put in place a comprehensive strategy for sustainable development, including steps to reduce or offset CO<sup>2</sup> emissions? · ensure a cost-effective and environment-friendly working place?

Internal measures in place

	Ensuring cost-effective and environment-friendly working place	Comprehensive strategy for sustainable development, including steps to reduce or offset CO2 emissions?
Answer	In 2020 ECHA moved to new premises which has a reduced surface area and has automated building control systems. This allows ECHA to improve its environmental performance through a reduction in the overall consumption of utilities (electricity, water, heating/cooling) and consequently reduce rental and utility costs. As part of ECHA's environmental aspects other measures have been taken: - - - Integrating environmental standards into ECHA procurement (including the canteen services) and Eco-labels are taken into account in ECHA's purchases; Removing parking facilities for cars to encourage	ECHA has put in place a quality and environmental management system which is aligned with the Integrated Management System strategy that commits itself to incorporate sustainability as a part of the internal follow up and reporting. In the application of the ISO 9001 & 14001 standards, ECHA introduced a system of environmental management which includes an environmental policy, environmental objectives and a multi-annual environmental programme. The environmental objectives selected in 2017 (electricity, paper and colour printing consumption to decrease by 10% from the level of 2015 and 2016 respectively) were achieved by 2019. Furthermore, in addition to the ISO 14001 environmental recertification which takes place in 2020 ECHA will also undertake to achieve EMAS certification as of 2021. This will include additional planning and reporting of ECHA's

	<p>alternative modes of transport to the office; Adapting the programming (heating/cooling/lighting etc.) in building Management systems and improving automation of technology; Ensuring high availability of waste sorting bins in common areas and removal of personal waste bins; Reducing waste volume and the amount of landfill waste.</p>	<p>environmental performance which, once completed, will also be a component of the SPD. To achieve this, new objectives were introduced with targets to reduce CO2 emission related to travel and infrastructure for the period 2020-2022. In June 2020, ECHA's Executive Director pledged to the Management Board that ECHA will be carbon-neutral by 2030.</p>
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***Budget and financial management and performance***

1. Could all Agencies illustrate the amounts of planned and unplanned carryovers and of carryover cancellations by budgetary title and the main reasons behind them?

**Planned carry-overs**

	Budgetary title	Amount	Justification
Title 1	Staff	185,769.49	Primarily staff related expenditure (training, canteen, interim staff, mission travel) not yet invoiced and paid at year-end.
Title 2	Administrative expenditure	464,706.97	Primarily facilities expenditure (furniture, fitting-out, technical equipment, cleaning, utilities, not yet invoiced and paid at year-end.
Title 3	Operating expenditure	3,942,301.50	The relatively large carry-over is routine and in line with previous years: the final cost statements and payments for the European Topic Centres are received, checked and paid in the following year.

**Unplanned carry-overs**

	Budgetary title	Amount	Justification
Title 1	Staff	0	n/a
Title 2	Administrative expenditure	0	n/a
Title 3	Operating expenditure	0	n/a

## Cancelled carry-overs

	Budgetary title	Amount	Justification
Title 1	Staff	76,625.60	The cancellations were primarily from carry-overs of mission, training and recruitment expenses. The carry overs were based on conservative estimates to cover a number of small transactions, to ensure sufficient commitments to cover the actual expenditure.
Title 2	Administrative expenditure	31,932.09	The cancellations arise from small decommitments for virtually all types of facilities and administrative expenditure; again conservative carry-over estimates were made to ensure the final invoices could be settled.
Title 3	Operating expenditure	121,245.23	EUR 60k relates to the settlement of the final cost statements for the European Topic Centres. The remainder relate to small decommitments of carry-overs for IT and communication expenditure.

2. What are the key performance indicators (outcome/impact) used by the Agencies for measuring the added value provided by their activities, and for enhancing their budget management in this regard? Which KPIs were added / deleted in 2019? Do the Agencies use or plan to introduce other instruments to measure performance?

What are the key performance indicators (outcome/impact) used by the EEA for measuring the added value provided by its activities, and for enhancing its budget management in this regard?

Reply: The Agency's KPIs focus primarily on output indicators. However, the 5-yearly evaluation conducted by the Commission and published in 2018 specifically addresses EU-added value as a separate evaluation parameter.

To enhance budget management, the KPIs used by the EEA monitor budget development, budget allocation and budget execution in terms of commitments and payments.

Which KPIs were added/deleted in 2019?

Reply: No KPIs were added or deleted in 2019.

Does your Agency use or plan to introduce other instruments to measure performance?

Reply: No. The Agency's management board and partner DG (ENV) have agreed that the new KPIs and existing management information systems are sufficient and satisfactory for measuring performance.

4. Has your Agency identified and evaluated the possibility to coordinate and share resources on overlapping tasks with other Agencies with similar activities?

Reply: The EEA constantly engages with the European Commission to identify and agree on division of tasks with relevant Commission services (e.g. DG Environment, DG CLIMA, Joint Research Centre and Eurostat). It thereby avoids overlapping tasks. Furthermore, in its engagement with the EU Agencies' Network has not identified any overlapping tasks with other agencies. The coordination of sharing of resources on overlapping tasks is therefore not applicable. The EEA coordinates and co-create certain tasks/reports with other agencies under the umbrella of the European Parliaments ENVI committee.

5. To what extent has the working program of each agency been implemented and what are the most important achievements?

Reply: The EEA achieved its 2019 objectives as included in the Agency's Annual Work Programme to provide European decision-makers and citizens with access to timely and relevant information and knowledge to provide a sound basis for environmental policies. The EEA and Eionet occupy a central position in the implementation of EU environmental and climate policy. Most important achievements include:

As a networking organisation in the field of environmental information and knowledge, the EEA continued effective cooperation with the Eionet, which includes 33 member and six cooperating countries; as well as extensive cooperation with EU institutions, including the European Commission (EC) and the European Parliament.

Overall, the EEA delivered well on the targets set out in its work programme for 2019, which included a considerable number of high quality deliverables across the EEA's four strategic areas defined in the MAWP 2014–2020, as well as the five-yearly State and Outlook of the Environment Report (SOER) report. The overall delivery rate in 2019 was very good. Delivery rates for key EEA outputs were as follows: 93 % of key reports/assessments, 96 % of Core Set Indicator (CSI) updating (as planned in the AWP), and 92 % annual performance for Eionet core data flows.

In June, the EEA marked its 25th anniversary in conjunction with a strategic seminar for the Eionet network, gathering a wide network of partners, as well as an innovative 25th

Anniversary publication (see: <https://www.eea.europa.eu/publications/european-environment-agency-1994-2019>).

Following the European Parliament elections in summer 2019, the new European Commission entered office on 1 December 2019. This was a time of change for environment and climate policy in the EU — supported by calls for action from the public, the European Green Deal was set at the heart of the European political agenda. The EEA provided targeted knowledge to the new EU policy actors in the European Parliament and Commission by preparing an EEA snapshot briefing ‘Knowledge for a sustainable Europe’ (see: <https://www.eea.europa.eu/publications/eea-snapshot>). It presented recent findings across the environment and climate domains.

In December 2019, the EEA released the sixth edition of its flagship The European environment — State and outlook 2020 report (SOER 2020). The Integrated assessment report covers trends, progress and outlooks across established environment and climate policy objectives along with a system-based assessment of the challenges and prospects for achievement of EU sustainability objectives. This comprehensive report reinforced growing calls for bold, decisive and immediate action. SOER 2020 shows that European legislation and policy targets have succeeded on many fronts. Although significant, the pace of these gains is insufficient in the face of the challenges that lie ahead. The report was launched at the Council of the European Union and was followed by a press conference with Vice President Timmermans and Commissioner Sinkevičius on 5 December. In its first week, SOER boasted over 6 000 media and social media entries, boosted by coverage in leading global and national news outlets, especially in Belgium, Germany, Spain, the UK and the US, which is an unprecedented uptake and outreach. Alongside this, a stakeholder interaction process was designed to reflect on the outcomes of SOER 2020. SOER 2020 was presented just before the proposal for the European Green Deal and was welcomed as a baseline for key elements of the ambition set out in the proposal.

EEA produced a total of 54 publications in 2019, including assessments, briefings, factsheets and other reports. The 2018 Air quality in Europe report was 2019’s most downloaded content, with 10 421 downloads, while the Air Quality Index map was the most popular content page, with 281 465 views. The European Air Quality Index — which displays up-to-date air quality information reported by countries — was improved in 2019 to include a new 24-hour forecast, based on modelled data produced by the Copernicus atmosphere monitoring service. A high-level launch event took place in February for the EEA report Social vulnerability to air pollution, noise and extreme temperatures in Europe in Brussels with Commissioner Vella.

6. How many recommendations for improvement have been given by the internal audit service and how many of the recommendations from the previous year have been implemented?

Reply: The IAS gave 3 recommendations to the EEA in 2019. The recommendations from the previous years have all been implemented.

## Staff policy

7. How did the Establishment Plan (officials and temporary agents) of each Agency evolve from 2018 to 2019, taking the data of 31.12.2019 compared with 31.12.2018? How many seconded national experts, contract staff, interim staff and consultants were working for each Agency in 2019, expressed in FTEs?

### Number of staff

	Officials (posts filled)	Temporary agents (posts filled)
Establishment plan 31.12.2017-31.12.2018	2017: - EP: 4 - Filled: 4 2018: - EP: 4 - Filled: 3	2017: - EP: 123 - Filled: 122 2018: - EP: 120 - Filled: 119
Establishment plan 31.12.2018-31.12.2019	2019: - EP: 4 - Filled: 3	2019: - EP: 120 - Filled: 117

### Other staff

	SNEs (FTE)	Contract agents (FTE)	Interim staff (FTE)	Consultants (FTE)
31.12.2019	19	61 (core only)	2.8	13.2



8. Could each Agency present a gender and nationality breakdown of its senior and middle management positions and its management board, and of its staff overall, including as percentage of the total number for each category requested?

	Senior management Male	Senior management Female	Management board - Male	Management board - Female	Staff overall - Male	Staff overall - Female
Austria				1	1	1
Belgium	2			1	7	5
Bulgaria			1			1
Croatia				1		
Cyprus			1			
Czech Republic			1			
Denmark	1	1	1		15	26
Estonia				1	1	
Finland				1	2	1
France	1		1		8	7
Germany		1			15	6
Greece			1		1	3
Hungary				1		4
Ireland	1			1	5	2

Italy			1		5	6
Latvia				1		1
Lithuania			1			4
Luxembourg			1		1	
Malta				1		2
Netherlands				1	6	
Poland			1		1	2
Portugal			1		1	7
Romania			1		1	3
Slovakia				1	1	1
Slovenia				1	1	3
Spain			1		8	9
Sweden				1	3	4
United Kingdom	2		1		4	4
Norway			1			1
Iceland *				1	1	
Liechtenstein *			1			
Switzerland *			1			1

Turkey *			1		5	3
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**Note: Figures cover staff on core funding only**

\* EEA member countries: The EEA currently has 33 member countries; The European Union Member States together with Iceland, Liechtenstein, Norway, Switzerland and Turkey.

Representation expressed as percentage

	% of males in the overall management staff	% of females in the overall management staff	% of males in the overall management board staff	% of females in the overall management board staff	% of males in the overall staff	% of females in the overall staff
Answer	77	23	56.8	43.2	46.5	53.5

9. How many former MEPs, Commissioners or high-level officials (from AD 14) still receive money from the budget of your institution as advisors, contract agents or others? What are their tasks and their respective salaries?

Reply: None.

10. What measures / activities were organised to improve on the well-being for staff in each agency? What were the costs in 2019 and how many staff members participated in these events?

Events/measures taken by the Agency

	Measures/Activities organised to improve on the well-being for staff	Cost of the activities	Number of staff that participated
	Wellbeing is a cross cutting focus area, lead from HR, with the aim to raise awareness on staff wellbeing, respectful work environment and health and safety at work. A series of initiatives were organised in this broader context: Physical and mental health through in-house fitness, yoga and mindfulness sessions.	Yoga: 5,478.00 EUR Fitness: 9,591.40 EUR	Yoga: 20 on average Fitness: 10 on average per class
	Building sessions for leadership in on focused leadership strengthening capacities of managing and developing self and others.	613.64 EUR	18

	Coaching sessions for some staff member on work-life balance issues.	218.00 EUR	3
	Follow-up consultations with psychologist based on stress test results as part of annual medical check for all staff.	0	7
	Individual staff consultations on dealing with stress by an in-house stress counsellor and HRM supporting the practical.	0	8
	Staff Committee focus area e.g. staff survey on physical work environment	0	220
	Social well-being through offers and activities by the social committee	12,991.89 EUR	Approximately 266
	Staff Engagement Survey	27,000.00 EUR	

11. What measures do Agencies use to prevent and fight against harassment? What kind of efforts have the Agencies made to facilitate easy and confidential reporting of internal and external harassment towards their staff? Were there any harassment cases reported, investigated or taken before the court in 2019?

Measures taken by the Agency

	What measures does your Agency use to prevent and fight against harassment?	What measures does your Agency have in place to facilitate easy and confidential reporting of internal and external harassment towards your staff?	In 2019 how many harassment cases were reported/investigated/taken before court?
Reply	<p>The EEA implements the policy on protecting the dignity of the person and preventing psychological and sexual harassment adopted by its Management Board in June 2017. A manual of procedure for confidential counsellors supplements this policy by providing detailed information on the applicable rules of professional conduct and the procedure for requesting assistance in case of alleged harassment, including information of the various procedural steps and the potential actions that may ensue.</p> <p>The EEA developed an e-learning course about ethics and integrity, which addresses the applicable regulations in the field and the staff statutory obligations. The goal of the course is to prevent inappropriate behaviour and/or misconduct.</p>	<p>A section of the Agency's intranet is dedicated to the confidential counsellor network and provide practical information on how to report alleged harassment and contact a confidential counsellor. Various awareness campaign sessions addressed to all staff members were organised in the course of 2019 on the topic how to recognise and prevent inappropriate behaviour.</p>	<p>There was one case of alleged harassment reported in 2019 that led to an administrative inquiry and disciplinary proceedings.</p>
Commen			

12. What was the average absence from work due to sick leave in 2019? How many working hours were lost as a consequence of burnouts or other work-related reasons?

Answer by the Agency

	Average absence from work due to sick leave (in days) in 2019.	Number of working hours lost as a consequence of burnouts or other work related reasons	Comments
Reply	9.8	(see comments)	As the EEA medical adviser does not provide breakdown of reasons of absences we do not have an overview of burnout or other work related absences.

13. Could the Network prepare a comprehensive list of staff-cuts implemented per individual Agency in accordance with the Commission's plan until 2019? How many of these staff-cuts were replaced by Contractual Agents or External experts?

Staff cuts 2013-2019

	Staff cuts per Agency	Contract agents employed	External experts employed	Comments
2013	0			
2014	3			0 replacements
2015	2	1 replacement		
2016	3	1 replacement		
2017	3	1 replacement		
2018	3			0 replacements
2019	0			0 replacements

14. Is there any increase of the workload or new tasks designated to each agency and how does it manage to accommodate these to the available staff in 2019? Did your Agency face an increase in workload or new tasks assigned in 2019? How did you accommodate these with the staff available in 2019?

Did your Agency face an increase in workload or new tasks assigned in 2019?

Reply: The EEA received a new task in 2019, being the monitoring and reporting of emissions from heavy duty vehicles.

It also expanded work on two new tasks received in 2018, being to support the Governance of the Energy Union and an initiative to streamline environmental reporting (Reportnet 3.0).

How did you accommodate these with the staff available in 2019?

Reply: The new tasks were accompanied with additional human and financial resources: in 2019 the EEA received two new CA posts for emission monitoring of heavy duty vehicles and one additional CA post for the Energy Union Governance.

For the three new tasks, the EEA received additional budget of EUR 1.3 million to fund the additional posts, and IT and other Title 3 expenditure.

### *Conflicts of interest and transparency*

15. Could each Agency confirm whether the declarations of conflicts of interest are in place (and public) for their: · management board members · senior management?

Declaration of Col

	Management board member	Senior management	Comments
Reply	Yes	Yes	The declarations are publicly available on the EEA website (see: <a href="https://www.eea.europa.eu/about-us/governance">https://www.eea.europa.eu/about-us/governance</a> ).

16. Could each Agency confirm if they publish on their website the CVs of their: · management board members · management staff · external experts · in-house experts?

	Management board members	Management staff	External experts	In-house experts	Comments
Answer	Yes	Yes	Yes	No	The publication of CVs and Declarations of interest of Management



					Board members is made on a voluntary basis.
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17. What kind of mechanisms do the Agencies use to identify and avoid conflicts of interest, and were there any cases of conflicts of interest reported, investigated and concluded in 2019?

Reply: The EEA’s Management Board adopted in June 2014 a comprehensive policy for the prevention and the management of conflict of interest which applies to the entire EEA organisation and all its activities. This policy, updated in 2017, involves adequate awareness raising and the establishment of clear and appropriate procedures, as well as practical guidance on what to declare and how to handle reported potential conflict of interest. In support of the policy, specific information on ethics and integrity is available on the Agency’s intranet providing staff members with relevant explanations and forms per type of activity as well as useful links to the applicable rules and regulations.

There were no case of conflict of interest reported in 2019.

18. For the Agencies that depend on fee collection: how many percent of the Agency’s income consist of fees? How does the Agency view in this regard the danger of conflicts of interest for relying on fees from their clients? What kind of mechanism(s) to prevent conflict of interests do the agencies that collect fees from their clients have at their disposal? Would the Agency consider it an appropriate solution if the Commission would collect the fees, and the Agency would hence be fully funded from the EU budget?

Fee financed Agencies

	How many percent of your Agency’s income consists of fees?	Does the Agency see any potential danger of Col from relying on fees from its clients?	What kind of mechanisms does the Agency use to prevent Col stemming from the collection of fees?	Would the Agency consider it an appropriate solution for the Commission to collect the fees and the Agency to be fully funded from the EU budget?
Reply	n/a	n/a	n/a	n/a

19. Have all the Agencies set up and implemented internal rules or common guidelines on whistleblowing? Could the Agencies provide the number of open, closed and ongoing whistleblowing cases in 2019? Which actions were taken for each of these case and what were the results?

	Has your Agency implemented internal rules or common guidelines on whistleblowing?	Can the Agency provide the number of open/closed/on-going whistleblowing cases in 2019?	What actions were taken for each of these cases and what were the results?	Comments
Reply	Yes, EEA adopted the model decision for agencies on implementing rules laying down guidelines on whistleblowing (Decision of the EEA/MB/2018/011 of 24/04/2018).	There were no cases in 2019.	Since there were no open, closed or on-going cases, no action was taken and no results could be presented.	
Comment				

20. Are all meetings with lobbyists, in case such meetings were held: · registered · made public?

#### Meeting with lobbyists

	Were the meetings registered?	Were the meetings made public?	Comments
Agency meeting with lobbyists	n/a	n/a	n/a

## *Other comments*

21. Which measures did the Agencies implement in 2019 in order to increase their public visibility and online presence? Could you please summarize shortly the actions taken in order to promote the work of the Agencies to EU citizens, and to make services available to the wider public, civil society and academia where appropriate?

What actions did your Agency take to increase its public visibility?

Reply: EEA has a strong engagement and continuous interaction with EEA stakeholders, in order to achieve adequate responses to societal changes. Citizens are an important audience as acceptance of environmental measures rests on broad societal consent. The demand for staying relevant for and interacting with EU citizens is growing. Meeting such demands remains challenging in a context of budget constraints. The EEA responds to this requirement with public communications via the regular outreach channels including an increased focus on social media. Social media reach and engagement levels are growing. Another approach is to collaborate with EU institutions, the EEA member countries and wider actors to develop tools and networks enabling them to engage in dialogues with citizens about the state of the environment via networks of environmental communicators. The EEA implements an annual photo competition that attracts a new and younger audience. The photos are being actively used in EEA products. The annual 'Signals' publication addresses current environmental topics and explains what the EU and member countries are achieving to address them, in 2019 with a focus on land and soil in Europe. In 2019 the EEA participated in eight exhibitions, often with partners — from Green Week to the Clean Air Forum.

In relation to the 25th EEA anniversary an online Anniversary book was published and widely distributed, looking back at the achievements of the Agency and pointing to challenges ahead. In addition to regular media outreach, significant efforts went into the launch of EEA's flagship 'State and outlook on Europe's environment – SOER 2020' report in December. In its first week, SOER reached over 6 000 media and social media entries, boosted by coverage in leading global and national news outlets, especially in Belgium, Germany, Spain, the UK and the US. Many policy actors referred to SOER 2020 as the main evidence underpinning the European Green Deal proposal.

What actions did your Agency take to increase its online presence?

Reply: This is an area of continuous attention and the commitment to 'using modern communication channels' has been pivotal to the outreach activities in past years. The EEA continuously develops its online channels be it on social media or via online dissemination and reaches continuously growing engagement levels. The main platforms used now are Twitter, Facebook and LinkedIn, with more than 100,000 followers in total. Initiatives such as 'meet an expert' live on Facebook have helped in reaching and interacting with an ever-growing audience on social media. The EEA website continues to be the main access point for our knowledge with almost daily updates. In 2019 the structure has been revised and new templates with increased visual and interactive features have been introduced addressing

today's user habits. The EEA website registered more than 6 million web sessions in 2019 – a 50% increase compared to past years.

22. Which measures did the Agencies implement in 2019 in order to increase their cyber security and protection of the digital records in its possession? Does the Agency have such a policy in place / in a making?

Does your Agency have a cyber security/protection of digital records in place?

Reply: The Information Security Officer has established security labels for the data in every application. The EEA security labels are in line with the security categories used by European Commission DG DIGIT. EEA does not process EUCI classified information. Applications with the label "Limited Basic" have a higher level of protection.

The EEA uses ARES as Electronic Document and Records Management System. ARES is run by the European Commission on their IT infrastructure. Access authentication is by ECAS EU login. Access restrictions in the filing plan are in place for sensitive personal and business data.

Does the Agency have such a policy in place / in a making?

Reply: EEA has an Information Security Officer, who is assisted by the two most senior members of the ICT group. An Information Security Strategy has been in place since 2016. It contains the following objectives:

- Maintaining the appropriate level of information security
- Security by design. Procedures and quality control for secure software development are in place.
- Improved security awareness among staff
- Close cooperation with CERT-EU
- Checking new and current projects for elevated security requirements
- Maintaining the physical security of IT server rooms
- Improved control of the EEA network
- Good cooperation with Internal Audit Capability to design IT security audits.

The strategy is supported by an information security policy for staff.

The following improvements in information security have been made in 2019:

- the action plan for the Internal Audit Capability (IAC) audit report on access management has been implemented, the procedures for secure access to sensitive data bases have been drafted and communicated.

- quality management of software development has been improved by using SonarQube for QC.
- the basic six controls from the Center for Internet Security (CIS) (by recommendation of CERT-EU) have been discussed and, where applicable, changes have been implemented. For example, the CIS control no. 4, controlled use of administrative privileges, has now been implemented with more restricted settings and new passwords.
- Microsoft security settings have been discussed and enhanced with expert from Microsoft, who was working on site.
- EEA security administration of the Copernicus services was presented at the Copernicus security committee.
- CERT-EU has continued its security services, e.g. log detection.

23. Could the Agencies provide a list of their internal measures in place to: · put in place a comprehensive strategy for sustainable development, including steps to reduce or offset CO<sup>2</sup> emissions? · ensure a cost-effective and environment-friendly working place?

#### Internal measures in place

	Ensuring cost-effective and environment-friendly working place	Comprehensive strategy for sustainable development, including steps to reduce or offset CO2 emissions?
Answer	The EEA adopted its first environmental policy in May 2004, based on the requirements of the EMAS regulation. The EEA's vision in our environmental policy is to be a climate friendly and resource efficient organisation and in that context we are committed to: continuously improving our energy and material efficiency; maintaining staff's awareness and understanding of environmental issues at a high level and encouraging the sharing of ideas for environmental improvement; making use of own experience and	The steps the EEA has taken to preferably reduce and otherwise offset its CO2 emissions are: Premises: replacement of lighting with low energy light, purchase of electricity from renewable energy sources, use of district heating, canteen policy of reducing food waste and CO2 footprint, encouraging staff behaviour that minimises their CO2 footprint.  Travel: investment in improved video and teleconferencing facilities and encouragement to use these rather than travelling to meetings. All travel and accommodation booked by the EEA's travel agent for staff travelling on mission and experts visiting the EEA for meetings is offset using a gold standard offset scheme. Staff are encouraged to use rail rather than flights

	<p>accumulated knowledge in managing environmental performance to influence and inspire sister organisations (other EU bodies and institutions); complying with all environmentally relevant legislation and regulations of our host country. Under the policy, the EEA monitors resource consumption, pursues initiatives to improve its environmental footprint and reports on its environmental performance, which is audited annually.</p>	<p>where practical, but the scope is limited, given the EEA's geographical location.</p>
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***Budget and financial management and performance***

1. Could all Agencies illustrate the amounts of planned and unplanned carryovers and of carryover cancellations by budgetary title and the main reasons behind them?

## Planned carry-overs

	Budgetary title	Amount	Justification
Title 1	STAFF EXPENDITURE	31,582 EUR	Payments earmarked for contracts signed in 2018 and delivered during the last 2 months of 2018 or beginning of 2019. Services such as language courses, medical expenses and reimbursements for missions of administrative nature.
Title 2	OTHER ADMINISTRATIVE COSTS: BUILDING AND ICT EXPENDITURE	483,663 EUR	Payments earmarked for contracts signed in 2018 and delivered during the last 2 months of 2018 or beginning of 2019. Services such as utilities, building services (surveillance, cleaning, etc.), as well as ICT support and external services.
Title 3	OPERATIONAL EXPENDITURE	1,371,112 EUR	Mainly contracts for fisheries patrol services through the chartering of vessels, covering the last quarter of 2018 (paid in 2019), as well as the first quarter of 2019.
Title 4			

## Unplanned carry-overs

	Budgetary title	Amount	Justification
Title 1	STAFF EXPENDITURE	0 EUR	No unplanned carry forward shown
Title 2	OTHER ADMINISTRATIVE COSTS: BUILDING AND ICT	0 EUR	No unplanned carry forward shown



	EXPENDITURE		
Title 3	OPERATIONAL EXPENDITURE	221,931 EUR	The estimated cost for the chartering of the vessel in quarter 1 of 2019 resulted higher than expected in October when the planed carry over was calculated. This increase was due to the number of days covered by the service, as well as the increase of var
Title 4			

#### Cancelled carry-overs

	Budgetary title	Amount	Justification
Title 1	STAFF EXPENDITURE	(7,320)	
Title 2	OTHER ADMINISTRATIVE COSTS: BUILDING AND ICT EXPENDITURE	(19,986)	
Title 3	OPERATIONAL EXPENDITURE	(108,798)	80% of the total cancellations fall under this title. Main cancellations in Title III (70%) are linked to the meetings and missions organised in January/February of 2019 and covered in 2018 budget. Further than that, 28% of the cancellation is due to differences in the final cost of chartering the vessel. The overall cancelled carry over in 2019 was 0.7% of the total payment appropriations.
Title 4			

2. What are the key performance indicators (outcome/impact) used by the Agencies for measuring the added value provided by their activities, and for enhancing their budget management in this regard? Which KPIs were added /

deleted in 2019? Do the Agencies use or plan to introduce other instruments to measure performance?

Performance indicators:

The agency used a set of multiannual strategic objectives, each objective is supported by a number of KPI's which contribute to measure the EFCA added value in those areas;

Examples: % of SCIPS implemented by JDP adopted; Inspections and infringements trend; Use of EFCA training material; Attendees to training sessions; In addition, the independent external evaluation carried out for the period 2012-2017 contributed to confirm the EFCA added value to the coordination of fisheries control and related activities, the core activity of the Agency.

Budget management

- Budget Implementation per quarter (commitments and payments).
- Cancellation of the C8 funds
- Forecasted budget implementation
- Payment delays
- Adherence to the procurement plan

KPI's add/delete in 2019

KPI's were similar to the 2018 exercise.

Other instruments

The Agencies relies on the KPI in force and in the result of the external evaluations, but yearly KPI's are revised and improved. A substantial revision is being currently done to be in force for the 2022 exercise.

4. Have the Agencies identified and evaluated the possibility to coordinate and share resources on overlapping tasks with other Agencies with similar activities?

Reply: Operational area:

- EFCA, Frontex and EMSA adopted a tripartite working arrangement defining the modalities of cooperation between the agencies, each within their mandate, both with each other and with the national authorities to support national authorities carrying out coast guard functions by providing services, information, equipment and training, as well as by coordinating multipurpose operations. The agreement define areas of mutual interest and forms for cooperation.

- Besides, there are several SLA between EFCA and EMSA and EFCA and Frontex for bilateral cooperation in areas of common interest.
- EFCA is also promoting cooperation with other Agencies as the European Union Satellite Centre and EUROPOL, in order to provide additional support to the Member States authorities in their tasks of fisheries control.

Administrative area:

- Cooperation with EUIPO for IT Business continuity.
- EFCA uses the financial and procurement applications already developed by the EC.

5. To what extent has the working program of each agency been implemented and what are the most important achievements?

Reply: 99% of the working program was implemented in 2019.

The most important achievements can be summarised as follows:

- EFCA effectively implemented, in cooperation with the Member States, wider scope JDPs with the same resources as the previous year;
- During 2019 EFCA prepared, in cooperation with the Commission and Member States, for the potential impact of a no-deal Brexit on the relevant JDPs.
- In the international dimension of the Common Fisheries Policy, EFCA provided very effective assistance to the Commission to cooperate with third countries.
- EFCA used the framework of the JDPs to enhance the standardisation of inspections, in particular, last haul observation procedures during inspection at sea in all EU JDP areas. The publication of specific technical guidelines is another important milestone in EFCA's work for standardisation. Particularly, in 2019 EFCA finalised and published guidelines on Remote Electronic Monitoring (REM) and, in collaboration with Member States, on risk assessment and compliance indicators.
- The Tripartite Working Agreement (TWA) between, EFCA, EMSA and Frontex sets the foundations for the framework of cooperation, which aims to support national authorities carrying out Coast Guard Functions and to provide assistance and expertise on coordination and fisheries control using the means available in the agencies. The cooperation with the two agencies further developed in the area of capacity building with EFCA coordinating the overall drafting process of the Practical Handbook on European Cooperation on Coast Guard Functions.
- Enhanced capacity sharing with EMSA enabled the EFCA chartered Offshore Patrol Vessel (OPV) Lundy Sentinel to be upgraded for multipurpose missions; to carry pollution response equipment as well as a Remotely Piloted Aircraft System (RPAS).

- EFCA's chartered OPV was operational for 308 days and provided a robust platform for fisheries inspections leading to a total of 247 inspections and 136 suspected infringements detected. The EFCA chartered OPV contributed to the implementation of JDPs in the EU sea basins by adding capacity to fisheries control operations outside the territorial waters of Member States and providing a platform to deploy multinational Member State inspection teams. This promoted transparency and a level playing field and fostered a good exchange of knowledge and expertise.

- EFCA's information systems enabled the collection of data from each Member State providing details of their fishing vessels, catches and other such information. Overall, EFCA was sent Electronic Reporting System-logbook data from 4564 vessels in 15 Member States and Vessel of Monitoring System (VMS) data from different vessels, throughout all Member States. The volume of VMS messages received by the EFCA VMS was 39.2 million messages.

6. How many recommendations for improvement have been given by the internal audit service and how many of the recommendations from the previous year have been implemented?

Reply: During 2019 3 recommendations were issued by IAS, all rated important.

6 recommendations from previous years have been implemented in accordance with the agreed action plan.

### *Staff policy*

7. How did the Establishment Plan (officials and temporary agents) of each Agency evolve from 2018 to 2019, taking the data of 31.12.2019 compared with 31.12.2018? How many seconded national experts, contract staff, interim staff and consultants were working for each Agency in 2019, expressed in FTEs?

Number of staff

	Officials (posts filled)	Temporary agents (posts filled)
Establishment plan 31.12.2017-31.12.2018	0	60 posts filled
Establishment plan 31.12.2018-31.12.2019	0	61 (two job offers sent before 31/12/2019 are counted as posts filled)

Other staff

	SNEs (FTE)	Contract agents (FTE)	Interim staff (FTE)	Consultants (FTE)
31.12.2019	6.08 FTE The figure only show SNE covered by the EFCA budget and does not include other 2 SNE covered by ad hoc grants.	10.6 FTE . The figure shows CA covered by the EFCA budget and does not include other CA covered by ad hoc grants	None	No consultants, but EFCA uses Structural Service Providers SSP (mainly in IT, logistics and security) 10.2 on 31/12/2018 and 9.2 on 31/12/2019

8. Could each Agency present a gender and nationality breakdown of its senior and middle management positions and its management board, and of its staff overall, including as percentage of the total number for each category requested?

	Senior management Male	Senior management Female	Management board - Male	Management board - Female	Staff overall - Male	Staff overall - Female
Austria				2		
Belgium			2		3	1
Bulgaria			2			1
Croatia			1	1	1	
Cyprus			2			
Czech Republic			2		1	
Denmark				2		
Estonia			2		1	2
Finland			2			1
France	1		1	1	3	1
Germany			1	1	2	2
Greece			1	1	1	1
Hungary			2			
Ireland			2		3	

Italy			2		3	
Latvia			1	1		
Lithuania			1	1	3	1
Luxembourg			2			
Malta			2			
Netherlands			2		1	
Poland			1	1	3	1
Portugal			2		6	5
Romania			1	1		1
Slovakia			2			
Slovenia			2			
Spain			2		4	16
Sweden			1	1		
United Kingdom			2		2	
Norway						

Representation expressed as percentage

	% of males in the overall management staff	% of females in the overall management staff	% of males in the overall management board staff	% of females in the overall management board staff	% of males in the overall staff	% of females in the overall staff
Answer	100% (1 staff)		77%	23%	54%	46%



9. How many former MEPs, Commissioners or high-level officials (from AD 14) still receive money from the budget of your institution as advisors, contract agents or others? What are their tasks and their respective salaries?

Reply: None

10. What measures / activities were organised to improve on the well-being for staff in each agency? What were the costs in 2019 and how many staff members participated in these events?

Events/measures taken by the Agency

	Measures/Activities organised to improve on the well-being for staff	Cost of the activities	Number of staff that participated
	Christmas party	5.945 EUR	63
	Buffet lunch during information event for staff with children in schoolable age	431 EUR	28

11. What measures do Agencies use to prevent and fight against harassment? What kind of efforts have the Agencies made to facilitate easy and confidential reporting of internal and external harassment towards their staff? Were there any harassment cases reported, investigated or taken before the court in 2019?

Measures taken by the Agency

	What measures does your Agency use to prevent and fight against harassment?	What measures does your Agency have in place to facilitate easy and confidential reporting of internal and external harassment towards your staff?	In 2019 how many harassment cases were reported/investigated/taken before court?
Reply	After the adoption of implementing rules on anti-harassment by the Administrative Board in 2017, call for confidential counsellors was launched and successfully finalised in 2018. Confidential Counsellors of EFCA were trained and appointed.	Raising awareness sessions for prevention of harassment were organised for staff in 2018. Rules, documents and contacts of Confidential Counsellors are available to staff on EFCA Intranet. Manual of procedures of Confidential Counsellors is under elaboration.	None
Comment			

12. What was the average absence from work due to sick leave in 2019? How many working hours were lost as a consequence of burnouts or other work-related reasons?

Answer by the Agency

	Average absence from work due to sick leave (in days) in 2019.	Number of working hours lost as a consequence of burnouts or other work related reasons	Comments
Reply	12.1 days (long term sick leave included) 4.6 days (long term sick leave excluded)	Information not available	EFCA has no statistics on different types of sick leave for reasons of protection of personal data.

13. Could the Network prepare a comprehensive list of staff-cuts implemented per individual Agency in accordance with the Commission's plan until 2019? How many of these staff-cuts were replaced by Contractual Agents or External experts?

Staff cuts 2013-2019

	Staff cuts per Agency	Contract agents employed	External experts employed	Comments
2013	0			
2014	-1			
2015	-1			
2016	-1			
2017	-2			In 2017, there was a net increase of 10 statutory staff, as EFCA got new tasks via an amendment to its Founding Regulation. According to EFCA's estimates as laid down in the Programming Document 2017, the

				number of CA was 11.
2018	-1			
2019	0			

14. Is there any increase of the workload or new tasks designated to each agency and how does it manage to accommodate these to the available staff in 2019? Did your Agency face an increase in workload or new tasks assigned in 2019? How did you accommodate these with the staff available in 2019?

Reply: Like for 2018 the new tasks assigned in 2017 imply an heavy workload for all EFCA staff.

### *Conflicts of interest and transparency*

15. Could each Agency confirm whether the declarations of conflicts of interest are in place (and public) for their: · management board members · senior management?

Declaration of Col

	Management board members	Senior management	Comments
Reply	Yes	Yes	

16. Could each Agency confirm if they publish on their website the CVs of their: · management board members · management staff · external experts · in-house experts?

	Management board members	Management staff	External experts	In-house experts	Comments
Answer	Yes	Yes	No (see comment)	N/A	Comments: EFCA has no in-house experts. In accordance with EFCA's policy on the prevention and management of conflicts of interest, external remunerated experts selected following the procedure laid

					<p>down in Article 287 of the Rules of Application of the Financial Regulation applicable to the general budget of the European Union adopted by Commission Delegated Regulation (EU) No 1268/2012 of 29 October 2012 shall sign a declaration of absence of conflict of interest and confidentiality when they are offered a contract. Experts who do not sign the declaration shall not be allowed to work under the contract in question. In case of a conflict of interest of the expert with tasks under the offered contract, EFCA shall not contract the expert for those tasks. Moreover, external remunerated experts do not carry out any</p>
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					duties where independence is required.
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17. What kind of mechanisms do the Agencies use to identify and avoid conflicts of interest, and were there any cases of conflicts of interest reported, investigated and concluded in 2019?

Reply: EFCA applies its Conflict of Interest policy to EFCA staff, SNE's, remunerated external experts, trainees and members of the Administrative and the Advisory Board. It is communicated to staff through the intranet and training. Servants and experts commit for compliance by signing declarations and confidential undertakings.

Specific provisions on conflict of interest for EFCA contractors, including temporary agency personnel (interims) providing services at EFCA, are laid down in the general conditions of EFCA's contracts, and are implemented during the implementation of the respective contract.

There were no cases of conflicts of interest reported, investigated and concluded in 2019.

18. For the Agencies that depend on fee collection: how many percent of the Agency's income consist of fees? How does the Agency view in this regard the danger of conflicts of interest for relying on fees from their clients? What kind of mechanism(s) to prevent conflict of interests do the agencies that collect fees from their clients have at their disposal? Would the Agency consider it an appropriate solution if the Commission would collect the fees, and the Agency would hence be fully funded from the EU budget?

Fee financed Agencies

	How many percent of your Agency's income consists of fees	Does the Agency see any potential danger of Col from relying on fees from its clients?	What kind of mechanisms does the Agency use to prevent Col stemming from the collection of fees	Would the Agency consider it an appropriate solution for the Commission to collect the fees and the Agency to be fully funded from the EU budget?
Reply	N/A			

19. Have all the Agencies set up and implemented internal rules or common guidelines on whistleblowing? Could the Agencies provide the number of open, closed and ongoing whistleblowing cases in 2018? Which actions were taken for each of these case and what were the results?

	Has your Agency implemented internal rules or common guidelines on whistleblowing?	Can the Agency provide the number of open/closed/on-going whistleblowing cases in 2019?	What actions were taken for each of these cases and what were the results?	Comments
Reply	Yes	None		
Comment				

20. Are all meetings with lobbyists, in case such meetings were held: · registered · made public?

Meeting with lobbyists

	Were the meetings registered?	Were the meeting made public?	Comments
Agency meeting with lobbyists	Yes	Yes	<a href="https://www.efca.europa.eu/en/content/meeting">https://www.efca.europa.eu/en/content/meeting</a>



## *Other comments*

21. Which measures did the Agencies implement in 2019 in order to increase their public visibility and online presence? Could you please summarize shortly the actions taken in order to promote the work of the Agencies to EU citizens, and to make services available to the wider public, civil society and academia where appropriate?

Reply: In view of supporting the Communication Strategy defined by the European Commission, EFCA participated in the Seafood exhibition in Brussels joining the stand of the Commission, having continuous The cooperation with DG MARE on social media has been constant throughout the year sharing planners of posts and content.

One video was produced this year, illustrating EFCA's participation in the context of the multipurpose exercise Coastex 2019 in Catania and EFCA's support to the European Coast Guard Functions Forum (ECGFF) workshop.

Regarding the online tools, EFCA's website as well as its social media channels Twitter, Facebook and LinkedIn, have been kept updated regularly.

When it comes to offline communication tools, a short version of the Annual Report 2018 was designed and printed as well as the Programming Document 2019. Other material was produced such as bags, stickers, stationery and a customised USB with Lundy Sentinel shape.

Moreover, EFCA issued 13 press release covering different areas of its work, ranging from news on trainings in the framework of PESCAO, adoption of EFCA's work programme for 2020 or 2019 Annual Report, cooperation with EMSA and FRONTEX on different fronts, the participation and support to the workshop and exercise COASTEX 19 of the European Coast Guard Functions Forum or cooperation with European enforcement and fisheries authorities on illegal fishing.

Groups of visitors were received such on 14 May the participants to the 3rd International Forum for Maritime Spatial Planning in Vigo, and on 25 June, university professors from Sweden. Moreover, different students, both from university and high school were received.

EFCA also received several prominent visits during this period, ranging from authorities like Irish and Dutch fisheries control authorities and Mr Rob van Lint, Inspector General at the Netherlands Food and Consumer Product Safety Authority, or EMSA Executive Director, Ms Maja Markovčić Kostelac . Also, participants to the 3rd International Forum for Maritime Spatial Planning in Vigo, and, university professors from Sweden were also received as well several groups of students from both secondary education and university.

With the objective of promoting the European Union values locally, EFCA celebrated the Europe Day marking the anniversary of the Schuman Declaration at its premises. Prominent authorities attended as well as various stakeholders. The event got excellent media coverage. Moreover, this year EFCA participated in the Vigo Sea Fest, a summer event that includes different leisure activities about the sea. EFCA supported the workshops for children on environmental education. Local authorities were received in EFCA premises such as the

directors of the main Galician newspapers or the dean of Vigo university. EFCA also attended events of local stakeholders when invited.

Moreover, EFCA was represented at the most relevant local events such as the FAO- Conxemar congress inauguration, the celebration of the Spanish Constitution or relevant anniversaries from the Spanish Navy.

Under the interagency cooperation, EFCA participated in Maritime Day. It shared a stand together with Frontex and EMSA and was part of an interagency workshop on the added value of the European Coast Guard cooperation. EFCA material and video were displayed and EFCA staff was present in the stand.

Moreover, EFCA coordinated communication actions with the Italian Coast Guard and EMSA and Frontex both in the framework of the exercise Coastex 2019 and the ECGFF plenary in Venice.

After every Administrative Board meeting, an information meeting was organised with EFCA staff to keep them updated. Internally, and taking into account the results of the survey carried out to staff last year, the intranet has been redesigned and moved to Microsoft 365.

EFCA staff presence, giving a presentation on its activities, as well as displaying new publications, such as a new brochure, and other material.

22. Which measures did the Agencies implement in 2019 in order to increase their cyber security and protection of the digital records in its possession? Does the Agency have such a policy in place / in a making?

Reply: The development and installation of an ISMS system (following the information security standard EN ISO/IEC 27001:2017) started in 2018 continued throughout all the year 2019. Various policies relating to information security and cybersecurity have been created and are currently being verified for final approval and implementation. Compliance with requirements of EU Data Protection Regulation EU DP 2018/1725 by maintaining updated records of categories of processing activities continued throughout all the year 2019.

23. Could the Agencies provide a list of their internal measures in place to: · put in place a comprehensive strategy for sustainable development, including steps to reduce or offset CO<sup>2</sup> emissions? · ensure a cost-effective and environment-friendly working place?

Internal measures in place

	Ensuring cost-effective and environment-friendly working place	Comprehensive strategy for sustainable development, including steps to reduce or offset CO <sub>2</sub> emissions?
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<p>Answer</p>	<ul style="list-style-type: none"> <li>• Participation in the Greening Network of Agencies</li> <li>• Uses low consumption lighting and will move to generalize LED lighting within the next year (depending on budgetary constraints).</li> <li>• Monitoring and reporting of paper use per printing/copying device</li> <li>• Monitoring and reporting colour copying</li> <li>• Introducing paperless workflow for financial and procurement procedures</li> <li>• working with paperless workflow system for sharing and archiving documents, incoming and outgoing mail and correspondence (ARES)</li> <li>• Reduce waste of water by using automatic taps and turning off main water intake on weekends</li> <li>• Selective residues collection by cleaning contractor</li> <li>• Working with specialized contractor for the recycling, re-using or responsible scrapping of obsolete electric and electronic equipment</li> <li>• Working with contractors (in particular cleaning contractor) in order to use more eco friendly products, such as hand drying paper – now 100% issued from recycled source and biodegradable</li> </ul>	<p>Same measures as previous point. • No CO<sup>2</sup> offsetting in place Working on EMAS implementation and certification</p>
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***Budget and financial management and performance***

1. Could all Agencies illustrate the amounts of planned and unplanned carryovers and of carryover cancellations by budgetary title and the main reasons behind them?

**Planned carry-overs**

	Budgetary title	Amount	Justification
Title 1	STAFF	877,511	Expenses linked mainly to trainings, consultancy and interim services carried over due to contracts/trainings with delivery dates in 2019, pending invoices and pending reimbursements to staff.
Title 2	BUILDINGS, EQUIPMENT AND MISCELLANEOUS OPERATING EXPENDITURE LINKED TO THE AUTHORITY	2,412,921	Expenses linked mainly to IT cost, studies and technical assistance with building projects, refurbishment of premises, security and clerical services, telecom services and rent, carried over mainly due to contract deliverables in 2019, pending rent payment and invoices.
Title 3	OPERATING EXPENDITURE LINKED TO THE AUTHORITY	3,504,884	Expenses linked mainly to IT and consultancy cost linked to corporate and scientific projects, scientific experts reimbursement, risk communications and events, mainly due to contract deliverables in 2019, pending invoices and pending reimbursements to staff and experts.
Title 4			

**Unplanned carry-overs**

	Budgetary title	Amount	Justification
Title 1	STAFF	N/A	N/A
Title 2	BUILDINGS, EQUIPMENT AND	N/A	N/A

	MISCELLANEOUS OPERATING EXPENDITURE LINKED TO THE AUTHORITY		
Title 3	OPERATING EXPENDITURE LINKED TO THE AUTHORITY	N/A	N/A
Title 4			

#### Cancelled carry-overs

	Budgetary title	Amount	Justification
Title 1	STAFF	144,774	Consultancy services, trainings and interim services cancellations stemming mainly from project execution delays, lower than forecasted needs for candidates assessment centre and provisionally booked cost, such as missions, translations or shuttle services.
Title 2	BUILDINGS, EQUIPMENT AND MISCELLANEOUS OPERATING EXPENDITURE LINKED TO THE AUTHORITY	77,895	Cancellations stemming mainly from overestimated needs for telecom expenses, provisional nature of some IT operations and overestimated carry over for other expenditure on buildings.
Title 3	OPERATING EXPENDITURE LINKED TO THE AUTHORITY	201,852	Cancellations stemming mainly from IT costs linked to projects (mainly unused consultants days and overestimated cloud services), provisional nature of expert reimbursements expenses and risk communications (provisional nature of commitment for EFSA Journal + reduction of payment for a contract).
Title 4			

2. What are the key performance indicators (outcome/impact) used by the Agencies for measuring the added value provided by their activities, and for enhancing their budget management in this regard? Which KPIs were added / deleted in 2019? Do the Agencies use or plan to introduce other instruments to measure performance?

Performance indicators:

EFSA's 5 Strategic Objectives are:

- SO1 = Prioritise public and stakeholder engagement in the process of scientific assessment
- SO2 = Widen EFSA's evidence base and optimise access to its data
- SO3 = Build the EU's scientific assessment capacity and knowledge community
- SO4 = Prepare for future risk assessment challenges
- SO5 = Create an environment and culture that reflect EFSA's values

**a (i)** The following indicators are measuring added value in the respective work area:

<b>Strategic Objective</b>	<b>Type of indicator</b>	<b>Indicator</b>	<b>Area</b>
SO1	Impact	Satisfaction of Risk Managers (EC/MS) in SO1 activities	Satisfaction
SO1	Impact	Satisfaction of Stakeholders in SO1 activities	Satisfaction
SO1	Impact	Satisfaction of Applicants in SO1 activities	Satisfaction
SO1	Impact	Satisfaction of EFSA Journal users	Satisfaction
SO1	Impact	Satisfaction of Stakeholders in Communication activities	Satisfaction
SO1	Impact	Impact of media coverage	Sharing science
SO1	Outcome	Survey feedback from SEA registered members on the effectiveness of EFSA's stakeholder engagement activities	Engagement
SO1	Outcome	Impact, visibility and discoverability of EFSA's scientific outputs (access, downloads, citations)	Sharing science
SO2	Impact	Satisfaction of Stakeholders in SO2 activities	Satisfaction
SO2	Impact	Data/evidence re-used by stakeholders via citation statistics	Sharing science
SO2	Outcome	Number of publicly accessible data collections published with no data aggregation from EFSA	Sharing science
SO2	Outcome	Number of data collection dashboards/aggregates published	Sharing science
SO2	Outcome	User statistics from the data warehouse	Sharing science
SO2	Outcome	User statistics from the evidence hub	Sharing science

<b>Strategic Objective</b>	<b>Type of indicator</b>	<b>Indicator</b>	<b>Area</b>
SO2	Outcome	Increased maturity in data interoperability: EIF/IMM index	Sharing science
SO2	Outcome	Data quality: timeliness	Sharing science
SO3	Impact	Number of Member States active in sharing RA plan	Cooperation
SO3	Impact	Potential duplication identified before an activity is started	Cooperation
SO3	Impact	Potential divergence identified before the adoption of an opinion	Cooperation
SO3	Impact	Satisfaction of EU, international, third countries in SO3 activities	Satisfaction
SO3	Impact	Satisfaction of individual experts in SO3 activities	Satisfaction
SO3	Impact	Outreach of supporting publications on grants and procurement (article access, downloads, citations)	Sharing science
SO3	Outcome	Number of joint projects awarded in the reporting period	Cooperation
SO3	Outcome	Number of priority areas in the EU RAA covered	Cooperation
SO3	Outcome	Number of joint activities (staff exchange, joint projects/workshops) with international partners under cooperation agreements	Cooperation
SO3	Outcome	Number of research recommendations taken up by MS/EU/International	Cooperation
SO3	Outcome	Number of research projects (EU and international) to which EFSA is participating (actively/passively)	Cooperation
SO3	Outcome	Application rate for EFSA's open calls	Cooperation
SO3	Outcome	Number of Article 36 organisations applying to EFSA grants	Cooperation
SO4	Impact	Satisfaction of Risk Managers (EC/MS) in SO4 activities	Satisfaction
SO4	Impact	Satisfaction of Stakeholders in SO4 activities	Satisfaction
SO4	Impact	Satisfaction of EU, international, third countries in SO4 activities	Satisfaction
SO4	Impact	Use of EFSA's guidance documents (article access, downloads, citations)	Sharing science
SO4	Impact	Use of EFSA's methodologies (article access, downloads, citations)	Sharing science
SO4	Impact	Use of EFSA's tools	Sharing science
SO4	Outcome	Number of methods & tools readily accessible for use by external users (available in the online repositories and platforms)	Cooperation

**a (ii)** The following indicators measure budget management:

<b>Strategic Objective</b>	<b>Type of indicator</b>	<b>Indicator</b>
SO5	Impact	Accounts are closed
SO5	Budgetary	Proportion of original budget committed at year end: differentiated
SO5	Budgetary	Proportion of original budget paid at year end: differentiated
SO5	Budgetary	Proportion of original budget committed at year end: non differentiated
SO5	Budgetary	Proportion of original budget paid at year end: non differentiated
SO5	Budgetary	Prop of original science grants and procurement bdg committed at year end
SO5	Budgetary	Proportion of original science grants and procurement budget paid at year end

**b.** No indicators were deleted or added during 2019.

**c.** The majority of the impact indicators linked to the customer satisfaction are based on surveys built and analysed in house. EFSA uses also internal/self ex-post evaluations of projects, external ex-post evaluations of selected projects and/or processes, as well as the EFSA strategy; and as per its Founding regulation an external ex-post evaluation of the organisation as a whole.

4. Have the Agencies identified and evaluated the possibility to coordinate and share resources on overlapping tasks with other Agencies with similar activities?

Reply: Yes. EFSA has been actively participating in i) the EUAN initiative on shared services identification, implementation and monitoring and to this end it has led and participated to a number of joint activities and projects (particularly in the area of joint procurement); and ii) collaboration and shared services initiatives involving agencies operating within the same policy cluster (under the guidance of SANTE, ENVI, DIGIT), including ECHA, ECDC, EMA and EEA. Examples of the latter include the Health Policy Agencies Collaboration (HPAC) initiative, the sharing of data capabilities with, respectively, ECHA (IUCLID) and ECDC (molecular typing, Whole Genome Sequencing), the shared provision of advice services with ECDC (rapid outbreak assessments). This is an area of work of increasing strategic focus for EFSA that is included in its current SPD and will appear even more prominently in the new Strategy 2027 (under development).

5. To what extent has the working program of each agency been implemented and what are the most important achievements?

Reply: The overall 2019 WP implementation is considered satisfactory, as the vast majority of the EFSA's workplan was delivered as intended despite 2019 being a transition year for the Authority: with the initiatives to address the requirements of the Transparency regulation entering into full force, a re-prioritisation of tasks was needed, but EFSA's core business was nevertheless delivered.



Regarding the scientific production, EFSA was able to address 838 questions through scientific outputs and supporting publications across all its areas, ensuring fit-for-purpose scientific advice to the European risk managers, fostering the harmonisation of methodologies at European level, and increasing its EFSA's ability to address ongoing and future challenges. The work carried out on the topics of *Xylella fastidiosa*, African Swine Fever, *Listeria monocytogenes* and *Salmonella* were particularly noteworthy, as well as the joint work carried out with ECDC (on the multi-country outbreak of listeriosis). Worth mentioning the work carried out in the area of chemical risk assessment in relation to substances with endocrine disruptive properties in collaboration with ECHA (on substances with endocrine disruptive properties) and the capacity building activities offered to Member States and the European Commission on the use of the Guidance for the identification of endocrine disruptors, organised by EFSA.

The communication area registered as well positive results, both in terms of publication of scientific outputs and increased presence in media and social media.

In the area of MS cooperation, the launch of a web application has supported the sharing among Member States of projects planned in the context of the EU Risk Assessment Agenda (EU RAA), thus minimizing divergencies/duplications of work between EFSA and MS.

In 2019, EFSA made significant steps towards the implementation of the Transparency Regulation measures, with the draft of the first design of all scientific processes mandatory by law carried out. The measures coming from the revision of the General Food Law are already addressed through the implementation of the EFSA strategy 2020 and will be embedded into the EFSA Strategy 2027 that will be adopted in 2021.

The budgetary indicators registered results in line with the plan, and a positive performance was also achieved in the management of human resources.

6. How many recommendations for improvement have been given by the internal audit service and how many of the recommendations from the previous year have been implemented?

Reply: In 2019 the IAS issued two very important and four important audit observations.

### *Staff policy*

7. How did the Establishment Plan (officials and temporary agents) of each Agency evolve from 2018 to 2019, taking the data of 31.12.2019 compared with 31.12.2018? How many seconded national experts, contract staff, interim staff and consultants were working for each Agency in 2019, expressed in FTEs?

Number of staff

	Officials (posts filled)	Temporary agents (posts filled)
Establishment plan 31.12.2017-31.12.2018	5	306
Establishment plan 31.12.2018-31.12.2019	5	307

Other staff

	SNEs (FTE)	Contract agents (FTE)	Interim staff (FTE)	Consultants (FTE)
31.12.2019	15	129	33	41

8. Could each Agency present a gender and nationality breakdown of its senior and middle management positions and its management board, and of its staff overall, including as percentage of the total number for each category requested?

	Senior management Male	Senior management Female	Management board - Male	Management board - Female	Staff overall - Male	Staff overall - Female
Austria	1				5	5
Belgium			1		18	17
Bulgaria					1	2
Croatia					2	
Cyprus						
Czech Republic			1		1	2
Denmark				1	1	2
Estonia						
Finland				1		
France	1	1	1		7	14
Germany		1	1	1	8	11
Greece					9	13
Hungary			1		3	7
Ireland			1		4	5

Italy		1	1		75	128
Latvia			1			1
Lithuania				1		
Luxembourg					2	1
Malta						1
Netherlands					4	
Poland					1	6
Portugal					3	7
Romania			1		1	7
Slovakia					1	6
Slovenia			1			1
Spain			1		16	22
Sweden						1
United Kingdom					9	6
Norway						

Representation expressed as percentage

	% of males in the overall management staff	% of females in the overall management staff	% of males in the overall management board staff	% of females in the overall management board staff	% of males in the overall staff	% of females in the overall staff
Answer	40	60	73.3	26.7	39.2	60.8

9. How many former MEPs, Commissioners or high-level officials (from AD 14) still receive money from the budget of your institution as advisors, contract agents or others? What are their tasks and their respective salaries?

Reply: N/A

10. What measures / activities were organised to improve on the well-being for staff in each agency? What were the costs in 2019 and how many staff members participated in these events?

Events/measures taken by the Agency

	Measures/Activities organised to improve on the well-being for staff	Cost of the activities	Number of staff that participated
	Away days (organisational development)	6.588,14 €	63
	Flu vaccination for staff	151	151
	Support to staff for sports and cultural integration activities: ASCERI (Association of the Sports Communities of the European Research Institutes) Inter-Agencies Football Tournament InterCral Parma (associations for social advancement)	309,86 €	20, 10, 60


11. What measures do Agencies use to prevent and fight against harassment? What kind of efforts have the Agencies made to facilitate easy and confidential reporting of internal and external harassment towards their staff? Were there any harassment cases reported, investigated or taken before the court in 2019?

Measures taken by the Agency

	What measures does your Agency use to prevent and fight against harassment?	What measures does your Agency have in place to facilitate easy and confidential reporting of internal and external harassment towards your staff?	In 2019 how many harassment cases were reported/investigated/taken before court?
Reply	1. EFSA offers mandatory training to staff and managers on Prevention of Harassment. All newcomers are required to complete the training by the end of their probation period. In addition, the below is also offered to all staff as preventative measures and a way to raise awareness: a. Ethics@work sessions where the formal and informal procedures are described b. Ad-hoc info sessions to raise the awareness of the informal procedure and the role of the Confidential Counsellors c. Increased communication on harassment process and	2. EFSA’s policy on protecting the dignity of the person and preventing psychological and sexual harassment foresees an informal and a formal procedure. a. The informal procedure is a preventive measure which allows for acknowledgement and support to staff members, conciliation and an amicable settlement. It does not involve formal establishment of the facts or the application of penalties. The informal procedure implies the involvement of Confidential Counsellors, who are trained staff members and formally appointed, on a voluntary basis, for a two-year renewable mandate by the Executive Director. Anyone working in EFSA can contact	<p><i>In 2019 there were:</i></p> <p>a. <i>one formal case reported which was closed with no further action following a preliminary assessment.</i></p> <p>b. <i>two informal cases reported.</i></p> <p>c. <i>two formal cases investigated:</i></p> <ul style="list-style-type: none"> <li>• <i>first case – administrative inquiry concluded; pre-disciplinary hearing held; disciplinary proceedings before the Disciplinary Board initiated;</i></li> <li>• <i>second case – administrative inquiry ongoing.</i></li> </ul> <p><i>There was no case taken before the</i></p>

	<p>cases and in 2019, EFSA's 1st Report on Harassment cases was published.</p> <p>All key information on EFSA's policy on Prevention of harassment can be found on EFSA's intranet on a dedicated page.</p>	<p>one of the Confidential Counsellors and report an informal harassment case. b. The formal procedure establishes the facts and, on this basis, may lead to the potential adoption of a penalty against a person found guilty of psychological or sexual harassment at the end of a disciplinary procedure. A formal procedure may be initiated on the basis of a request for assistance under Article 24 of the Staff Regulations submitted to the Executive Director who is responsible for initiating the procedure. Only staff and Seconded National experts can initiate the formal procedure.</p> <p>All cases are treated with the strictest confidentiality.</p>	<p><i>court.</i></p>
Commen			



12. What was the average absence from work due to sick leave in 2019? How many working hours were lost as a consequence of burnouts or other work-related reasons?

Answer by the Agency

	Average absence from work due to sick leave (in days) in 2019.	Number of working hours lost as a consequence of burnouts or other work related reasons	Comments
Reply	Average of 7.7 days per staff member spent in sick leave (certified & uncertified sick leave) Average duration of each instance: 2 days (certified & uncertified sick leave)	3600h	Number of burnout cases based on informal estimation (burnout as a reason for absence not recorded)

13. Could the Network prepare a comprehensive list of staff-cuts implemented per individual Agency in accordance with the Commission's plan until 2019? How many of these staff-cuts were replaced by Contractual Agents or External experts?

Staff cuts 2013-2019

	Staff cuts per Agency	Contract agents employed	External experts employed	Comments
2013	-4			
2014	-7			
2015	-7	+10		2 additional Contracts Agents were employed to work on a specific project - not a replacement for the staff cuts
2016	-6	+5	-5	7 additional Contracts Agents

				were employed to work on a specific project - not a replacement for the staff cuts In 2016 5 posts of Seconded National experts have been replaced by as many posts of Contract Agents
2017	-8			
2018	-4			
2019		+6		6 additional Contract Agents (out of an initial request of 25) granted by the budgetary authorities to accommodate the increased workload in the area of novel food applications and plant health high-risk commodities applications.

14. Is there any increase of the workload or new tasks designated to each agency and how does it manage to accommodate these to the available staff in 2019? Did your Agency face an increase in workload or new tasks assigned in 2019? How did you accommodate these with the staff available in 2019?

Reply: **a)** *The requests for **scientific activities and the underlying workload**, have been relatively stable in most areas, with the exception of significant peaks of work in the area of pesticides, food additives re-evaluation and food enzymes*

**New tasks were assigned to EFSA, in the following areas of risk assessment:**

- Plant health. Following approval of the new plant health regulation by the European Parliament, a particular focus:
  - on the categorisation of pests and the prevention of the introduction and outbreak of new plant pests.
  - Work on new tasks relating to horizon scanning and surveillance support for Member States will also intensify.
  - A significant new task requires EFSA to work on high-risk plant commodities over the coming years with the task to prepare a guidance document by March 2019 and to deliver Risk Assessments of 'high-risk plants, plant products and other objects' in subsequent years. This task is expected to be ongoing, with a regular flow of dossiers from non-EU countries or Member States required for the RA.
- Pesticides. New requests regarding the approval of active substances and the assessment of endocrine active substances under Regulation (EC) No 1107/2009.
- Novel foods. Additional tasks with strict deadlines on EFSA are introduced by the new regulation i.e. a centralised assessment by EFSA as from 1 January 2018 and a fast-track procedure for traditional foods from non-EU countries .
- GMOs. EFSA is scheduled to take over the sequencing quality check from the JRC for new applications from autumn 2018 onwards, with a clear effect in the 2019-2021 period.

Finally, in 2019 EFSA has started preparatory work for the implementation of the Transparency Regulation (the result of the review of its founding regulation 178/2002) the adoption of which was expected that year.

**b)** The increased workload (together with the increased complexity of the risk assessment), resulted to a particularly relevant resources shortfall in the 2019-2021 period which led to a decrease in resources availability for the implementation of EFSA's 5-year strategy. The capacity generated through key efficiency initiatives targeted through specific development projects could not fully compensate this shortfall. Particularly in 2019, EFSA's resources management was developed along the following lines:

- EFSA continued prioritising its core activities, i.e. responding to requests from its customers, while safeguarding the minimum investment necessary for continuous improvement and development initiatives to ensure, in line with EFSA strategy, that it remains relevant and prepared in the medium to long term.
- EFSA has also prioritised grants aimed at accessing support from Article 36 organisations<sup>5</sup> for the execution of EFSA's tasks, thus reducing more and more the grant and procurement budget available for scientific development.
- Negative priorities applied and affected mainly the investment in capacity building with Member States in the areas of preparedness and methodological development.
- The preparatory activities in 2019 for the implementation of the Transparency Regulation expected to enter into force that year, were managed through the Architecture (ART) Programme, which was integrated into EFSA's strategic, portfolio, budget and environment-scan processes

In addition, EFSA requested an increase of EUR 2.5 million and 25 FTEs for 2019 and the following years. EFSA acknowledges that its strategic needs — and the connected resource needs — have been seriously considered by the budgetary authorities. EFSA's request was partially accommodated by the budgetary authority for 2019 with an increase of EUR 0.22 million and six (6) contract agent (CA) posts to accommodate the increased workload in the area of novel food applications and plant health high-risk commodities applications.

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<sup>(5)</sup> List of competent organisations designated by the member states which may assist EFSA with its mission, (art. 36 of Regulation EC 178/2002 and Art. 1 of Regulation EC 2230/2004)

EFSA requested for the years 2020 and 2021 a further increase in resources<sup>(6)</sup> to cover the imminent need<sup>7</sup> in view of the increased workload, accepting the risk of a gap of around 20 FTEs per year.

### Conflicts of interest and transparency

15. Could each Agency confirm whether the declarations of conflicts of interest are in place (and public) for their: · management board members · senior management?

#### Declaration of Col

	Management board members	Senior management	Comments
Reply	Indeed, since its establishment in 2002, EFSA put in place a mandatory system of submission of Dols for its MB members, that is combined with the mandatory publication of the Dols on the agency's website.	The mandatory submission of senior management's Dol was introduced as of 2008 and the Dols of all senior managers and middle managers have been made publicly available on the agency's website as of 2018.	

16. Could each Agency confirm if they publish on their website the CVs of their: · management board members · management staff · external experts · in-house experts?

	Management board members	Management staff	External experts	In-house experts	Comments
Answer	YES	YES	YES	NO	Publication of CV's on Agency's website EFSA makes publicly available biographies of its external experts since 2007, and of its management staff since 2014. If by "in-house experts" it is meant to refer to statutory staff with specialist and

<sup>(6)</sup> Starting from 2019, in connection with the additional tasks relating to *novel food, pest categorisation, pest horizon scanning systems, plant pest surveillance systems and commodities dossiers*, the Commission has authorised the increase of EFSA's establishment plan by 6 additional CA posts — out of the 25 that EFSA requested — and the related budget increase by EUR<sup>0</sup>0.22 million — out of the EUR<sup>2</sup>2.50 million that EFSA requested.

<sup>(7)</sup> Approximately EUR 2.3 million and an additional 19 CA posts in 2020 and EUR 1.3 million and 9 CA posts in 2021

					scientific profiles, EFSA makes publicly available all Declarations of interests of Heads of Unit in charge of scientific sectors, but no bios or CVs.
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17. What kind of mechanisms do the Agencies use to identify and avoid conflicts of interest, and were there any cases of conflicts of interest reported, investigated and concluded in 2019?

Reply: A. Ex ante controls

In the reference period, EFSA screened a total of 2,976 Annual Dols submitted by its scientific experts. In the course of 2019, EFSA also processed 17 Dols submitted by Management Board members in charge and made publicly available 4 Dols as part of the voluntary registry of activities of former Management Board members.

Dols have to be submitted also by all tenderers and participants to grant awarding procedures regarding the outsourcing of scientific tasks or projects. In the reference year, this resulted in 31 calls being launched for which Dols were requested, which led to the screening of a total number of 59 “institutional Dol” as well as of 179 “individual Dols”. In the context of these screening processes, 5 conflicts of interests were identified and prevented from occurring by rejecting the concerned experts. Finally, the Authority also processed 393 Dols of staff members, as well as 46 Dols of candidates being pre-selected for engagement as contract agents, temporary agents, seconded national experts, or national experts in professional training. As far as the screening of Dols of staff members is concerned, 1 conflict of interest was identified which was prevented by the adoption of ordinary risk mitigating measures, while for candidates, ordinary mitigating measures were adopted in a number of cases to ensure that no perception of conflicts of interest could be caused by certain past interests held by candidates selected for fill vacant positions of EFSA statutory staff, seconded national experts and national experts in professional training. These ordinary mitigating measures consist in the exclusion of the concerned individual from processes and projects regarding their previous employer in the private sector, such as those regarding the evaluation of application dossiers submitted to EFSA by applicants, participation in the evaluation of tenders by previous employers, or the review of the candidate’s own work

In the reference period, in the context of ex ante controls performed on the Dols submitted by its experts, EFSA identified and prevented 31 conflicts of interest at ADol level. This systematically resulted in the exclusion of the expert either from membership, or from participation in the discussion at the relevant meeting of the scientific group if the Col regarded an intellectual property right or the expert’s previous work.

B. Ex post controls

Pursuant to the Decision of the Executive Director on Competing Interest Management, twice a year EFSA performs a check of the compliance and veracity of a sample of screening processes of Dols submitted by experts who participated in meetings of the Scientific Committee, scientific panels, working groups (WGs), peer review meetings as well as of Dols submitted in the context of outsourcing procedures. For each reporting period, relevant documents related to 15 experts and 15 tenderers and grant beneficiaries are

randomly selected and are checked for compliance with the regulatory framework in force at the time the DoI was screened and for the veracity of the information contained. Overall, in 2019 these checks identified eight findings, none of which consisted in a nonconformity requiring the adoption of remedial measures

18. For the Agencies that depend on fee collection: how many percent of the Agency's income consist of fees? How does the Agency view in this regard the danger of conflicts of interest for relying on fees from their clients? What kind of mechanism(s) to prevent conflict of interests do the agencies that collect fees from their clients have at their disposal? Would the Agency consider it an appropriate solution if the Commission would collect the fees, and the Agency would hence be fully funded from the EU budget?

Fee financed Agencies

	How many percent of your Agency's income consists of fees?	Does the Agency see any potential danger of Col from relying on fees from its clients?	What kind of mechanisms does the Agency use to prevent Col stemming from the collection of fees?	Would the Agency consider it an appropriate solution for the Commission to collect the fees and the Agency to be fully funded from the EU budget?
Reply	0%	EFSA does not collect fees		

19. Have all the Agencies set up and implemented internal rules or common guidelines on whistleblowing? Could the Agencies provide the number of open, closed and ongoing whistleblowing cases in 2018? Which actions were taken for each of these case and what were the results?

	Has your Agency implemented internal rules or common guidelines on whistleblowing?	Can the Agency provide the number of open/closed/on-going whistleblowing cases in 2019?	What actions were taken for each of these cases and what were the results?	Comments
Reply	Yes	None	N/A	
Comment				

20. Are all meetings with lobbyists, in case such meetings were held: · registered · made public?

Meeting with lobbyists

	Were the meetings registered?	Were the meetings made public?	Comments
Agency meeting with lobbyists	N/A	N/A	



## *Other comments*

21. Which measures did the Agencies implement in 2019 in order to increase their public visibility and online presence? Could you please summarize shortly the actions taken in order to promote the work of the Agencies to EU citizens, and to make services available to the wider public, civil society and academia where appropriate?

Reply: EFSA continued the implementation of its Social Science Roadmap during the year, using social research to better understand citizens' risk perceptions and information needs. We used the findings of the 2019 Eurobarometer survey to design communication activities in some areas of high public interest, for example antimicrobial resistance, plant protection products, animal health and welfare. We developed a number of country-specific data visualizations to support Member State partners. The interest generated by the Eurobarometer also allowed EFSA to highlight its work in a number of media outlets across Europe. In response to interest from partners in pre-accession countries, the survey was replicated, in partnership with DG COMM, in Albania, Montenegro, North Macedonia, Serbia and Turkey. As per plan, we complemented comprehensive citizen surveys with smaller-scale research projects. As an example, targeted research was conducted among beekeepers, allowing for an exchange of views with this key stakeholder group in support of developing holistic risk assessment approach for managed honeybees.

In the run up to the 2019 European elections, EFSA launched a campaign called #EUandMyFood to raise awareness of how the EU food safety system enhances the lives of citizens. The materials developed complemented efforts by the European Parliament and other EU institutions to promote the value of the EU to citizens at this important time. The #EUandMyFood campaign marked a departure in the way EFSA communicated by using short, non-technical multimedia materials such as videos and animations available in all EU languages. As the main target audience was EU citizens, close collaboration with national partners was considered vital. Overall, the pan-European campaign attracted about 2 million views in six weeks, and the materials produced were widely shared on social media, including by 20 of our Member State partners.

Social media now plays a central role in the way we all communicate, and these networks are where people increasingly access, consume and disseminate information. In 2019 EFSA focused strongly on using social media platforms as a primary tool to disseminate our communication material to reach stakeholders and citizens. EFSA's social media presence saw good results throughout the 2019. Overall, the number of followers of the EFSA's social media accounts increased year-on-year by almost 50% to 120,000, with Twitter and LinkedIn being the two most used platforms. Also, the number of interactions through social media increased by almost 40%, as well as the traffic to EFSA web content promoted from social media.

EFSA continued to invest in its website, with specific improvements delivered in 2019 that included:

- reduced time to publish meeting minutes;
- the ability to share content to whatsapp;

- a new section for upcoming tenders (including sister agencies);
- various accessibility and mobile usability fixes.

In addition to these developments, in 2019 we prepared for some larger improvements which will be deployed in 2020, including a translation of the website into Spanish, a first fully interactive annual report on pesticides residues and a continuous major overall upgrade of our website.

22. Which measures did the Agencies implement in 2019 in order to increase their cyber security and protection of the digital records in its possession? Does the Agency have such a policy in place / in a making?

Reply: EFSA is actively committed to safeguarding the confidentiality, integrity and availability of all information that it manages, to ensure that regulatory, operational and contractual requirements are fulfilled. In 2019, EFSA adopted a new integrated Policy covering Information Security, Business Continuity, Security and Health & Safety. Multi-Factor Authentication was implemented, super-user accounts were further restricted and mandatory trainings on information security continued to be provided to all staff.

23. Could the Agencies provide a list of their internal measures in place to: · put in place a comprehensive strategy for sustainable development, including steps to reduce or offset CO<sup>2</sup> emissions? · ensure a cost-effective and environment-friendly working place?

Internal measures in place

	Ensuring cost-effective and environment-friendly working place	Comprehensive strategy for sustainable development, including steps to reduce or offset CO2 emissions?
Answer	<ul style="list-style-type: none"> <li>• Dedicated converged Environmental, health &amp; safety service fully operational;</li> <li>• ECO management system: EMAS registration fully operational;</li> <li>• Partnering with Italian EMAS Competent body Istituto Superiore per la Protezione e la Ricerca Ambientale (ISPRA) to boost collaboration among EMAS registered companies and Public Administrations;</li> <li>• Implementation of green</li> </ul>	<ul style="list-style-type: none"> <li>• Increased share of tele meetings (from 24.3% in 2018 to 30,1% in 2019), either EUR 164.000 saved in travels and missions from 2018 to 2019.</li> <li>• No plastic campaign, elimination of plastic cups;</li> <li>• Energy saving (Take the Stairs);</li> <li>• Continuous Waste management (Campaign Recycling@EFSA);</li> <li>• Continuous installation of automatic taps for all EFSA's sinks.</li> </ul>

	activities and communications: e.g. green public procurement (technical specifications for call for tender “canteen and bar for EFSA”), greening activities (community garden) as part of wellbeing initiatives, Farmer Market km 0, reiterated awareness campaigns	
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***Budget and financial management and performance***

1. Could all Agencies illustrate the amounts of planned and unplanned carryovers and of carryover cancellations by budgetary title and the main reasons behind them?

## Planned carry-overs

	Budgetary title	Amount	Justification
Title 1	Existing Staff	172,626.52	107,218.86 EUR belongs to R0 appropriations (for IPA project - financed outside the EU budget).
Title 2	Buildings, equipment and miscellaneous operating expenditure	346,094.55	The main part of this 346,094.55 comes from carry forwards related to IT, furniture and events.
Title 3	Operating activities	1,160,506.23	265,527.70 EUR belongs to R0 appropriations (for IPA project - financed outside the EU budget). Apart from this, the highest carry forwards are the following: 1. 163,800 EUR - Study for EIGE's report to the German Presidency 2. 178,000 EUR – Study on factors that facilitate witness reporting of intimate partner violence. 3. 93,277 EUR Data collection on intimate partner violence and gender-related killings of women. All these carry forwards result from the normal course of their respective contracts
Title 4	N/A	N/A	N/A

## Unplanned carry-overs

	Budgetary title	Amount	Justification
Title 1	N/A	N/A	N/A
Title 2	N/A	N/A	N/A
Title 3	N/A	N/A	N/A

Title 4	N/A	N/A	N/A
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Cancelled carry-overs

	Budgetary title	Amount	Justification
Title 1	Staff	13,679.33	Cancellation of payment appropriations carried over to 2019 mainly due to cancellations of provisional commitments carried over in excess.
Title 2	Buildings, equipment and miscellaneous operating expenditure	4,133.31	Cancellation of payment appropriations carried over to 2019 mainly due to cancellations of provisional commitments carried over in excess.
Title 3	Operating activities	36,825.63	Cancellation of payment appropriations carried over to 2019 mainly due to cancellations of provisional commitments carried over in excess
Title 4	N/A	N/A	N/A

2. What are the key performance indicators (outcome/impact) used by the Agencies for measuring the added value provided by their activities, and for enhancing their budget management in this regard? Which KPIs were added / deleted in 2019? Do the Agencies use or plan to introduce other instruments to measure performance?

Performance indicators:

Which KPI's (outcome/impact) is your Agency using to measure the added value provided by its activities?

- Number of consultations to ensure quality and relevance of EIGE's outputs
- Number of EU documents for the preparation of which EIGE has participated
- Number of EIGE's outputs endorsed by EU institutions and Member States

- Number of requests from EU institutions, broken by initiators
- Number of invitations to present EIGE's work
- Outreach of EIGE's communication channels
- Number of new stakeholders informed of EIGE's work

Which KPI's is your Agency using to enhance its budget management?

- Rate of implementation of Commitment Appropriations
- Rate of cancellation of Payment Appropriations
- Rate of payments executed within the legal/contractual deadlines

Does your Agency plan to introduce other performance measurement instruments?

Specific performance indicators have been designed for measuring performance of horizontal services (HR, IT, Procurement and Facility Management, Internal Control and Audit and Budget Implementation) in the annual section of the SPD 2022-2024.

4. Have the Agencies identified and evaluated the possibility to coordinate and share resources on overlapping tasks with other Agencies with similar activities?

Reply: EIGE currently cooperates closely with Union agencies and seeks further synergies where appropriate. EIGE has an established cooperation with the Fundamental Rights Agency and the Eurofound in particular in research and dissemination activities.

EIGE is actively engaged in the network of Justice and Home Affairs agencies which has, for example, coordinated a joint Covid-19 crisis response and business continuity plans in 2020.

Further opportunities for possible resource sharing with other Agencies will be explored in the context of EIGE's upcoming external evaluation in 2022.

5. To what extent has the working program of each agency been implemented and what are the most important achievements?

Reply: As per CAAR 2019, achievement rate in 2019 is 95.8%.

Most important achievements:

- Provision of critical new knowledge, information and tools to key stakeholders (e.g. COM, EP, MS) and other important stakeholders (e.g. civil society, social partners and academia) to support gender equality and gender sensitive policy-making across Europe. EIGE and its findings were referenced 238 times in outputs (reports, conclusions, draft

documents, speeches, press releases, etc.) produced by EU institutions, European political parties and EU-level civil-society organisations.

- Press coverage also grew and in mainstream media (newspaper, TV, radio) outlets across the EU, EIGE has an 80% increase in mentions compared to the previous year. Follower base grew on all social media channels (up 22.5% from the previous year), especially on LinkedIn, which grew by 72% and outreach by 246% compared to the previous year.
- Cooperation with the European Parliament continued to expand, and EIGE participated in several FEMM Committee events, and provided input to parliamentary reports. EIGE's research informed several European Parliament resolutions, such as Gender equality and taxation policies in the EU; EU accession to the Istanbul Convention and other measures to combat gender-based violence; Experiencing a backlash in women's rights and gender equality in the EU.
- Support to EU candidate and potential candidate countries (IPA countries) by bringing their policies on gender equality closer to EU priorities. EIGE supported IPA countries (North Macedonia, Serbia, Albania, Montenegro and Turkey) in calculations of their Gender Equality Indices. EIGE collected these data in order to include IPA countries in the database on Women and Men in Decision-Making. About 250 participants from the Western Balkans and Turkey were involved in various meetings and events organized by EIGE.

As of 2019, EIGE's Gender Equality Index has been released on an annual basis with a specific thematic focus. The special focus of Index 2019 was on work-life balance - an issue of high political importance in the EU. The analysis of work-life balance provides new insights into the monitoring of the implementation of the European Pillar of Social Rights and its New Start initiative on work-life balance, including a recently adopted Directive on work-life balance for parents and carers.

- EIGE substantially contributed to the processes of ensuring reliable and comparable data collection on gender-based violence. For example, by supporting the MS in collecting administrative data on intimate partner violence and gender-related killings of women and girls (femicide); by developing recommendations for Eurostat and UNODC to better develop the statistical framework on gender-sensitive crime statistics; by contributing to Eurostat's Task Force on the future prevalence survey on gender-based violence against women and interpersonal violence, and to the UN Women Technical advisory board on Global Guidelines on Administrative Data on Violence against Women.
- To assist the MS to comply with their reporting obligations under the Istanbul Convention, the Victims' Rights Directive and EU protection order legislation, EIGE, in close cooperation with CEPOL, developed a practical guide and overview report for police on risk assessment and risk management strategies for intimate partner violence against women.

EIGE published the first EU-wide assessment of gender sensitivity in national parliaments across the EU and the European Parliament. By the end of 2019, eleven national parliaments and two regional parliaments completed the assessment. This resulted in the adoption of a Gender Action Plan in the parliament of Catalonia, and as a result of IPA cooperation also in the parliament of North Macedonia.

- EIGE developed a toolkit for gender mainstreaming and budgeting in the EU Funds 2021-2027. It contains 11 tools to be applied in the full programming and operational funds cycle. Eight MS and two regions will test the toolkit.

- EIGE's Research and Documentation Centre (RDC) provides access to a large number of gender equality literature and publications. The entire number of resources in the RDC collection amounts to almost 830,000 items. In 2019, EuroGender continued to serve as EIGE's online consultation and cooperation hub, providing online work spaces and tools for 38,300 unique visitors.

6. How many recommendations for improvement have been given by the internal audit service and how many of the recommendations from the previous year have been implemented?

Reply:

As per the IAS Strategic Audit Plan 2019-2021 the audit on project led organization was planned to take place in 2019 but it was postponed by the IAS to 2020. The final report is expected in Q4 2020.

During 2019, EIGE has continued the follow-up on outstanding recommendations from previous years, and they all have been closed in 2019/beginning of 2020 as follows:

- Three remaining recommendations pertaining to the 2017 audit on stakeholders relations management and external communication were closed in the beginning of 2019.
- One remaining sub-recommendation pertaining to the 2015 audit on procurement supporting operational services was closed in 2020.

### *Staff policy*

7. How did the Establishment Plan (officials and temporary agents) of each Agency evolve from 2018 to 2019, taking the data of 31.12.2019 compared with 31.12.2018? How many seconded national experts, contract staff, interim staff and consultants were working for each Agency in 2019, expressed in FTEs?

Number of staff

	Officials (posts filled)	Temporary agents (posts filled)
Establishment plan 31.12.2017-31.12.2018	0	27 (as at 31/12/2018)



Establishment plan 31.12.2018-31.12.2019	0	26 (as at 31/12/2019)
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Other staff

	SNEs (FTE)	Contract agents (FTE)	Interim staff (FTE)	Consultants (FTE)
31.12.2019	4	10 (Apart from the 10 Contract Agents working at EIGE as per the Establishment Plan, EIGE hired 2 CAs for IPA projects. These CAs are covered by DG Near. For that reason they should not be counted in the total of CAs as per the Establishment Plan.)	4	0

8. Could each Agency present a gender and nationality breakdown of its senior and middle management positions and its management board, and of its staff overall, including as percentage of the total number for each category requested?

	Senior management Male	Senior management Female	Management board - Male	Management board - Female	Staff overall - Male	Staff overall - Female
Austria				2		
Belgium			1	1	1	
Bulgaria				2		2
Croatia				2		1
Cyprus						
Czech Republic		1	1		1	1
Denmark						1
Estonia				2	1	1
Finland		1		2		2
France			1	1	1	2
Germany						2
Greece					1	2
Hungary						
Ireland						

Italy					1	2
Latvia						1
Lithuania					3	11
Luxembourg				2		
Malta			1	1	1	
Netherlands			1	1		
Poland						3
Portugal			1	1		1
Romania			1	1		1
Slovakia				2		
Slovenia		1		1		1
Spain				1	2	2
Sweden		1		1		1
United Kingdom						
Norway						

Representation expressed as percentage

	% of males in the overall management staff	% of females in the overall management staff	% of males in the overall management board staff	% of females in the overall management board staff	% of males in the overall staff	% of females in the overall staff
Answer	0%	100%	33%	66%	24%	76%

9. How many former MEPs, Commissioners or high-level officials (from AD 14) still receive money from the budget of your institution as advisors, contract agents or others? What are their tasks and their respective salaries?

Reply: N/A

10. What measures / activities were organised to improve on the well-being for staff in each agency? What were the costs in 2019 and how many staff members participated in these events?

Events/measures taken by the Agency

	Measures/Activities organised to improve on the well-being for staff	Cost of the activities	Number of staff that participated
	Reimbursement of sports and well-being activities	7.337,34 EUR	32
	Staff away days	49	49

11. What measures do Agencies use to prevent and fight against harassment? What kind of efforts have the Agencies made to facilitate easy and confidential reporting of internal and external harassment towards their staff? Were there any harassment cases reported, investigated or taken before the court in 2019?

Measures taken by the Agency

	What measures does your Agency use to prevent and fight against harassment?	What measures does your Agency have in place to facilitate easy and confidential reporting of internal and external	In 2019 how many harassment cases were reported/investigated/taken before

		harassment towards your staff?	court?
Reply	Such measures include the appointment of four confidential counsellors, annual training for confidential counsellors and members of staff, investigations into any complaints of such behavior, information upon induction into the Agency.	EIGE applies the formal and informal approach to dealing with such situations. During informal procedures, care is taken to maintain confidentiality by the coordinator of confidential counsellors and by the confidential counsellors themselves. Formal procedures are also kept confidential as much as possible. Any members of staff called upon as witnesses are bound to sign a confidential and non- disclosure form of any details that they are providing to the inquiry.	One case was under investigation during 2019 having been reported the year before.
Commen			

12. What was the average absence from work due to sick leave in 2019? How many working hours were lost as a consequence of burnouts or other work-related reasons?

Answer by the Agency

	Average absence from work due to sick leave (in days) in 2019.	Number of working hours lost as a consequence of burnouts or other work related reasons	Comments
Reply	In 2019, on average 7.15 days of sick leave per full time equivalent jobholder was registered. This estimate excludes the long -term absence of one colleague due to illness.	The estimated number of lost working hours in 2019 due to short-term sick leave was 2,808. EIGE has no records of whether burnout or work related reasons caused these absences.	The 2,808 hours are calculated as follows: the total number of annual short -term sickness days (351) multiplied by eight (hours).

13. Could the Network prepare a comprehensive list of staff-cuts implemented per individual Agency in accordance with the Commission’s plan until 2019? How many of these staff-cuts were replaced by Contractual Agents or External experts?

Staff cuts 2013-2019

	Staff cuts per Agency	Contract agents employed	External experts employed	Comments
2013				
2014	1	0	0	One AST post was cut
2015	1	0	0	One AD post was cut
2016				
2017	1	0	0	One AD post was cut
2018				
2019				

14. Is there any increase of the workload or new tasks designated to each agency and how does it manage to accommodate these to the available staff in 2019? Did your Agency face an increase in workload or new tasks assigned in 2019? How did you accommodate these with the staff available in 2019?

Reply: As of 2019, EIGE has released its Gender Equality Index on a yearly basis and with a specific thematic focus. To support the monitoring of the European Pillar of Social Rights and its “New start” initiative on Work-life balance, EIGE focused the Index 2019 on this topic and carried out a study on the eligibility for parental leave in the EU Member States.

The growth of tasks has brought a significant increase in workload for existing staff. Although the tasks have been completed through a great cooperation among teams, EIGE is reiterating its need for additional staff in SPD 2021-2023 and SPD 2022-2024.

***Conflicts of interest and transparency***

15. Could each Agency confirm whether the declarations of conflicts of interest are in place (and public) for their: · management board members · senior management?

Declaration of Col

	Management board members	Senior management	Comments
Reply	yes	yes	

16. Could each Agency confirm if they publish on their website the CVs of their: · management board members · management staff · external experts · in-house experts?

	Management board members	Management staff	External experts	In-house experts	Comments
Answer	yes	yes	no	N/A	EIGE does not have in-house experts



17. What kind of mechanisms do the Agencies use to identify and avoid conflicts of interest, and were there any cases of conflicts of interest reported, investigated and concluded in 2019?

Reply: Regarding members of the Management Board, Experts' Forum, Thematic Networks and Working Groups, the Director, SNEs and staff not covered by the Staff Regulation and CEOS, EIGE applies its Management Board Decision MB/2014/006 of 28 March 2014 on the Institute's Policy on Management of Conflict of interests in EIGE.

With reference to Articles 8 and 9 of Management Board Decision MB/2014/006 of 28 March 2014 on the Institute's Policy on Management of Conflict of interests in EIGE, the Institute shall, within 20 working days of entering the written declaration of interests into the registry, screen the information provided in the declaration, and submit a written report to the Chair of the Management Board. The Board members shall be informed about the Annual Declaration of Interests screening outcome.

18. For the Agencies that depend on fee collection: how many percent of the Agency's income consist of fees? How does the Agency view in this regard the danger of conflicts of interest for relying on fees from their clients? What kind of mechanism(s) to prevent conflict of interests do the agencies that collect fees from their clients have at their disposal? Would the Agency consider it an appropriate solution if the Commission would collect the fees, and the Agency would hence be fully funded from the EU budget?

Fee financed Agencies

	How many percent of your Agency's income consists of fees	Does the Agency see any potential danger of Col from relying on fees from its clients?	What kind of mechanisms does the Agency use to prevent Col stemming from the collection of fees	Would the Agency consider it an appropriate solution for the Commission to collect the fees and the Agency to be fully funded from the EU budget?
Reply	N/A	N/A	N/A	N/A

19. Have all the Agencies set up and implemented internal rules or common guidelines on whistleblowing? Could the Agencies provide the number of open, closed and ongoing whistleblowing cases in 2018? Which actions were taken for each of these case and what were the results?

	Has your Agency implemented internal rules or common guidelines on whistleblowing?	Can the Agency provide the number of open/closed/on-going whistleblowing cases in 2019?	What actions were taken for each of these cases and what were the results?	Comments
Reply	yes	0	N/A	N/A
Comment				

20. Are all meetings with lobbyists, in case such meetings were held: · registered · made public?

Meeting with lobbyists

	Were the meetings registered?	Were the meetings made public?	Comments
Agency meeting with lobbyists	N/A	N/A	

## Other comments

21. Which measures did the Agencies implement in 2019 in order to increase their public visibility and online presence? Could you please summarize shortly the actions taken in order to promote the work of the Agencies to EU citizens, and to make services available to the wider public, civil society and academia where appropriate?

Reply: EIGE posted daily updates on social media to promote the Institute’s research, studies and resources with the aim to reach out to new audiences and bring readers to the website. Social media was also used as a way to raise awareness about gender equality among the EU citizens. EIGE also used various channels to reach out to the public through the media, with the Institute’s media impact growing each year. In 2019 EIGE published nine EU-wide press releases and held five press conferences to promote its work.

22. Which measures did the Agencies implement in 2019 in order to increase their cyber security and protection of the digital records in its possession? Does the Agency have such a policy in place / in a making?

Reply: In 2019 CERT-EU did a vulnerability assessment of EIGE's public web services. After the results of the tests were provided, EIGE implemented recommendations to strengthen the security of the services.

The security policy is in a making.

23. Could the Agencies provide a list of their internal measures in place to: · put in place a comprehensive strategy for sustainable development, including steps to reduce or offset CO<sup>2</sup> emissions? · ensure a cost-effective and environment-friendly working place?

Internal measures in place

	Ensuring cost-effective and environment-friendly working place	Comprehensive strategy for sustainable development, including steps to reduce or offset CO2 emissions?
Answer	EIGE has taken several measures to strengthen its efforts for sustainable and environmental friendly processes. In 2019 EIGE nominated a Green Officer with the main task of proposing a framework and measures to reduce negative impacts on the environment caused by EIGE’s operations. Furthermore, an	To reduce the CO2 emissions, EIGE is committed to ensure that also its contracts include environmental sustainability clauses. To date, EIGE has included the requirements of environmental measures in contracts covering: • Cleaning services; • Delivery and installation of office furniture, • Production of promo materials, • Catering services, • Organisation of events • Provision of lighting services EIGE continues to recycle paper and

	<p>informal eco-group was established in 2020.</p>	<p>plastic and is committed to reduce the number of used papers. To achieve this, EIGE's printing option is set by using duplex format and common-used printers have personal card readers. EIGE's Missions Management tool (MMT) includes an electronic workflow for mission approval and reporting (mission reports). To ensure the collection of data on CO2 emissions caused by EIGE's business travels, the MMT includes a field where data on CO2 emissions are included, as provided by the travel agent. CO2 emissions are also a consideration when taking decisions on the business travels. During induction meetings environmental aspects are highlighted for the newcomers. The landlord is acquainted with EMAS and is continuously working to improve the environmental performance of the building with a real estate portfolio and new developments as reflected in their technical offer.</p>
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## EIOPA

### *Budget and financial management and performance*

1. Could all Agencies illustrate the amounts of planned and unplanned carryovers and of carryover cancellations by budgetary title and the main reasons behind them?

#### Planned carry-overs

	Budgetary title	Amount	Justification
Title 1	Title 1	1,672,340.60	To cover legal obligations of the authority for interim and external services, administrative missions, recruitment expenses, socio-medical expenditure and training.
Title 2	Title 2	636,081.67	To cover legal obligations of the authority for running costs for the building, maintenance and cleaning, fitting out premises, purchase and maintenance of hardware and software, purchase of new furniture, stationary and office supplies, leasing movable property, legal advice, miscellaneous insurance, other administrative expenditure, postal and delivery charges, telecommunication charges, information, publication and administrative translation costs, general meeting expenses.
Title 3	Title 3	1,592,250.60	To cover legal obligations of the authority for organisation of training and events, operational information and data management, operational purchase of software and maintenance, operational missions, communication and operational documentation, operational meetings, stakeholder group meetings and board of supervisors meetings.

Title 4	N/A	N/A	N/A
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#### Unplanned carry-overs

	Budgetary title	Amount	Justification
Title 1	Title 1	0	N/A
Title 2	Title 2	0	N/A
Title 3	Title 3	0	N/A
Title 4	N/A	N/A	N/A

#### Cancelled carry-overs

	Budgetary title	Amount	Justification
Title 1	Title 1	56,536.10	Slight underspending of services delivered by consultant firms, lower rate of administrative missions and trainings.
Title 2	Title 2	23,470.62	Slight underspending of running costs for the EIOPA premises, for hardware not supplied and for legal services.
Title 3	Title 3	102,301.04	Slight underspending of services delivered by information technology firms as well as for software and technical equipment not supplied. Lower rate of administrative missions and meetings held at the EIOPA premises.
Title 4			

2. What are the key performance indicators (outcome/impact) used by the Agencies for measuring the added value provided by their activities, and for enhancing their budget management in this regard? Which KPIs were added / deleted in 2019? Do the Agencies use or plan to introduce other instruments to measure performance?

Performance indicators:

EIOPA uses outcome focused KPIs to capture the benefits of its work. For EIOPA's efforts to drive forward conduct of business regulation and supervision, this included the number of national initiatives taking inspiration from deliverables (reports, thematic reviews etc.) of EIOPA's conduct of business supervision framework and broader consumer protection work.

The objective of leading convergence towards high-quality prudential supervision throughout the EU has seven KPIs, with outcome focused examples including: the technical soundness and participation of EIOPA in the review of the Solvency II insurance regulation; and the number of supervisory or policy actions taken by NCAs following observations and feedback from EIOPA's Oversight team, measures impact in influencing NCA approach to supervision

For EIOPA's objective of strengthening the financial stability of the insurance and occupational pensions sectors, EIOPA monitors the number of citations of its Financial Stability products in research journals and publications from other public institutions in the field of financial stability; and the number of financial stability risks with a material impact, within the agreed scope of the Stress Test, not identified by the exercise materialising within one year of the publish date of the results.

EIOPA did not add or remove any KPIs in 2019. In 2017, EIOPA undertook an exercise to re-think its approach to its KPIs. Following their application over the last years, EIOPA will begin to analyse the usefulness and value of these KPIs in assessing EIOPA's achievements of its strategic ambitions. This will then inform the exercise to define the next set of KPIs.

EIOPA has in 2020, introduced a new reporting mechanism for its MB and BoS, providing on a quarterly basis, information on achievement of its Annual Work Programme. This will be further developed and enhanced to ensure EIOPA's Members are fully informed and engaged with the developments with its work.

4. Have the Agencies identified and evaluated the possibility to coordinate and share resources on overlapping tasks with other Agencies with similar activities?

Reply: As in previous years, in 2019 EIOPA strived to identify opportunities for efficiency and collaborations with other agencies and in particular with the other two Supervisory Authorities (EBA and ESMA) while preserving the confidentiality of the information, where required.

EIOPA has been engaged with the other ESAs during 2019 on all areas related to FinTech, innovation and cyber resilience. A number of joint initiatives and close cooperation have occurred along 2019 with a special attention to the ESAs Joint Advice on Information and Communication Technology risk management and cybersecurity where among other areas the costs and benefits of a coherent cyber resilience testing framework among financial sectors have been analysed and identified as having clear benefits.

The implementation of the EFIF is another good example. The EFIF was established further to the January 2019 Joint ESA report on regulatory sandboxes and innovation hubs which identified a need for action to promote greater coordination and cooperation between innovation facilitators to support the scaling up of FinTech across the single market. Since then a number of events have been organised. The EFIF has been chaired by EBA at the beginning and already in 2020 the Chairmanship was transferred to EIOPA.

Regarding data management EIOPA has started an important collaboration project with EBA and both authorities have been working together on the review of the Data Point Modelling and XBRL in the context of the CRDIV and Solvency 2 major reviews.

5. To what extent has the working program of each agency been implemented and what are the most important achievements?

Reply: EIOPA ended the year with a work programme including 303 different products and services, 91% of which was delivered as planned. The majority of the remaining 9% only experienced minor delays (e.g. into 1st quarter of 2020), often as a result of prioritisation of other more pressing demands, dependencies on external parties such as IT service providers and changing requirements that included external developments (e.g. Brexit).

Key achievements in 2019 included:

- Mitigating and minimising consumer detriment arising from companies running unsustainable business models, in particular through the continued use of cooperation platforms;
- Identifying business models carrying heightened conduct risks to consumers through our thematic review on travel insurance, resulting in a warning to insurers and insurance intermediaries to tackle high commissions for travel insurance products;
- Delivering proposals to increase proportionality in terms of Solvency II reporting requirements for undertakings with a low risk profile;
- Issuing an Opinion on how to integrate climate-related risks in Solvency II, setting out our expectation that insurers play a stewardship role in contributing to climate change adaptation and mitigation;
- Conducting the 2019 occupational pensions stress test that included, for the first time, an assessment of environmental, social and governance exposures;
- Supporting the implementation of the occupational retirement provisions directive (IORP 2) through model Pension Benefit Statements to make it easier for members to take better informed decisions about their retirement savings;
- Taking steps to address issues linked to fairness and ethics, identified in the thematic review on the use of big data analytics in motor and health insurance, through the establishment of an expert group on digital ethics in;



- Commencing work on the technical standards and technical advice for the implementation of the pan-European Personal Pension Product (PEPP);
- Launching of the Solvency II review, with the first set of consultations beginning in July.

6. How many recommendations for improvement have been given by the internal audit service and how many of the recommendations from the previous year have been implemented?

Reply: In September 2019, the Internal Audit Service (IAS) of the European Commission issued the final report for the HR Management and Ethics Audit (2018), which included six recommendations for improvement. EIOPA started immediately the implementation of the agreed action plan and as a result, at the end of 2019 only four recommendations were still open.

Also in 2019 EIOPA continued to implement the remaining recommendations from the Stress Test Audit (2017). The audit was formally closed by the IAS in October, confirming that EIOPA addressed all the recommendations. No other recommendations were still open from previous audits.

Following the Strategic Internal Audit Plan, the IAS started in 2019 also a comprehensive Audit on the Oversight Tools in the Consumer Protection area. The objective of the audit is to assess the design and the effectiveness and efficiency of the management and control systems put in place by EIOPA to manage and implement its activities and actions related to the protection of consumers from unfair business conduct by insurance and pensions sector service providers and, in particular, the oversight tools to monitor and detect any such conduct and behaviour. The outcome of this audit and consequent action plan will be available by the end of 2020.

### *Staff policy*

7. How did the Establishment Plan (officials and temporary agents) of each Agency evolve from 2018 to 2019, taking the data of 31.12.2019 compared with 31.12.2018? How many seconded national experts, contract staff, interim staff and consultants were working for each Agency in 2019, expressed in FTEs?

Number of staff

	Officials (posts filled)	Temporary agents (posts filled)
Establishment plan 31.12.2017-31.12.2018	0	112
Establishment plan 31.12.2018-31.12.2019	0	115

Other staff

	SNEs (FTE)	Contract agents (FTE)	Interim staff (FTE)	Consultants (FTE)
31.12.2019	17	36	1	4

8. Could each Agency present a gender and nationality breakdown of its senior and middle management positions and its management board, and of its staff overall, including as percentage of the total number for each category requested?

	Senior management Male	Senior management Female	Management board - Male	Management board - Female	Staff overall - Male	Staff overall - Female
Austria	0	0	0	0	3	1
Belgium	1	0	1	0	2	4
Bulgaria	0	0	0	0	3	6
Croatia	0	0	0	0	0	4
Cyprus	0	0	0	0	0	0
Czech Republic	0	0	0	0	1	2
Denmark	0	0	0	0	2	1
Estonia	0	0	0	0	1	1
Finland	0	0	0	0	0	1
France	0	0	0	1	4	7
Germany	1	2	1	1	13	14
Greece	1	0	0	0	4	2
Hungary	0	0	0	0	1	1
Ireland	0	0	0	0	3	3

Italy	1	0	1	0	7	11
Latvia	0	0	0	0	0	2
Lithuania	0	0	0	0	1	0
Luxembourg	0	0	0	0	0	0
Malta	0	0	0	0	0	0
Netherlands	1	0	1	0	8	3
Poland	0	0	0	0	1	2
Portugal	1	1	1	0	4	5
Romania	0	0	0	0	5	6
Slovakia	0	0	0	1	0	4
Slovenia	0	0	0	0	1	1
Spain	0	0	0	0	10	5
Sweden	0	0	0	0	0	0
United Kingdom	0	0	0	0	1	1
Norway	0	0	0	0	1	0

Representation expressed as percentage

	% of males in the overall management staff	% of females in the overall management staff	% of males in the overall management board staff	% of females in the overall management board staff	% of males in the overall staff	% of females in the overall staff
Answer	67	33	71	29	49	51

9. How many former MEPs, Commissioners or high-level officials (from AD 14) still receive money from the budget of your institution as advisors, contract agents or others? What are their tasks and their respective salaries?

Reply: At EIOPA we don't have former MEPs, Commissioners or high-level officials (from AD 14) receiving money from the budget of our institution as advisors, contract agents or others.

10. What measures / activities were organised to improve on the well-being for staff in each agency? What were the costs in 2019 and how many staff members participated in these events?

Events/measures taken by the Agency

	Measures/Activities organised to improve on the well-being for staff	Cost of the activities	Number of staff that participated
	Well-being events	12,380.00	124

11. What measures do Agencies use to prevent and fight against harassment? What kind of efforts have the Agencies made to facilitate easy and confidential reporting of internal and external harassment towards their staff? Were there any harassment cases reported, investigated or taken before the court in 2019?

Measures taken by the Agency

	What measures does your Agency use to prevent and fight against harassment?	What measures does your Agency have in place to facilitate easy and confidential reporting of internal and external harassment towards your staff?	In 2019 how many harassment cases were reported/investigated/taken before court?

Reply	<p>EIOPA promotes the development of an organisational culture in which every member of staff feels personally bound to respect and protect the dignity of his/her colleagues, including 'zero-tolerance' awareness campaigns and providing all relevant information on its internal website.</p>	<p>Please indicate your Agency's measures against harassment: What efforts has your Agency made to facilitate easy and confidential reporting of internal and external harassment towards your staff? EIOPA has adopted and monitors closely the Policy protecting the Dignity of the Person against Psychological and Sexual Harassment (Management Board Decision of 12 September 2017 – EIOPA-MB-17/061). A detailed procedure has been defined to implement this Policy, providing useful information to all parties concerned. EIOPA promotes the development of an organisational culture in which every member of staff feels personally bound to respect and protect the dignity of his/her colleagues, including 'zero-tolerance' awareness campaigns and providing all relevant information on its internal website. EIOPA has an internal network of confidential counsellors who have a dedicated communication space in Intranet; they publish there relevant prevention information to the attention of all staff. EIOPA confidential counsellors are well trained to advise staff and to engage in an informal procedure on harassment, should such a need arise. The internal confidential counsellors follow the established procedures in providing anonymous statistical information to the Harassment Prevention Coordinator. EIOPA staff also participated in 2019 in a mandatory training on Psychological and Sexual Harassment in the work place and how to recognise and manage it.</p>	<p>Have there been any harassment cases reported, investigated or taken before the court in 2019? No formal procedure on harassment was reported in 2019.</p>
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		<p>Managers also attend a relevant training session that was more specific to their managerial role. The bellow efforts have been further implemented to raise awareness of psychological and sexual harassment in the workplace: - posters providing information on how to manage difficult situations and whom to contact; - leaflet distributed to all staff providing a brief summary of the harassment policy in EIOPA, contacts of the confidential counsellors and how to recognise psychological and sexual harassment in the workplace; - confidential counsellors attend department meetings to provide in depth information on their role, how the policy on psychological and sexual harassment in the workplace is implemented in EIOPA and the support that staff can request if needed; - conflict management training in-house for all staff; - mindfulness training in-house for both staff and managers; - respect &amp; Dignity survey launched to receive feedback on how well EIOPA is tackling this issue in-house.</p>	
Commen			



12. What was the average absence from work due to sick leave in 2019? How many working hours were lost as a consequence of burnouts or other work-related reasons?

Answer by the Agency

	Average absence from work due to sick leave (in days) in 2019.	Number of working hours lost as a consequence of burnouts or other work related reasons	Comments
Reply	6.2	0	The calculation is based on the average number of sick days per person sick during 2019.

13. Could the Network prepare a comprehensive list of staff-cuts implemented per individual Agency in accordance with the Commission's plan until 2019? How many of these staff-cuts were replaced by Contractual Agents or External experts?

Staff cuts 2013-2019

	Staff cuts per Agency	Contract agents employed	External experts employed	Comments
2013	8	N/A	N/A	The staff reduction for EIOPA (8 positions) was included in the MFF 2014-2020. EIOPA grew from 80 posts in 2013 to 112 (instead of 120) to 2018. Whilst the start-up phase of the Agency was expected to be completed in 2014, a series of new tasks justified
2014	N/A	N/A	N/A	N/A

2015	N/A	N/A	N/A	N/A
2016	N/A	N/A	N/A	N/A
2017	N/A	N/A	N/A	N/A
2018	N/A	N/A	N/A	N/A
2019	N/A	N/A	N/A	N/A

14. Is there any increase of the workload or new tasks designated to each agency and how does it manage to accommodate these to the available staff in 2019? Did your Agency face an increase in workload or new tasks assigned in 2019? How did you accommodate these with the staff available in 2019?

Reply: During 2019, EIOPA experienced an increase in workload as a result of its preparations for assuming new tasks and powers with respect to the Pan European Personal Pensions Product (PEPP) and resulting from the review of the European Supervisory Authorities (ESAs). For PEPP, this included commencing work on the regulation necessary for its implementation, and putting in place the structures, processes and tools for EIOPA to assume its role in registering PEPPs and overseeing their supervision. For the ESAs review, EIOPA had to implement changes to its governance structures before the new regulation applied as of January 2020, and begin work, via a dedicated programme, to adapt existing ways of working and introduce new ones to be ready to deliver multiple new tasks and powers across its core areas of work in supervisory convergence and oversight.

EIOPA was to receive 36 new members of staff with respect to these new tasks and powers. However, the vast majority of the new staff were scheduled to join EIOPA only in 2020 and 2021 and the Authority had to therefore cope with the increased workload due to the new assigned tasks and powers within the existing staffing envelope. Following a major revision of the Annual Work Programme 2019 to incorporate detailed planning for the new tasks and powers, EIOPA was able to estimate the resources required, and then identify existing work for de-prioritisation to free up those resources in favour of the new initiatives.

### *Conflicts of interest and transparency*

15. Could each Agency confirm whether the declarations of conflicts of interest are in place (and public) for their: · management board members · senior management?

Declaration of CoI

	Management board members	Senior management	Comments
Reply	Yes	Yes	EIOPA Management Board members as well as EIOPA's Chair and Executive

			<p>Director are required to submit a declaration on (the absence of) conflicts of interest (Col) on the basis of EIOPA's policy on independence and decision making processes for avoiding conflicts of interests for non-staff and staff respectively. Those Declarations of Interests (DoI) are to be submitted on a bi-annual and annual basis, respectively. Dols are published on EIOPA's website. Where a situation of a Col, not covered by a DoI already submitted, arises, the relevant persons shall inform EIOPA's Ethics Officer immediately and are requested to submit an ad-hoc declaration, following which specific mitigating measures are to be imposed.</p>
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16. Could each Agency confirm if they publish on their website the CVs of their: ·  
management board members · management staff · external experts · in-house experts?

	Management board members	Management staff	External experts	In-house experts	Comments
Answer	Yes	Yes	No	No	

17. What kind of mechanisms do the Agencies use to identify and avoid conflicts of interest, and were there any cases of conflicts of interest reported, investigated and concluded in 2019?

Reply: The identification and avoidance of conflicts of interests (Col) of EIOPA staff members is achieved through the following mechanisms:

- On an annual basis, by requesting the submission of a declaration on Col by EIOPA staff members and Seconded National Experts;
- Upon recruitment, by requesting the submission of a declaration on Col by newcomers before signing an employment contract with EIOPA (including information on spouses' employment which could give rise to a Col);
- By requiring the declaration of spouses' occupational activities if this changes after recruitment;
- By requiring the Appointing Authority's authorisation before engaging in outside activities;
- By requesting the submission of ad hoc declarations of interests for issues not covered by the previous 2 declarations;
- By requesting leavers to inform the Appointing Authority of their subsequent occupation for a period of 2 years after leaving EIOPA;
- By prohibiting senior staff members from engaging in lobbying and advocacy activities towards EIOPA staff members on behalf of their new employer for a period of twelve months after leaving the service (similar obligation might be imposed to other staff members for a shorter period).

These obligations are derived from the EU Staff Regulations and Commission Implementing Rules applicable at EIOPA, and are detailed in EIOPA's Ethics Rules.

The Ethics Officer scrutinises the above declarations (in collaboration with the relevant line manager and, where necessary, the Joint Committee) and the Appointing Authority determines the mitigating measures to be adopted in case an actual or potential Col is identified.

Mitigating measures might comprise restricting access to certain files or re-assigning the person concerned to another Unit.

Regarding Col of EIOPA staff members, a limited number of potential conflict of interests was identified in 2019 (mainly arising from spouses' employment) and relevant mitigating measures were adopted (limiting access to certain files). In addition, one case of actual Col was investigated in 2019. Concerning potential Col of non-staff, a small number of potential conflicts of interests were reported by non-staff. The Ethics Officer assessed in-depth each case and concluded that no actual conflicts were present.

18. For the Agencies that depend on fee collection: how many percent of the Agency's income consist of fees? How does the Agency view in this regard the danger of conflicts of interest for relying on fees from their clients? What kind of mechanism(s) to prevent conflict of interests do the agencies that collect fees from their clients have at their disposal? Would the Agency consider it an appropriate solution if the Commission would collect the fees, and the Agency would hence be fully funded from the EU budget?

Fee financed Agencies

	How many percent of your Agency's income consists of fees	Does the Agency see any potential danger of Col from relying on fees from its clients?	What kind of mechanisms does the Agency use to prevent Col stemming from the collection of fees	Would the Agency consider it an appropriate solution for the Commission to collect the fees and the Agency to be fully funded from the EU budget?
Reply	N/A			

19. Have all the Agencies set up and implemented internal rules or common guidelines on whistleblowing? Could the Agencies provide the number of open, closed and ongoing whistleblowing cases in 2018? Which actions were taken for each of these case and what were the results?

	Has your Agency implemented internal rules or common guidelines on whistleblowing?	Can the Agency provide the number of open/closed/on-going whistleblowing cases in 2019?	What actions were taken for each of these cases and what were the results?	Comments
Reply	Yes	0	N/A	
Comment				

20. Are all meetings with lobbyists, in case such meetings were held: · registered · made public?

Meeting with lobbyists

	Were the meetings registered?	Were the meetings made public?	Comments
Agency meeting with lobbyists	Yes	Yes	EIOPA publishes a record of meetings on its website.

## *Other comments*

21. Which measures did the Agencies implement in 2019 in order to increase their public visibility and online presence? Could you please summarize shortly the actions taken in order to promote the work of the Agencies to EU citizens, and to make services available to the wider public, civil society and academia where appropriate?

Reply: To increase the public visibility, in 2019, EIOPA continued to organise events, workshops and roundtables for its stakeholders. These included the annual conference which attracted approximately 700 participants (400 in the room, 300 through live stream), the Consumer Protection Day (organised jointly with the EBA and ESMA) and the GIS conference. EIOPA also welcomed visitor groups to its premises.

EIOPA staff also participated in events organised by third parties which are a valuable opportunity to explain the organisation's mission and tasks.

To make technical content more accessible to a wider audience, EIOPA developed infographics and factsheets.

EIOPA continued to engage with the media.

EIOPA also launched a 'Back to school/Back to university' initiative encouraging staff to return to the school or university and give a presentation on EIOPA's work and, more broadly, the European Union.

More broadly, EIOPA engages with a wide range of stakeholders, including academics and consumer representatives, through its two stakeholder groups, covering occupational pensions, and insurance and reinsurance.

As regards the online presence, EIOPA continued to work on the development of a new website (launched in February 2020), with improved functionality.

In addition, EIOPA maintained its presence on social media, notably through Twitter, LinkedIn and Facebook.

For the first time, EIOPA streamed its annual conference to reach a wider audience.

22. Which measures did the Agencies implement in 2019 in order to increase their cyber security and protection of the digital records in its possession? Does the Agency have such a policy in place / in a making?

Reply: EIOPA defined its security roles and responsibilities and adopted several policies, procedures and working instructions with the purpose of ensuring the adequate protection of its staff members, assets, information and IT systems. The security approach follows closely the security industry best practices and the European Commission's Security Framework.

A summary of the policies in place:

- EIOPA Security Policy (aligned with the European Commission’s information and IT security framework);
- Classification policy and working instructions on handling EIOPA information, defining the minimum protection requirements based on the information sensitivity;
- Incident reporting and response working instructions;
- Acceptable use policy, to ensure the adequate protection of EIOPA’s IT and communication assets;
- Professional secrecy policy and working instructions, to ensure that the information shared with the Member States and third parties is properly protected and handled;
- Document management policy and filing plans, covering the documents lifecycle, retention and archival requirements.

To increase its cyber security, EIOPA continued the activities for strengthening the resilience against cyber-attacks by enhancing the preventive, detective and response security controls:

- Improved the security of infrastructure, servers and applications by defining very strong security requirements for its data centres and operations. These requirements cover cloud security, covering network and infrastructure security, access control, encryption, preventing denial of services attacks, ensuring the availability of critical services and applications;
- Adopted and operated state of the art security technologies (next generation firewall, secure web and email gateways);
- Continued the project on enhancing email security by implementing encryption between EIOPA and the National Competent Authorities;
- Performed vulnerability assessments and applied patching of vulnerable systems;
- Continued the cooperation with CERT-EU and based on the extended service level agreement performed monitoring, detection and incident response activities;
- Organised phishing simulations and training sessions on cyber-security risks such as phishing, malware.

23. Could the Agencies provide a list of their internal measures in place to: · put in place a comprehensive strategy for sustainable development, including steps to reduce or offset CO<sup>2</sup> emissions? · ensure a cost-effective and environment-friendly working place?

Internal measures in place



	Ensuring cost-effective and environment-friendly working place	Comprehensive strategy for sustainable development, including steps to reduce or offset CO2 emissions?
Answer	<ul style="list-style-type: none"> <li>• In its Workplace Strategy 2020-2022, EIOPA is revising its office layouts with a view to maximising space utilisation and increasing workstation density in line with applicable OSH (Occupational Safety and Health) standards. Measures include the use of open office areas and larger team offices, improved meeting room capacities, and provision of more video conferencing facilities;</li> <li>• EIOPA has adopted a new office allocation and furnishing policy, firmly establishing a shared office principle with only senior managers retaining individual, smaller offices;</li> <li>• By participating in a joint electricity procurement with other tenants, EIOPA is benefitting from substantially lower market prices (-13%) while receiving only green electricity from renewable sources;</li> <li>• Smart central heating system;</li> <li>• Encouraging staff to switch off lights and computers each evening;</li> <li>• Waste separation and recycling of paper, plastic and glass waste;</li> <li>• Reduced printing by making meeting documents available on Extranet;</li> <li>• E-processes/workflows and password required to print documents, to limit print-outs.</li> </ul>	<ul style="list-style-type: none"> <li>• Procured "Environmental management consultancy" to support the implementation of EMAS (the establishment of the environmental policy and management system is on-going; registration for certification is tentatively planned for late-2021);</li> <li>• EIOPA is actively promoting the use of trains and public transportation rather than planes, taxis and private cars;</li> <li>• No official vehicles in use;</li> <li>• EIOPA regularly requests information on carbon footprint on all proposed missions from its travel agency;</li> <li>• EIOPA premises are LEED certified (Gold level);</li> <li>• Drawing on the videoconferencing experiences mandated by the Covid-19 situation, EIOPA is currently revising its policy for on-site meetings with a view of significantly reducing the number of physical meetings in favour of remote participation.</li> </ul>

***Budget and financial management and performance***

1. Could all Agencies illustrate the amounts of planned and unplanned carryovers and of carryover cancellations by budgetary title and the main reasons behind them?

Planned carry-overs (Carry overs from 2018 to 2019 on decision + re-entry)

	Budgetary title	Amount	Justification
Title 1	<b>Staff Expenditure</b>	N/A	N/A
Title 2	<b>Infrastructure and operating expenditure</b>	25,000	The EIT Governing Board decided to carry over appropriations cancelled in 2018 on two administrative budget lines that related to the office space in Brussels (rented since 2018). The new office space needed to be reconstructed. The renovation process started in 2018 and completed in 2019, thus the funds not used in 2018 have been carried over to cover the cost of works and furniture completed and delivered in 2019.
Title 3	<b>Operational expenditure</b>	CA: 1,456,123.92 PA: 8,456,392.02	The EIT Governing Board decided to re-enter commitment appropriations cancelled in 2016 and payment appropriations cancelled in 2016 and 2018, on the budget line 3000 KICs grants for the financial year 2019.
Title 4	<b>Cancelled appropriations</b>	62,652,611.30	The remaining cancelled appropriations are booked on Title 4, where EIT collects cancelled appropriations not needed in the financial year. Title 4 allows to monitor the use of cancelled appropriations in line with the specific derogation in the EIT Financial Regulation following the three-year rule that will come to an end in 2021.

Unplanned carry-overs

	Budgetary title	Amount	Justification
Title 1	N/A	N/A	N/A
Title 2	N/A	N/A	N/A
Title 3	N/A	N/A	N/A
Title 4	N/A	N/A	N/A

Cancelled carry-overs (*Automatic carryover of appropriations corresponding to obligations duly contracted in 2018 (C8)*)

	Budgetary title	Amount	Justification
Title 1	<b>Staff Expenditure</b>	51,466.11	The cancellation derives from training and mission expenses that were over-estimated.
Title 2	<b>Infrastructure and operating expenditure</b>	67,745.84	The cancellation derives from expenses related to IT second level support, public transport reimbursement, postage, telecommunication, legal, OJ publication, meeting and travel cost of GB meetings, which by nature are difficult to estimate.
Title 3	<b>Operational expenditure</b>	N/A	N/A
Title 4	<b>Cancelled appropriations</b>	N/A	N/A

2. What are the key performance indicators (outcome/impact) used by the Agencies for measuring the added value provided by their activities, and for enhancing their budget management in this regard? Which KPIs were added / deleted in 2019? Do the Agencies use or plan to introduce other instruments to measure performance?

Performance indicators:

Reply: Most of the EIT budget (>95%) is implemented by the EIT's "operational arms", the pan-European Knowledge and Innovation Communities (KICs). Therefore, the EIT distinguishes between EIT-level and KIC-level KPIs. The performance of KICs is measured by a set of 11 results-oriented KPIs as follows:

- 1) Graduates from EIT labelled MSc and PhD programmes
- 2) Start-ups created by Graduates from EIT labelled MSc and PhD programmes
- 3) Start-ups created as a result of innovation projects
- 4) Start-ups supported by KICs
- 5) Investment attracted by ventures that receive/have received KIC support
- 6) Products launched on the market (aligned with Horizon 2020)
- 7) Success stories submitted to and accepted by EIT
- 8) External participants in EIT RIS programmes
- 9) Budget consumption of KICs
- 10) Error rate of KICs
- 11) Financial sustainability of KICs

As regards the management of KICs, the EIT measures its own performance by traditional Horizon 2020 KPIs such as time-to-grant and time-to-pay. As far as other operational activities are concerned, the EIT uses specific indicators set out in its Single Programming Document such as the number of countries actively participating in the EIT Regional Innovation Scheme, number of girls aged 12-18 having participated in the EIT's entrepreneurship and leadership trainings, number of universities having been awarded an EIT Label etc.

Which KPIs were added / deleted in 2019?

Reply: None.

Do the Agencies use or plan to introduce other instruments to measure performance?

Reply: As a follow-up to the EIT's mid-term evaluation by the Commission and the EIT Impact Study, the EIT is currently working on establishing an Impact Framework to measure the socio-economic impact of the EIT-KIC activities. The EIT Impact Framework will be aligned with the Horizon Europe impact pathways, as the EIT will be an integral part of the Horizon Europe framework programme.

4. Have the Agencies identified and evaluated the possibility to coordinate and share resources on overlapping tasks with other Agencies with similar activities?

Reply: Yes, EIT identified and evaluated the possibility to coordinate and share resources with CEPOL, which is the other EU agency based in Budapest. This includes joint

procurement and joint trainings of staff, when appropriate. Currently reviewing the possibility of sharing reserve lists, joint solution for IT backup, etc.

5. To what extent has the working program of each agency been implemented and what are the most important achievements?

Reply:

We estimate that 95% of the EIT Work Programme for 2019 has been implemented. In 2019, the participation in the activities of the first six Knowledge and Innovation Communities (EIT Climate-KIC, EIT Digital, EIT InnoEnergy, EIT Health, EIT RawMaterials and EIT Food) increased to more than 2,200 organisations (an increase of almost 600 participations compared to 2018) highlighting the attractiveness of the EIT Community to innovators.

In 2019, EIT Manufacturing and EIT Urban Mobility have successfully achieved legal and operational readiness, piloted innovation, business creation and education activities, prepared their multi-annual strategies and first business plans for activities to be implemented in 2020. Thus, the two new KICs were formally set up and they expected to grow and refine their strategy and operations in the upcoming years.

The highest ever EIT financial contribution of EUR 542.5 million was allocated to the eight EIT's Knowledge and Innovation Communities for the implementation of their 2020 Business Plans. As a result of further simplification efforts, the EIT also managed to keep the average time-to-grant very low (148 days for the 2019 Specific Grant Agreements, which is 40% lower than the Horizon 2020 target of 245 days).

One of the main highlights of the autumn in 2019 was another successful edition of the EIT's annual Innovation Forum, INNOVEIT, which included the EIT Stakeholder Forum, the Innovation Tour as well as the EIT Awards Ceremony. The event showcased 24 of the EIT Community's most successful innovators and gathered over 400 participants, including over 50 journalists, resulting in more than 150 published articles to date. In the margins of the event, the 2019 edition of EIT Alumni CONNECT was organised.

2019 continued to see EIT Community supported innovators succeed. The EIT-supported Northvolt became a unicorn by raising more than USD 1 billion in a round led by Volkswagen, BMW and Goldman Sachs. Soon after, they received a EUR 350 million loan from the European Investment Bank (EIB). The Global Cleantech 100 list and the Forbes 30 under 30 list featured several entrepreneurs and innovators from the EIT Community. Such recognition for EIT Community entrepreneurs clearly affirms the EIT's impact and its unique role in driving innovation across Europe.

6. How many recommendations for improvement have been given by the internal audit service and how many of the recommendations from the previous year have been implemented?

Reply: In 2019 IAS gave 3 recommendations and an issue for consideration to the agency. The EIT reported 2 recommendations from years prior to 2019 as ready for review.

### *Staff policy*

7. How did the Establishment Plan (officials and temporary agents) of each Agency evolve from 2018 to 2019, taking the data of 31.12.2019 compared with 31.12.2018? How many seconded national experts, contract staff, interim staff and consultants were working for each Agency in 2019, expressed in FTEs?

#### Number of staff

	Officials (posts filled)	Temporary agents (posts filled)
Establishment plan 31.12.2017-31.12.2018	0	43
Establishment plan 31.12.2018-31.12.2019	0	44

#### Other staff

	SNEs (FTE)	Contract agents (FTE)	Interim staff (FTE)	Consultants (FTE)
31.12.2019	0	22	11	1

8. Could each Agency present a gender and nationality breakdown of its senior and middle management positions and its management board, and of its staff overall, including as percentage of the total number for each category requested?

	Senior management - Male	Senior management – Female	Management board - Male	Management board - Female	Staff overall - Male	Staff overall - Female
Austria						
Belgium					1	
Bulgaria				1	1	1
Croatia					2	
Cyprus						
Czech Republic						2
Denmark						
Estonia						
Finland				1		
France				1	2	
Germany	1		1		2	1
Greece						1
Hungary			1		9	17
Ireland			1		1	

Italy				1	2	2
Latvia						1
Lithuania				1	1	1
Luxembourg						
Malta					1	
Netherlands			1			1
Poland				1	2	3
Portugal					2	1
Romania					2	3
Slovakia					2	1
Slovenia				1		
Spain					1	1
Sweden						1
United Kingdom						
Norway						

\* 1 Female GB member is, outside of EU (Serbia)



Representation expressed as percentage

%	Senior MT male	Senior MT Female	GB male	GB female	EIT staff male	EIT staff female
Answer	100%	0%	33%	67%	46%	54%

9. How many former MEPs, Commissioners or high-level officials (from AD 14) still receive money from the budget of your institution as advisors, contract agents or others? What are their tasks and their respective salaries?

Reply: In 2019, one former MEP - Ms Romana Jordan, EIT Governing Board member, received honoraria in line with EIT GB Decision 7/2015

10. What measures / activities were organised to improve on the well-being for staff in each agency? What were the costs in 2019 and how many staff members participated in these events?

Events/measures taken by the Agency

Nr	Measures/Activities organised to improve on the well-being for staff	Cost of the activities, EUR	Number of staff that participated
1	Improved schooling policy	288,383.30	All parents of children in kindergarten and/or schooling age – 25 staff members (20 schooling and 5 pre-schooling)
2	Public transport reimbursement for staff and trainees	10,806.00	Applicable to all staff and trainees who do not use office parking and use public transport – estimated 30 persons
3	Funding of sports clubs	7,499.62	Estimated 20 staff members
4	Language courses for staff	9,060.00	Approx. 40 staff
5	Contract for medical services	11,480.40	All staff plus trainees and interim staff (altogether up to 80)
6	Flu vaccinations	372.2	Offered to all staff. Taken by 25 staff.

11. What measures do Agencies use to prevent and fight against harassment? What kind of efforts have the Agencies made to facilitate easy and confidential reporting of internal and external harassment towards their staff? Were there any harassment cases reported, investigated or taken before the court in 2019?

Measures taken by the Agency

	What measures does your Agency use to prevent and fight against harassment?	What measures does your Agency have in place to facilitate easy and confidential reporting of internal and external harassment towards your staff?	In 2019 how many harassment cases were reported/investigated/taken before court?
Reply	Decision on harassment and related guidelines were adopted.	There is an EIT dedicated page on our intranet and a specific functional mailbox on harassment.  Awareness amongst staff is raised via specific training on how to prevent harassment. Staff surveys are organised regularly.	None
Comments	N/A	N/A	N/A

12. What was the average absence from work due to sick leave in 2019? How many working hours were lost as a consequence of burnouts or other work-related reasons?

Answer by the Agency

	Average absence from work due to sick leave (in days) in 2019.	Number of working hours lost as a consequence of burnouts or other work related reasons	Comments
Reply	16.09 days / 20.69 days*	None	* the figure 20.69 also includes long term sick leaves

13. Could the Network prepare a comprehensive list of staff-cuts implemented per individual Agency in accordance with the Commission's plan until 2019? How many of these staff-cuts were replaced by Contractual Agents or External experts?

Staff cuts 2013-2019 – Reply: N/A

14. Is there any increase of the workload or new tasks designated to each agency and how does it manage to accommodate these to the available staff in 2019? Did your Agency face an increase in workload or new tasks assigned in 2019? How did you accommodate these with the staff available in 2019?

Reply:

The EIT's tasks have been growing significantly over the past years. While the EIT managed three Knowledge and Innovation Communities (KICs) from 2010 to 2014, two new KICs started their operations in 2014, a further one has been designated in 2016 and two new ones in 2018. The amount of grant managed by the EIT has increased from 26 million euros (2010) to almost 500 million euros (2019), while the number of beneficiaries (KIC Partners) has increased from 73 (2010) to more than 1500 (2019). This has naturally led to additional work to ensure legality and regularity of transactions and compliance with the principles of sound financial management. In addition, the EIT has taken on board new activities to develop its strong innovation potential, to support KICs' Financial Sustainability and attract funding for the EIT and its KICs under the European Fund for Strategic Investments (EFSI) and invest further into innovative companies, the EIT Regional Innovation Scheme for areas in Europe with lower innovation capacity and outreach and synergies with other programmes and bodies such as the EIT's cooperation with the Joint Research Centre and Copernicus programme. Following its education review, the EIT also has identified further potential for it to lead the transformation of human capital in Europe and contribute to the skills agenda in the areas of entrepreneurship and innovation.

Despite efficiency gains being made and simplification, the EIT will not be able to manage its growing number of KICs and growing annual budget without additional staff resources. One of the main drivers of the workload increase has been the necessity but also opportunity in cross-KIC cooperation. On the one hand, with a growing number of KICs there is a need to ensure coordination and avoid overlaps, which is difficult to achieve in the current model, where KICs have large autonomy in defining their activities. On the other hand, the cooperation among KICs on different thematic areas can create new innovative activities. However, the decentralised nature of the EIT's KIC model did not foresee such cooperation mechanisms, which the EIT is now in the process of introducing. To unleash the impact potential which comes from cross-KIC cooperation, further resources will be required. Furthermore, the potential synergies the EIT could exploit by way of collaboration with the Joint Research Centre, the pilot of the European Innovation Council, the European Fund for Strategic Investments and regional Smart Specialisation Strategies could not all be foreseen in 2013 when the EIT's Strategic Innovation Agenda for 2014-2020 was adopted.

In order to reduce costs, improve efficiency and promote best practices in the area of public procurement, the EIT participates in a number of inter-institutional procurement procedures of the European Commission and of other agencies, in particular, the EIT took part in: the call for interest for call expressions of interests for inter-agency confidential counsellors led by the EMA, procurement procedure for "Broker Services for Advertising Related to Recruitment" organised by EIOPA, and participation in the Management skills Assessment call organised by EIOPA for the recruitment of Heads of Unit. EIT uses several of the Commission's framework contracts for ordering services in order to achieve efficiency gains in its procurement activities. In addition, the EIT has a Memorandum of Understanding with CEPOL, also located in Budapest, covering several joint activities, like for instance, joint training courses or a joint medical tender concluded in 2018. Furthermore, the EIT and CEPOL have carried out a joint public procurement procedure for IT services. The EIT continued to work with CEPOL in 2019 to explore further synergies such as conducting common procurement procedures or sharing services in the future. Finally, the EIT introduced a budget management IT system (Bluebell) and a paperless workflow system (Speedwell), developed by ERC, that has further increased the efficiency of operations. As a result of efficiency gains achieved, the EIT has gained the equivalent of an estimated 2.5 FTE assistant positions. However, these efficiency gains have been immediately absorbed by an increasing workload related to the growing number of KICs, budget and tasks at the EIT.

In perspective, the European Commission's Proposal on the future of the EIT post-2021 (the EIT Legislative Package) foresees no increase in EIT staffing numbers. The increased budget, ambition, and mandate being proposed for the EIT, including the launch of two new EIT KICs, supporting the innovation capacity of 750 European Higher Education Institutions (HEIs), expanding the EIT Regional Innovation Scheme (EIT RIS) to support countries and regions with modest and moderate innovation capacity, as well as, building synergies with other instruments such as the European Innovation Council (EIC), must be matched with an increase to its human resources allocation. Unless this is done, the already critical EIT staffing situation flagged by the European Court of Auditors in 2016 would become more acute; creating conditions that will limit the EIT's impact and possibly even lead to financial risks.

### *Conflicts of interest and transparency*

15. Could each Agency confirm whether the declarations of conflicts of interest are in place (and public) for their: · management board members · senior management?

Declaration of Col

	Management board members	Senior management	Comments
Reply	Yes	Yes	They are published on the EIT website.

16. Could each Agency confirm if they publish on their website the CVs of their: · management board members · management staff · external experts · in-house experts?

	Management board members	Management staff	External experts	In-house experts	Comments
Answer	Yes	Yes	No	N/A	N/A

17. What kind of mechanisms do the Agencies use to identify and avoid conflicts of interest, and were there any cases of conflicts of interest reported, investigated and concluded in 2019?

Reply:

The EIT has in place its own Code of Conduct which was adopted on 21.05.2010 by Decision No 14/2010 of the EIT Governing Board. This Code of conduct applies to all staff. The EIT senior management, as well as the EIT staff, are regularly reminded on their obligation to declare any potential CoI. The Senior Management declarations are published on the EIT website.

As regards additional measures, to be underlined, that all EIT staff members, during the onboarding, participate in the anti-fraud and ethics and integrity training, which also reflects on the CoI. On annual basis, training sessions are organised to refresh and update the staff knowledge on the related matters.

Furthermore, the EIT has also adopted a specific code of conduct for the EIT Governing Board members - Decision 13/2015 of the EIT Governing Board on the code of conduct on conflicts of interest for members of the EIT. This code of conduct identifies the potential sources and instances of conflicts of interest for its Board Members and establishes procedures for the declaration and evaluation thereof.

Finally, the EIT follows the Horizon 2020 conflict of interest rules when selecting external experts. Declarations of interest from each expert are part of the expert contract based on the models devised for Horizon 2020, i.e. the EIT cannot sign a contract with an expert without the declaration having been completed by the expert first. The declarations are reviewed carefully and where conflict of interest is declared, or identified by the EIT, the expert in question is not contracted for the tasks.

18. For the Agencies that depend on fee collection: how many percent of the Agency's income consist of fees? How does the Agency view in this regard the danger of conflicts of interest for relying on fees from their clients? What kind of mechanism(s) to prevent conflict of interests do the agencies that collect fees from their clients have at their disposal? Would the Agency consider it an appropriate solution if the Commission would collect the fees, and the Agency would hence be fully funded from the EU budget?

N/A for the EIT.

19. Have all the Agencies set up and implemented internal rules or common guidelines on whistleblowing? Could the Agencies provide the number of open, closed and ongoing

whistleblowing cases in 2018? Which actions were taken for each of these case and what were the results?

	Has your Agency implemented internal rules or common guidelines on whistleblowing?	Can the Agency provide the number of open/closed/on-going whistleblowing cases in 2019?	What actions were taken for each of these cases and what were the results?	Comments
Reply	Yes	1	The provision of the internal rules applicable in case of whistleblowing.	N/A

20. Are all meetings with lobbyists, in case such meetings were held: · registered · made public?

Meeting with lobbyists

	Were the meetings registered?	Were the meetings made public?	Comments
Agency meeting with lobbyists	N/A	N/A	N/A

### *Other comments*

21. Which measures did the Agencies implement in 2019 in order to increase their public visibility and online presence? Could you please summarize shortly the actions taken in order to promote the work of the Agencies to EU citizens, and to make services available to the wider public, civil society and academia where appropriate?

Reply:

In 2019, the EIT continued to focus its external communications activities on one overarching objective, namely to increase the level of awareness, visibility and understanding of the EIT Community (the EIT and its eight Knowledge and Innovation Communities), its activities and achievements across the European innovation landscape. To achieve this objective, the EIT carried out a comprehensive communications campaign as foreseen in its 2019 Annual Work Programme.

The promotion of the EIT and its wide range of entrepreneurial education, business creation and acceleration services and research driven innovation was achieved through an integrated communications approach across the EIT's external communications tools and channels, including website, social media channels and press engagement. Emphasis was placed on simplifying messages, reaching out to new and less experienced audiences, maximising the use of digital tools



and channels, and strengthening the collaboration with its eight Knowledge and Innovation Communities.

To improve the user experience for visitors to the EIT website, a comprehensive update to the design, menu functionalities was carried out, leading to the launch of an updated website: [www.eit.europa.eu](http://www.eit.europa.eu). These improvements strongly contributed to a **19.4% increase in visitors to the EIT website** in 2019 compared to 2018 with a 18.6% increase in subscribers to the **EIT newsletter**. The re-designed EIT website also created stronger links between EIT social media channels. Social media following increased on all EIT channels in 2019:

Twitter followers 2018: 42600

Twitter followers 2019: 50626

→ **18.8% increase**

LinkedIn followers 2018: 13562

LinkedIn followers 2019: 23579

→ **73.9% increase**

Facebook followers 2018: 52308

Facebook followers 2019: 54221

→ **3.7% increase**

Instagram followers 2018: 1121

Instagram followers 2019: 2283

→ **103.7% increase**

This was achieved through a stronger emphasis on opportunities open to citizens and the promotion of successful ambassadors and success stories emerging from EIT activities.

The EIT also continued to increase its pro-active engagement with media and continued to build good relationships with journalists across Europe. This ensures the EIT's results and activities reach a broader range of stakeholders and citizens, increasing awareness of the EIT Community's impact. This was delivered through the publication of timely press releases about the EIT's activities, the launch of a monthly newsletter targeted specifically at journalists and a dedicated event for journalists at the European Parliament as part of the European Science Media Hub in June 2019, as well as a dedicated programme for journalist during the EIT's annual stakeholder conference, INNOVEIT.

INNOVEIT is the EIT's annual event that brings together hundreds of participants from across business, education, research and civil society to discuss the future of innovation and the EIT Community's key role in boosting innovation across Europe. The event and accompanying promotion campaign on social media also highlight the achievements of inspiring and talented students, entrepreneurs, innovators and women leaders within its Community as part of the EIT Awards. To support the promotion of the EIT Awards, videos of all nominees were commissioned and widely shared across EIT channels:

<https://www.youtube.com/watch?v=nUT4ZptTzy8&list=PLtrbh42hbiPr-zP2glxltvTK89Vst7VCh> and [https://www.youtube.com/playlist?list=PLtrbh42hbiPo06NgU2h8VpHq0\\_QzRgCI1](https://www.youtube.com/playlist?list=PLtrbh42hbiPo06NgU2h8VpHq0_QzRgCI1).

Furthermore, the EIT organises EIT Awareness Days together with national authorities across Europe to ensure national stakeholders' understanding of all the opportunities linked to working with the EIT Community. The EIT also actively participates and is represented in many conferences across Europe to ensure it directly meets and contributes to stakeholders' discussions.

In addition to being available on the EIT website, promoted on social media and the EIT newsletter, all EIT publications are also systematically published in the EU bookshop, ensuring access to all citizens.

22. Which measures did the Agencies implement in 2019 in order to increase their cyber security and protection of the digital records in its possession? Does the Agency have such a policy in place / in a making?

Reply:

EIT is in the process of implementing the General Information Security Policy, including the ICT aspects of cyber security. For the time being, several measures have been implemented.

(2019) VPN (virtual private network) connectivity of laptops to premises

(2019) Virtual Desktop (CITRIX) Multi Factor Authentication

(2019) EC EU-login for MyIntraComm and JSIS Multi Factor Authentication

(2019) Strong Encryption for Password safety (Keypass)

(2019) Account lock after 10 minutes, and account block after 4 wrong attempts

(2019) User Password hardening

(2019) Internet content filtering (protection for malware, ransomware, phishing, virus, Trojans)

- (2019) Firewall updates + Firewall antivirus
- (2019) Increased frequency of endpoint protection/antivirus updates for laptops
- (2019) Increased frequency of security updates for laptops and servers (Microsoft)
- (2019) Remote backups
- (2019) Implementation of Microsoft Advanced Threats Analytics (MSATA)
- (2019) Systems monitoring with preventing and proactive alerts (PRTG)
- (2019) CERT-EU security services
- (2019) Network segregation and port blocking

We continue the already adopted measures in previous years:

- E-mail certificates
- E-mail protection (Microsoft)
- SSL certificate for internal web sites
- SSL certificate for external web sites
- Laptop drive encryption (bitlocker)
- Local backups
- SPLUNK implementation for security log tracing
- CERT-EU security services
- EU-LISA security assessment
- Microsoft SCOM and SCCM

23. Could the Agencies provide a list of their internal measures in place to: · put in place a comprehensive strategy for sustainable development, including steps to reduce or offset CO<sup>2</sup> emissions? · ensure a cost-effective and environment-friendly working place?

Internal measures in place

	Ensuring cost-effective and environment-friendly working place	Comprehensive strategy for sustainable development, including steps to reduce or offset CO2 emissions?
Answer	The EIT purchases Energy Star labelled computers, copiers, printers, kitchen equipment.	Office building has a LEED SILVER certificate issued by US Green Building Council.

	<p>Continuous increase in the number of virtual meetings as well as e-workflows used for financial transactions, document management.</p> <p>Promoted the use of public transportation by way of financial contribution.</p>	
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***Budget and financial management and performance***

1. Could all Agencies illustrate the amounts of planned and unplanned carryovers and of carryover cancellations by budgetary title and the main reasons behind them?

## Planned carry-overs

	Budgetary title	Amount	Justification
Title 1	Staff expenditure	1,381,902.98	Carry-over of 1.2% of T1 appropriations, deemed acceptable.
Title 2	Infrastructure and operating expenditure	8,367,302.12	Carry-over of 16.3% of T2 expenditure, deemed acceptable.
Title 3	Operational expenditure	45,072,597.17	Carry-over of 31.3% of T3 appropriations, due to delays in service implementation and payments as the agency prepared for relocation from London to Amsterdam in Q1/2019.
Title 4	None	n/a	n/a

## Unplanned carry-overs

	Budgetary title	Amount	Justification
Title 1	Staff expenditure	n/a	n/a
Title 2	Infrastructure and operating expenditure	n/a	n/a
Title 3	Operational expenditure	n/a	n/a
Title 4	None	n/a	n/a

## Cancelled carry-overs

	Budgetary title	Amount	Justification
Title 1	Staff expenditure	269,515.05	Cancellation mainly due to variation of SNE and interim staff costs.

Title 2	Infrastructure and operating expenditure	406,480.02	Cancellation of mainly due to the variation of ICT maintenance costs.
Title 3	Operational expenditure	4,306,089.82	Cancellation of 9.15% mainly due to overestimation of project related ICT development costs.
Title 4	None	n/a	n/a

2. What are the key performance indicators (outcome/impact) used by the Agencies for measuring the added value provided by their activities, and for enhancing their budget management in this regard? Which KPIs were added / deleted in 2019? Do the Agencies use or plan to introduce other instruments to measure performance?

Performance indicators:

Which KPIs (outcome/impact) is your Agency using to measure the added value provided by its activities?

Reply: EMA uses a combination of:

- (a) Operational indicators measuring workload volumes, timeliness, etc.
- (b) Management/Governance indicators measuring work programme implementation
- (c) Communication/Stakeholder indicators measuring stakeholder satisfaction, use of services, etc.

Which KPIs is your Agency using to enhance its budget management?

Reply: As in previous years, EMA uses a robust budget planning and monitoring methodology where implementation/execution of each income and expenditure budget line is reviewed on a regular basis (minimum 4 times per year).

Which KPIs did your Agency add/delete in 2019?

No change in 2019.

Does your Agency use or plan to introduce other instruments to measure performance?

Reply: EMA will continue to work with other agencies, through the EUAN, to further develop common approaches to measuring performance.

4. Have the Agencies identified and evaluated the possibility to coordinate and share resources on overlapping tasks with other Agencies with similar activities?

Reply: Reply: Yes

EMA works closely with other decentralised Agencies of the EU, in particular those with similar areas of work. The Agency does not have overlapping tasks with other agencies. EMA and other EU agencies regularly cooperate on joint scientific outputs and exchange support or scientific data to feed into each other's work. EMA has formal working arrangements with its main EU agency partners (ECDC, EFSA, ECHA and EMCDDA), laying out the nature of the collaboration and mutual consultation in areas of common interest.

EMA participates in joint procurements with other EU decentralised agencies e.g. for Personal Protective Equipment (led by FRONTEX) on training and recruitment services (led by EIOPA) or organised itself joint procurements open to other agencies e.g. on interim staff. Finally, the EMA has joined a number of joint procurements with other EU agencies based in the Netherlands e.g. landline telephony (Eurojust, Europol, EMA and JRC) and emergency response training and related goods and services (Europol). The Agency also joins procurements run by the European Commission services, to which agencies are invited to participate, e.g. by DG DIGIT on IT software development, maintenance and support, by DG HR on HR consultancy and training services, by DG COMM on communication services and equipment.

5. To what extent has the working program of each agency been implemented and what are the most important achievements?

Reply: A number of activities and projects that were originally intended to continue in 2019, had to be put on hold during the year, to reassign resources to support the relocation or other critical tasks. To be noted that the Agency managed to successfully maintain the quality and continuity of its operations whilst executing the relocation from its premises in London to Amsterdam.

Most important achievements:

- Activities related to medicines authorisation and supervision have been implemented in line with estimates and at the expected high level of quality.
- Relocation of the Agency has been completed successfully. Business continuity of the Agency's operations related to medicines authorisation and supervision have been assured.
- Initiation of the preparatory work for the implementation of the new Veterinary Regulation (EU 2019/6) and continuation of implementation for the medical devices regulations.
- Majority of Agency staff successfully moved to the Netherlands and remained with the Agency, assuring the agency's ability to carry out vital operations.

- UK product portfolio has been successfully redistributed among members states assuring continuity of supervision of authorised medicines.
- Collaboration with the Dutch authorities ensuring on-time delivery of a fully fitted and furnished, building that is adapted for the Agency’s operations and signing of the agreement for EMA new permanent premises.
- Successful collaboration with national competent authorities and the European Directorate for the Quality of Medicines (EDQM) in tackling the issue of the presence of nitrosamines impurities in human medicines containing chemically synthesised active substances.
- Full implementation by the EU and the United States of the mutual recognition agreement for inspections of manufacturing sites for certain human medicines in their respective territories.
- Continuation of activities related the use of Big Data in medicines regulation including development of an expert report and a roadmap for action.
- Development of the Regulatory Science Strategy for 2025 including multi-stakeholder workshops and a public consultation.

6. How many recommendations for improvement have been given by the internal audit service and how many of the recommendations from the previous year have been implemented?

Reply: In 2019 the Internal Audit Service did not carry out any audit at the EMA.

IAS carried out a risk assessment to prepare their Audit plan for 2020-2022, therefore no recommendations were issued in 2019.

All recommendation from previous years have been implemented.

### *Staff policy*

7. How did the Establishment Plan (officials and temporary agents) of each Agency evolve from 2018 to 2019, taking the data of 31.12.2019 compared with 31.12.2018? How many seconded national experts, contract staff, interim staff and consultants were working for each Agency in 2019, expressed in FTEs?

Number of staff

	Officials (posts filled)	Temporary agents (posts filled)
Establishment plan 31.12.2017-31.12.2018	0-0	583-581
Establishment plan 31.12.2018-31.12.2019	0-0	581-583



Other staff

	SNEs (FTE)	Contract agents (FTE)	Interim staff (FTE)	Consultants (FTE)
31.12.2019	28	187	10	90

8. Could each Agency present a gender and nationality breakdown of its senior and middle management positions and its management board, and of its staff overall, including as percentage of the total number for each category requested?

	Senior management Male	Senior management Female	Management board - Male	Management board - Female	Staff overall - Male	Staff overall - Female
Austria	1	0	0	1	5	8
Belgium	1	0	1	1	10	9
Bulgaria	0	0	1	0	5	14
Croatia	0	0	1	0	2	5
Cyprus	0	0	1	0	0	1
Czech Republic	0	0	0	1	1	16
Denmark	1	0	1	0	3	8
Estonia	0	0	0	1	0	9
Finland	0	0	0	1	2	10
France	2	1	1	1	28	66
Germany	1	2	3	3	20	33
Greece	0	1	2	0	20	34
Hungary	0	1	1	0	3	22
Ireland	3	0	0	1	11	6

Italy	2	1	3	0	42	57
Latvia	0	0	1	0	1	8
Lithuania	1	0	1	0	2	14
Luxembourg	0	0	1	0	0	0
Malta	0	0	2	0	0	0
Netherlands	1	0	1	0	2	5
Poland	0	0	1	0	5	43
Portugal	1	2	1	0	11	28
Romania	0	0	1	0	9	18
Slovakia	0	0	0	1	6	18
Slovenia	0	0	1	0	0	2
Spain	4	2	0	1	29	67
Sweden	0	0	0	1	3	10
United Kingdom	1	1	0	0	23	26
Norway	0	0	0	0	0	2

Representation expressed as percentage

	% of males in the overall management staff	% of females in the overall management staff	% of males in the overall management board staff	% of females in the overall management board staff	% of males in the overall staff	% of females in the overall staff
Answer	63%	37%	71%	29%	31%	69%

9. How many former MEPs, Commissioners or high-level officials (from AD 14) still receive money from the budget of your institution as advisors, contract agents or others? What are their tasks and their respective salaries?

Reply: None.

10. What measures / activities were organised to improve on the well-being for staff in each agency? What were the costs in 2019 and how many staff members participated in these events?

Events/measures taken by the Agency

	Measures/Activities organised to improve on the well-being for staff	Cost of the activities	Number of staff that participated
	Counselling services	EUR 26,233.39	The Agency supported 12 cases in London and 10 in the Netherlands during 2019. Each case was supported by the Agency granting 6 counselling sessions.
	Counselling services through EMA's Employee Assistance Programme (EAP). The Agency has an EAP offered free of charge to its staff. The Programme is run by an external service provider and it offers free and confidential access to qualified legal	EUR 8475 per year	During 2019 the EAP closed 8 counselling cases of which 4 were delivered face to face and 4 over the telephone. Additionally, 6 callers were matched to a suitable counsellor in 2019.

	and finan		
	Activities for all staff and families organised by the Sports and Leisure Club.	EMA supported the EMA Sports and Leisure Club with a subsidy of EUR 36,000	No statistics but open to all staff.
	Relocation support activities for staff and families: • statutory allowances and application processes • changes in expatriation allowance and salary Together with the NL helpdesk (NL government) information events were organised on: • NL schooling, university and childcare, housing/accommodation (buying or renting) • Life in NL • Opening bank accounts with NL • Spouse occupation.	The relocation support activities organised internally by EMA Staff Matters Service had no financial costs allocated. Events organised together with the NL helpdesk were part of the NL government agreement with EMA as part of its relocation services.	Available to all staff and in many cases to their family members.
	Well-being learning programme and training activities.	In 2019 most well-being training activities had to be put on hold to support the move of our offices and staff.	Addressed and open to all staff.

		Some well-being learning activities and programme are gradually resuming for 2020.	
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11. What measures do Agencies use to prevent and fight against harassment? What kind of efforts have the Agencies made to facilitate easy and confidential reporting of internal and external harassment towards their staff? Were there any harassment cases reported, investigated or taken before the court in 2019?

Measures taken by the Agency

	What measures does your Agency use to prevent and fight against harassment?	What measures does your Agency have in place to facilitate easy and confidential reporting of internal and external harassment towards your staff?	In 2019 how many harassment cases were reported/investigated/taken before court?
Reply	The Agency is committed to providing a work environment that is free of harassment and where everyone is treated with respect and dignity. To this effect, the Agency adopted in 2017 new model rules on protecting the dignity of the person and preventing psychological and sexual harassment. This decision consists of three distinct but complementary elements: preventive measures and efforts to raise awareness among staff; an informal procedure to prevent conflict situations and to seek amicable settlements in possible cases of	The Agency has in place an informal procedure to prevent conflict situations and to seek amicable settlements in possible cases of harassment, thereby helping the alleged victim and preventing the situation from deteriorating. The informal procedure takes place through a Confidential Counsellor. They can be approached in confidence by any staff member of any function group and be able to talk over the problem and obtain advice. The role of a Confidential Counsellor is not to take action but to give advice and support; it is for the individual concerned to decide on action to be taken, which could require a formal complaint. The list of confidential counsellors and a Manual for the Informal Procedure	One case of alleged harassment was reported and investigated in 2019 under the formal procedure.

	<p>harassment, thereby helping the alleged victim and preventing the situation from deteriorating; and a formal procedure whereby, if a complaint is made, an administrative investigation can be launched which, depending on the findings, may lead to disciplinary measures.</p>	<p>is published on the Staff Matters intranet. Currently, the Agency has five confidential counsellors for the mandate 2020-2022. Likewise, the Agency publishes information on the rules preventing harassment in its Staff Matters intranet to explain the relevant procedures. All staff are made aware of these rules.</p>	
<p>Commen</p>			



12. What was the average absence from work due to sick leave in 2019? How many working hours were lost as a consequence of burnouts or other work-related reasons?

Answer by the Agency

	Average absence from work due to sick leave (in days) in 2019.	Number of working hours lost as a consequence of burnouts or other work related reasons	Comments
Reply	During 2019 there was an average of 6.98 days of sick leave per staff member.	Not available	<p>The Agency has no reliable statistics from our medical service provider due to change-over of service providers during the Agency's relocation from London to Amsterdam. In addition, since the update of the Data Protection Legislation 2018/1725, in the UK the medical certificates processed by the medical service provider would state the duration of absence, but not the diagnosis.</p> <p>In the Netherlands, doctors do not issue medical certificates at all, and therefore these absences are closely monitored and verified by the Agency's in-house occupational health physician. We started working with the Dutch based medical service in October 2019 and we are working with the service to find ways to identify the types of absences. The data will provide the types of absences at high level.</p> <p>Due to the patient/doctor confidentiality as well as</p>

			data protection legislation, unless the specific staff member would like to share the diagnosis with us as the employer and give permission to the medical service provider, The Agency does not have access to this type of data.
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13. Could the Network prepare a comprehensive list of staff-cuts implemented per individual Agency in accordance with the Commission’s plan until 2019? How many of these staff-cuts were replaced by Contractual Agents or External experts?

Staff cuts 2013-2019

	Staff cuts per Agency	Contract agents employed	External experts employed	Comments
2013	0	99	17	
2014	-12	116	18	
2015	-12	156	33	
2016	-12	143	36	
2017	-13	145	36	
2018	-12	159	32	
2019	0	173	28	The CA figure does not include the exceptional short-term CAs related to Brexit (14 CAs in 2019)

14. Is there any increase of the workload or new tasks designated to each agency and how does it manage to accommodate these to the available staff in 2019? Did your Agency face an increase in workload or new tasks assigned in 2019? How did you accommodate these with the staff available in 2019?

Reply: Increase of the workload and new tasks designated to each agency:

To enable EMA to prepare for and deal with the challenges and impact of the relocation on the Agency's operations, including executing the physical move to the new EMA premises and coping with the loss of staff, while maintaining and continuing the core activities relating to the authorisation, supervision and maintenance of medicines without disruption, and preparation for the new Veterinary Legislation, the Agency has been implementing a phased business continuity plan (BCP) since May 2017, gradually reducing and suspending some of its activities, based on their impact on public health and the Agency's ability to function. Phase 4 of the BCP started on 1 January 2019 allowing the Agency to continue to focus its efforts to safeguard core activities related to the evaluation, maintenance and supervision of medicines during the crucial period of physical relocation.

Most activities that were temporarily suspended or reduced at the end of 2018 as part of earlier stages of EMA's BCP remained on hold in 2019, for example, guideline development (unless exceptions were agreed), engagement in international activities, most working party meetings and the Agency's proactive publication of clinical data.

Coping with additional COVID-19 related tasks in 2020 will make it very challenging to return to normal levels of activity unless additional staff are allocated to the Agency.

### *Conflicts of interest and transparency*

15. Could each Agency confirm whether the declarations of conflicts of interest are in place (and public) for their: · management board members · senior management?

#### Declaration of Col

	Management board members	Senior management	Comments
Repl	Yes	Yes	Management Board members The policy on handling competing interests for Management Board members aligns with the policy on handling competing interests for scientific committees' members and experts. EMA's Management Board adopted the current version of the policy in June 2020. This policy entered into force on 1 July 2020. <a href="https://www.ema.europa.eu/en/documents/other/policy-58-european-medicines-agency-policy-handling-competing-interests-management-board-members_en.pdf">https://www.ema.europa.eu/en/documents/other/policy-58-european-medicines-agency-policy-handling-competing-interests-management-board-members_en.pdf</a> All Management Board members must submit a Dol every year. These are available on the Agency's website. <a href="https://www.ema.europa.eu/en/about-us/who-we-are/management-board/members">https://www.ema.europa.eu/en/about-us/who-we-are/management-board/members</a> EMA Staff In line with the Staff Regulations, the Agency's code of conduct extends the

			<p>requirements for impartiality and the submission of annual Dols to all staff members working at EMA. These requirements also apply to Seconded National Experts, trainees, visiting experts and interims. New staff must dispose of direct interests they hold before they can start to work at EMA. The completed Dols for management staff are published on EMA's corporate website under Agency structure. All other Dols are available on request. The Management Board revised its rules on how the Agency handles potential competing interests of staff members in June 2020. The revised rules are similar to the principles adopted for committee members and experts. They explain the allowable and non-allowable interests for staff, and include controls on the appointment of individuals as responsible for managing the evaluation of medicines.</p> <p><a href="https://www.ema.europa.eu/en/documents/other/decision-rules-relating-articles-11-11a-13-staff-regulations-concerning-handling-declared-interests_en.pdf">https://www.ema.europa.eu/en/documents/other/decision-rules-relating-articles-11-11a-13-staff-regulations-concerning-handling-declared-interests_en.pdf</a></p> <p><a href="https://www.ema.europa.eu/en/documents/other/decision-rules-concerning-handling-declared-interests-national-experts-secondment-trainees-interims_en.pdf">https://www.ema.europa.eu/en/documents/other/decision-rules-concerning-handling-declared-interests-national-experts-secondment-trainees-interims_en.pdf</a></p> <p><a href="https://www.ema.europa.eu/en/about-us/who-we-are">https://www.ema.europa.eu/en/about-us/who-we-are</a></p>
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16. Could each Agency confirm if they publish on their website the CVs of their: ·  
management board members · management staff · external experts · in-house experts?

	Management board members	Management staff	External experts	In-house experts	Comments
Answer	Yes	Yes	Yes	Yes	<p>Management Board members All Management Board members must submit a CV together with their Dol every year. These are available on the Agency's website. <a href="https://www.ema.europa.eu/en/about-us/who-we-are/management-board/members">https://www.ema.europa.eu/en/about-us/who-we-are/management-board/members</a></p> <p>EMA Staff The CV for management staff are published on EMA's corporate website together with their CV under Agency structure. <a href="https://www.ema.europa.eu/en/about-us/who-we-are">https://www.ema.europa.eu/en/about-us/who-we-are</a></p> <p>Experts EMA does not make a distinction between external and in-house expert. EMA considers the European scientific experts who are involved in EMA activities as its "in-house experts". Those experts are nominated by the national competent authorities</p>

				<p>responsible for medicinal products in each MS or are nominated by the EMA. Such 'in-house experts' are not employees of the Agency. The Agency's policy on the handling of competing interests of scientific committees' members and experts allows the Agency to identify cases where the potential involvement of an expert as a member of a committee, working party, other group or in any other Agency activity needs to be restricted or excluded due to interests in the pharmaceutical industry. EMA screens each expert's declaration of interests (DoI) and assigns each DoI an interest level based on whether the expert has any interests, and whether these are direct or indirect. After assigning an interest level, the Agency uses the information provided to determine if an expert's involvement should be restricted or excluded in specific activities of the Agency, such as the evaluation of a particular medicine. It bases these decisions on:</p> <ul style="list-style-type: none"> <li>- the nature of the interests declared;</li> <li>the time since the interest occurred;</li> <li>- the type of activity that the expert will be undertaking.</li> </ul> <p>The current revised policy reflects a balanced approach to handling competing interests that aims to effectively restrict the involvement of experts with possible competing interests in the Agency's work while maintaining EMA's ability to access the best available expertise.</p> <p><a href="https://www.ema.europa.eu/en/documents/other/policy-44-european-medicines-agency-policy-handling-competing-interests-scientific-committees_en.pdf">https://www.ema.europa.eu/en/documents/other/policy-44-european-medicines-agency-policy-handling-competing-interests-scientific-committees_en.pdf</a></p> <p>EMA's Management Board adopted a revised version of the policy in June 2020. This policy will enter into force on 1 January 2021. All experts must submit a DoI, together with their CV, every year. These are available on the Agency's website.</p> <p><a href="https://www.ema.europa.eu/en/about-us/how-we-work/european-medicines-regulatory-network/european-experts">https://www.ema.europa.eu/en/about-us/how-we-work/european-medicines-regulatory-network/european-experts</a></p>
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17. What kind of mechanisms do the Agencies use to identify and avoid conflicts of interest, and were there any cases of conflicts of interest reported, investigated and concluded in 2019?

Reply: Mechanisms

EMA requires Management Board (MB) members to sign a declaration of interests (DoI) and submit a curriculum vitae (CV) every year, or when a change in their interests occurs.

The involvement in MB activities takes into account several factors: the nature of the declared interest, the timeframe of the interest, the type of MB activity, the likelihood of impact on the industry, and the action requested from the MB.

Restrictions for MB members on specific items on the meeting agenda are communicated to the chair and the Board, and noted in the minutes. EMA requires scientific committees' members and experts to sign a DoI and submit a CV every year, or when a change in their interests occurs.

EMA uses the information provided in the DoI to determine if a member or expert's involvement should be restricted/excluded in EMA's specific activities. It bases these decisions on the nature and timeframe of the declared interests, and the type of activity that will be undertaken.

Members proposed for scientific committees have their DoI screened before their formal nomination. Where a member is appointed with declared interests which are incompatible with involvement in Agency's activities, EMA would not allow them to participate.

Meeting arrangements are applied to ensure application of the policy and to provide documented evidence. The outcomes of the DoI evaluation and applicable restrictions are included in the minutes.

EMA immediately restricts members and experts, from any further involvement in the Agency's activities from the date they inform EMA that they intend to take up employment in a pharmaceutical company.

In line with the Staff Regulations, EMA's Code of Conduct extends the requirements for impartiality and the submission of annual DoIs to all EMA staff members, including SNEs, interims, visiting experts, and trainees.

Staff members and/or candidates with declared interests are subject to a documented risk-based assessment, which includes mitigating actions to reduce the risks which are based on the nature of the declared interests, the timeframe of the interests and the type of activity that the staff member will be undertaking are taken into account.

#### Cases in 2019

The number of DoI evaluations of members and experts, MB members and staff members and the number of restrictions identified are not tracked. Evaluations are documented and restrictions applied to the concerned activity.

EMA handles conflicts of interest cases under its breach-of-trust (BoT) procedures for members and experts, and for MB members. It concerns cases where the EMA is informed or becomes aware of incomplete and/or incorrect DoIs where the person potentially did not declare an interest intentionally or through gross negligence or has failed otherwise to meet the obligation under the Agency's policy.

No BoT procedures had to be initiated for MB members in 2019.

In 2019 BoT procedures regarding experts were initiated. Two cases concerned a committee member who accepted a lecture fee from a pharmaceutical company for a presentation at a conference, and another committee member organised a workshop for healthcare professionals on request of a pharmaceutical company.

The committee members were invited to a hearing in order to gather their views on the facts and to provide replies to remaining questions. The outcome of these BoT procedures was that the engagement in the activity or the acceptance of the financial interest was negligence on the part of the members to comply with the EMA policy, but it was unintentional, and it was not through gross negligence. The procedures were closed with a request to study the policy and to attend training on the policy.

The other two cases concerned confidentiality. A committee member and an expert each disclosed the outcome of a non-finalised regulatory procedure in a press release while the committee meeting was still ongoing. The disclosure was unintentional and did not occur through gross negligence therefore no further disciplinary sanctions were required.

In 2019 4 delegates informed EMA of their intention to become an employee in a pharmaceutical company. All were immediately fully restricted from further involvement in any Agency activity.

No cases of conflicts of interests for staff members were noted in 2019.

On leaving EMA, staff are required to seek permission to engage in an occupation within a period of two years of leaving the Agency, in accordance with Article 16 of the Staff Regulations. Applications are reviewed to establish any potential competing interests, and if so required, based on an opinion of EMA's Joint Committee, the Executive Director will issue a decision, which may impose restrictions on the staff member to mitigate any potential competing interests.

In 2019 staff made a total of 34 applications, resulting in 12 authorisations without restrictions, 18 staff authorisations with restrictions, 4 SNE cases had restrictions.

18. For the Agencies that depend on fee collection: how many percent of the Agency's income consist of fees? How does the Agency view in this regard the danger of conflicts of interest for relying on fees from their clients? What kind of mechanism(s) to prevent conflict of interests do the agencies that collect fees from their clients have at their disposal? Would the Agency consider it an appropriate solution if the Commission would collect the fees, and the Agency would hence be fully funded from the EU budget?

Fee financed Agencies

	How many percent of your Agency's income consists of fees?	Does the Agency see any potential danger of Col from relying on fees from its clients?	What kind of mechanisms does the Agency use to prevent Col stemming from the collection of fees?	Would the Agency consider it an appropriate solution for the Commission to collect the fees and the Agency to be fully funded from the EU budget?
Reply	86% of 2019 income consisted of fees.	EMA is of the opinion that receiving fees from industry does not constitute a conflict of interest. Clients pay for a procedure but not for the outcome of a procedure. This	EMA carries out an independent assessment of applications. At the end of the assessment, the Agency gives a recommendation on whether or not a marketing authorisation should be granted. If the Agency does not	In line with the Joint Statement of the European Parliament, the Council of the EU and the European Commission of 19 July 2012 on decentralised agencies, for bodies for which the revenue is constituted by fees and charges in addition to the Union



		<p>means that a company pays at the time of submission of an application to EMA.</p>	<p>recommend a medicine for a marketing authorisation, the company still has to pay. Using an analogy of a driving test, one needs to pay to take a driving test but there is no guarantee of passing the test. This Col management mechanism at the assessment level is a major safeguard to ensure independence of the assessment. Since its establishment, EMA has put in place several layers throughout its scientific evaluation processes to ensure robust and independent scientific reviews. EMA requires scientific committees' members and experts to sign a DoI every year, or when a change in their interests occurs, to ensure that they do not have any financial or other interests in the pharmaceutical industry that could affect their impartiality. The Agency also requires the scientific committees' members and experts to submit a CV. EMA screens each scientific committees' member and expert's e-DoI and assigns an interest level, based on whether the member or expert has any declared interests, and whether these are direct or indirect. EMA uses the information provided to determine if a member or expert's</p>	<p>contribution, fees should be set at a level that avoids a deficit or a significant accumulation of surplus, and should be based on the Agency's workload and related costs, and on the costs of the work carried out by the national competent authorities of the Member States. The fees should be transparent, fair and proportionate to the work carried out. Therefore, regardless of how the fees are collected, there is a direct and inextricable link between the level of the fees collected and the funding requirements of the Agency. If the European Commission was the collector of the fees to simply pass them in any case back on to the Agency, this would simply introduce an unnecessary administrative step for all parties involved in the more complex process. In addition, processing and collecting the fees involves a significant administrative burden and a detailed knowledge of both fee regulations applicable to the Agency. This includes a complex validation process to establish the appropriate fee levels for each individual submission, based on its scientific characteristics. The validation process therefore relies on scientific and regulatory</p>
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			<p>involvement should be restricted or excluded in EMA's specific activities. It bases these decisions on the nature of the declared interests, the timeframe during which such interest occurred and the type of activity that the member or expert will be undertaking. All members and alternates proposed for scientific committees have their DoI screened before their formal nomination. In case that the nominating authority appoints a member or alternate where they have declared interests which are incompatible with involvement in Agency's activities, EMA would not allow this person to participate and informs the nominating authority accordingly. Meeting arrangements are applied to ensure application of the policy, and to provide documented evidence. The outcomes of the DoI evaluation and applicable restrictions are included in the meeting minutes. The meeting minutes of all scientific committees are published on EMA's website. EMA immediately restricts scientific committees' members and experts, from any further involvement in the Agency's activities from the date they</p>	<p>experts with relevant technical expertise within specialised business areas and financial functions. Transferring these executive tasks and workload to the Commission would not generate improved effectiveness or efficiency in this process. Furthermore, should EMA become completely dependent on the Commission in terms of its funding and resource management, and if the industry fees would no longer be earmarked as budget for the Agency, this could be detrimental to the operation of the Agency. The Commission already currently makes proposals for the Agency's establishment plan with no regard to the actual workload and staffing needs of the Agency. This has resulted in a critical situation where the Agency's workload and fee income from like-to-like activities has grown by over 35% over the past years whilst in the same period its number of temporary agents working on these like-to-like activities were reduced by the Commission by 10% causing significant issues for the Agency in delivering its increasing mandate. The Agency tried in the past to mitigate the risk of staff cuts to its legislative obligations by</p>
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		<p>inform EMA that they intend to take up employment in a pharmaceutical company. Thus, as per our reply to Q. 17, the Agency has three policies on the handling of competing interests (for management board, experts, staff), with ex ante and ex posts controls on the implementation of such rules, including an annual report on independence (see more details about these policies on the EMA webpage for handling competing interests: <a href="https://www.ema.europa.eu/en/about-us/how-we-work/handling-competing-interests">https://www.ema.europa.eu/en/about-us/how-we-work/handling-competing-interests</a>). Secondly, the Agency has a system of peer-review of its scientific opinions, whereby each product is separately assessed by a rapporteur and a co-rapporteur and then subject to committee discussion and vote between the Member States. Thirdly, the Agency makes public declarations of interests, assessment reports, agenda and meeting minutes, allowing public scrutiny on how the EMA works and reaches its decisions (transparency). It is also worthwhile to point out that a regulatory system based on fees is a conscious political choice of the EU legislator: as a marketing authorisation</p>	<p>relying on short term or low paid contracts – which is a suboptimal and unsustainable situation for an Agency dealing with innovation, public health and pan-European IT systems, as well as large quantities of confidential and sensitive information. Transferring to the Commission funds paid by applicants for work carried out by the Agency would reduce effectiveness of such fund management since, as shown in the EC’s establishment plan approaches, a short term focus on cost reduction rather than a strategic focus on added-value will be applied to the EMA, which would strongly jeopardise the functioning of the Agency going forward. Finally, we wish to highlight that over the past decades, several national medicines agencies have moved from a central government funding to a fee-based income model which has allowed them to manage their resources much more effectively and subsequently increased the performance of their public health activities. Equally, other leading international regulators (US FDA, Health Canada, TGA) are directly funded by applicant fees enabling to provide public health activities</p>
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			<p>brings considerable economic advantages to the applicant (i.e. access to the EU single market) it is fair that the cost for the scientific assessment and post-authorisation monitoring of its medicinal product is shared by the applicant and not borne exclusively by taxpayers' money (system based only on public funded regulators), otherwise the applicant would benefit twice, i.e. first from accessing the EU market where it can make a profit and secondly for not paying any regulatory costs for accessing it.</p>	<p>attuned to changing needs.</p>
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19. Have all the Agencies set up and implemented internal rules or common guidelines on whistleblowing? Could the Agencies provide the number of open, closed and ongoing whistleblowing cases in 2018? Which actions were taken for each of these case and what were the results?

	Has your Agency implemented internal rules or common guidelines on whistleblowing?	Can the Agency provide the number of open/closed/on-going whistleblowing cases in 2019?	What actions were taken for each of these cases and what were the results?	Comments
Reply	<p>EMA has two policies on whistleblowing in place i.e. one for internal staff and one for external persons.</p> <p><b>Internal whistleblowing:</b></p> <p>EMA first adopted guidelines on whistleblowing as regards staff in 2014. The latter have been revised in June 2018 to ensure full alignment with the Commission’s model decision on the same topic. The internal guidelines implement Articles 22a and 22b of the Staff Regulations, applicable to temporary agents and contract agents pursuant to Articles 11 and 81 of the CEOS, as revised in 2004. They complement the general principle of loyalty to the European Union, the obligation to assist and tender advice to superiors (Article 21) as well as the rules on how to deal with orders which are</p>	<p>There were no <b>internal</b> whistleblowing case reported in 2019.</p> <p>OPEN CASES: External OPEN CASES: External source: 20 reports were received. Majority of the cases regarded allegations of improprieties by pharmaceutical companies on GMP non-compliance or misconduct during manufacture of medicinal products (8 cases) and GCP non-compliance or misconduct during clinical trials (5 cases) Internal source: There were no internal whistleblowing cases reported in 2019. (hence the next columns are not applicable to whistleblowing cases from internal sources and have not been filled out). CLOSED CASES: External source: 24 cases were closed (13 cases opened in 2019</p>	<p>External source: In 6 cases, EMA coordinated the investigation with the involvement of the relevant National Competent Authority (NCA). For 11 cases, the EMA was not competent on the matter and handed the case over to the concerned NCA, i.e. regarding medical devices, food supplements, clinical trials at nation level and stolen medicines. 3 cases were closed due to insufficient information provided by the external sources in order to start investigating the case. None of the other cases entailed the need for EMA to take specific regulatory action.</p>	

	<p>considered to be irregular or likely to give rise to serious difficulties (Article 21a). According to the internal guidelines on whistleblowing, EMA staff members have a duty to report serious irregularities, which they can do in various ways and with the protection of the confidentiality of their identity. The EMA maintains an internal whistleblowing register, which serves also as a basis for sharing anonymised cases with staff in order to raise ethics awareness. Staff members can also report alleged frauds and serious irregularities affecting the financial interests of the EU, in which case the EMA's Anti-Fraud Office will liaise with OLAF for the appropriate follow-up.</p> <p><b>External whistleblowing:</b></p> <p>EMA adopted a policy on the handling of external reports (external whistleblowing) in 2017, i.e. Policy 0072 on handling of information from external sources disclosing alleged improprieties concerning EMA activities on the authorisation, supervision and maintenance of medical products for human and veterinary use. The policy outlines EMA's approach to external sources of information disclosing allegations of improprieties relevant to EMA's competence.</p>	<p>and 11 cases opened in previous years) ONGOING CASES: External source: 7 cases opened in 2019 were still ongoing on 31/12/2019.</p>		
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<p>'Improprieties' are defined as irregularities concerning EMA activities on the authorisation, supervision and maintenance of human and veterinary medicinal products, i.e. any conduct or omission amounting to a violation of any legal provision governing the supervision, evaluation and maintenance of medicinal products for human and/or veterinary use. This does not regard to maladministration at the Agency, but rather has to do with alleged improprieties of non-compliance activities at pharmaceutical companies (or by individuals at companies) that are brought to the attention of the Agency. The policy sets out key principles underlying the handling of the information received from external sources. They relate to the confidentiality of the information received (including management and processing of personal data; the acknowledgement of receipt; the treatment of the information; the interaction with EMA Anti-Fraud Strategy; the analysis of the competence; the transfer of information to other authorities; and the notification to the external source. A dedicated inbox has been created for external sources to report improprieties to the Agency</p>			
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	(reporting@ema.europa.eu).			
Comme		Note: The assessment of new cases always starts promptly, and the concerned competent authorities are contacted in the shortest. possible time. The full assessment in liaison with the competent authorities can take several months, in particular e.g. if an inspection is to be performed and there is an extensive follow-up with the concerned company or with the competent authorities. Due to the Brexit Business Continuity Planning, delays are encountered in the formal closure of some cases.		

20. Are all meetings with lobbyists, in case such meetings were held: · registered · made public?

Meeting with lobbyists

	Were the meetings registered?	Were the meetings made public?	Comments
Agency meeting with lobbyists	N/A Meetings with stakeholders are not 'registered' as such, they are organised in	Yes. Details of meetings with external stakeholders are	The European Medicines Agency is a scientific body responsible for the scientific evaluation, supervision and safety monitoring of medicines in the EU. It is not responsible for the development of pharmaceutical legislation or policies which is the responsibility of the competent Commission Service (DG SANTE). Since 2006 EMA has put in place rules to govern its interactions with



	<p>accordance with the formal stakeholder frameworks described in the comments, with centralised oversight by the Stakeholder and Communications Division.</p>	<p>published on the events area of the EMA website.</p>	<p>stakeholders as described below: EMA Stakeholders are defined as organisations, associations and parties interacting with the Agency, which have an interest in or are influenced by the work of EMA and its partners. The Agency has four key stakeholder groups: Patients &amp; consumers, Healthcare professionals, the Pharmaceutical industry &amp; Academia. Pursuant to Article 78 of Regulation (EC) No 726/2004, which calls for the Agency, its Management Board and its various Scientific Committees to develop contacts with the Agency’s stakeholders, the EMA has developed series of framework documents to formalise its interaction with its main stakeholder groups. In June 2016, EMA’s Management Board adopted an overarching Framework for Stakeholder Relation Management which captures the principles for the management of EMA’s key stakeholder interactions. The framework documents have been developed in consultation with the European Commission (DG SANTE) and highlights transparency as an essential principle in stakeholders’ relation management. In this respect the following transparency measures are in place:</p> <ul style="list-style-type: none"> <li>• Publication of the criteria for stakeholders’ eligibility for participation in EMA activities</li> <li>• Stakeholder organisations with interest to be involved in EMA activities can apply for eligibility and are assessed against the above-mentioned criteria</li> <li>• Stakeholder organisations which fulfil the criteria are placed on a public register of eligible organisations (e.g. register for patients’ organisations) <a href="https://www.ema.europa.eu/en/partners-networks/patients-consumers/eligible-patients-consumers-organisations">https://www.ema.europa.eu/en/partners-networks/patients-consumers/eligible-patients-consumers-organisations</a></li> <li>• Publication of agendas and reports of stakeholder events hosted by EMA</li> <li>• Publication of annual reports on the interaction with each stakeholder group (it is noted that for 2018 no report was produced due to BCP triggered by Brexit and the agency’s relocation; a joint report covering 2018 and 2019 will be published in 2020) With regard to its industry stakeholders in particular, a formalised framework for interactions <a href="https://www.ema.europa.eu/en/documents/other/framework-interaction-between-european-">https://www.ema.europa.eu/en/documents/other/framework-interaction-between-european-</a></li> </ul>
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			<p>medicines-agency-industry-stakeholders_en.pdf was adopted by EMA's Management Board in October 2015. Annual reports of EMA engagement with industry are published. Eligibility criteria for industry stakeholders are also available for this group. These criteria take into account the general principles for stakeholder consultation outlined in the European Commission's Better Regulation package. A list of eligible industry stakeholder organisations, according to these criteria, is publicly available on the EMA website. <a href="https://www.ema.europa.eu/en/documents/other/list-eligible-industry-stakeholder-organisations_en.pdf">https://www.ema.europa.eu/en/documents/other/list-eligible-industry-stakeholder-organisations_en.pdf</a> Similarly, frameworks of interaction with patients and consumers as well as a framework of interaction with healthcare professionals were developed in 2005 and 2011 respectively. They refer to relevant eligibility criteria and identify the modalities of interaction. Regular meetings take place with patients, consumers and healthcare professionals organisations. The related agendas, minutes, and presentations are published on EMSEMA website (e.g. see minutes from meeting with patients and consumers at <a href="https://www.ema.europa.eu/en/committees/working-parties-other-groups/chmp/patients-consumers-working-party/patients-consumers-working-party-meetings">https://www.ema.europa.eu/en/committees/working-parties-other-groups/chmp/patients-consumers-working-party/patients-consumers-working-party-meetings</a> and with healthcare professionals at <a href="https://www.ema.europa.eu/en/committees/working-parties-other-groups/chmp/healthcare-professionals-working-party/healthcare-professionals-working-party-meetings">https://www.ema.europa.eu/en/committees/working-parties-other-groups/chmp/healthcare-professionals-working-party/healthcare-professionals-working-party-meetings</a>). In 2017, a framework for interaction with academia was finalised <a href="https://www.ema.europa.eu/en/documents/regulatory-procedural-guideline/framework-collaboration-between-european-medicines-agency-academia_en.pdf">https://www.ema.europa.eu/en/documents/regulatory-procedural-guideline/framework-collaboration-between-european-medicines-agency-academia_en.pdf</a>. All stakeholder framework documentations are available on the Agency's website. In 2019, EMA hosted fewer stakeholder meetings as the Agency was operating in a business continuity setting due to relocation and Brexit preparedness activities.</p>
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## *Other comments*

21. Which measures did the Agencies implement in 2019 in order to increase their public visibility and online presence? Could you please summarize shortly the actions taken in order to promote the work of the Agencies to EU citizens, and to make services available to the wider public, civil society and academia where appropriate?

Reply: Based on its framework strategy for external communication 2016-2020, EMA developed and implemented a communication plan for 2019. This aimed to increase public visibility in particular by taking advantage of the increased interest in the Agency generated by Brexit and EMA's relocation from the United Kingdom to the Netherlands.

In parallel and in spite of the difficulties faced by the business continuity scenario throughout the year, the Agency maintained its external communication activities and its collaboration with patient-and-consumer and healthcare-professional organisations.

During the year, it published a new suite of information materials explaining the journey of a medicine from the early stages of development, through its assessment by EMA, until its approval and marketing. This included updated web content, a clickable timeline (<https://www.ema.europa.eu/en/from-lab-to-patient-timeline>) and brochure in several EU languages.

The Agency hosted two large multi-stakeholder workshops to finalise its Regulatory Science Strategy to 2025, for human medicines and veterinary medicines, following its release for public consultation. Dedicated meetings were also held to inform stakeholders about revised requirements linked to Brexit, and implementation of legislation on medical devices.

As well as regular meetings of its Patient and Consumer and Health Care Professional Working parties, EMA also organised a multi-stakeholder meeting as part of its evaluation of how to minimise the risk of serious errors seen with the widely used medicine methotrexate. The discussion involved key stakeholders, including patients and healthcare professionals, and resulted in recommendations to strengthen communication between healthcare professionals and patients as well as new communication tools for patients.

EMA strengthened its social media engagement in 2019. EMA's Twitter account grew to 45,200 followers by the end of the year, an increase of 18% compared to 2018. EMA's LinkedIn profile had over 110,000 followers at the end of 2019, an increase of 110% compared to 2018. It also made refinements to its new corporate website throughout the year, focusing on the search functionality.

22. Which measures did the Agencies implement in 2019 in order to increase their cyber security and protection of the digital records in its possession? Does the Agency have such a policy in place / in a making?

Reply: Which measures did the Agencies implement in 2019 in order to increase their cyber security and protection of the digital records in its possession?

The Agency's Information Security strategy 2019-2020 was developed and approved to enhance the Agency's activities in such domains like cyber security, security governance, training and awareness, Identity Governance and risk management and compliance.

The Agency increased its security posture and controls with the completion of various security initiatives, such as:

- Relocation to the EMA final building in Amsterdam validated according to security best practices to mitigate Cyber threats;
- Successful implementation of several audit recommendations related to IT security;
- Online training on IT security essentials rolled out and made mandatory for all staff;
- Several simulation campaigns performed to reinforce staff awareness about IT security;
- Enhancement of Cloud security service;
- Continuous monitoring of IT risk management process and regular review of IT risks.
- Implementation of Information Classification tool in compliance with the Agency Data classification policy.

Does the Agency have such a policy in place / in a making?

Yes, the Agency has approved the Agency "Information Security Policy" and the "Document Classification Policy", the controls described in the policies have been implemented and their compliance to the policies and effectiveness is monitored by the Information Security service.

23. Could the Agencies provide a list of their internal measures in place to: · put in place a comprehensive strategy for sustainable development, including steps to reduce or offset CO<sup>2</sup> emissions? · ensure a cost-effective and environment-friendly working place?

Internal measures in place

	Ensuring cost-effective and environment-friendly working place	Comprehensive strategy for sustainable development, including steps to reduce or offset CO2 emissions?
Answer	In 2016 the Agency adopted and endorsed a comprehensive Environmental Management System and aimed for a registration with European	The Agency's strategy to reduce carbon emission was expansively reflected in the prepared framework aimed for EMAS registration including set objectives and targets. However due to the Agency's

	<p>Commission’s Eco-Management and Audit Scheme (EMAS). Due to the Business Continuity situation that the Agency found itself and the imminent relocation from London to Amsterdam, the planned next step of registration to EMAS to receive certification was put on hold. Taking into consideration that EMAS is site-based, the Agency decided to bring the prepared framework, adjust to new permanent premises in Amsterdam and pursue the registration in 2020. However, The Agency continued to support an environment-friendly working place by number of initiatives: providing laptops for all staff, allowing printing only via ID system for Multifunctional devices (MFDs), default double-sided printing, promoting waste segregation and recycling, supplying food from locally produced goods and procuring services and goods following Green Public Procurement Guidelines. The Agency also developed wide-ranging processes to facilitate remote working for staff.</p>	<p>relocation, and as EMAS is site-based, the targets and objectives were no longer applicable for Agency’s temporary location in Amsterdam. The Agency however continued to monitor its carbon emission coming from running of the office: for 2019 Q1 in EMA’s London location, and for the rest of the year in the Agency’s temporary location made available by The Dutch Government in Amsterdam including water and electricity consumption, waste generation and paper consumption to the extent possible. The Agency did not participate directly in any carbon off-setting programs however aimed to limit its carbon emission by the mentioned-above initiatives focusing on creating environment-friendly working place. It is to be noted that some of the Agency’s subcontractors participated in carbon off-setting programs e.g. catering provider.</p>
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## EMCDDA

### *Budget and financial management and performance*

1. Could all Agencies illustrate the amounts of planned and unplanned carryovers and of carryover cancellations by budgetary title and the main reasons behind them?

#### Planned carry-overs

	Budgetary title	Amount	Justification
Title 1		22 303	Legal obligations assessed for that amount at the end of the financial year
Title 2		254 612	Legal obligations assessed for that amount at the end of the financial year
Title 3		1 462 620	Legal obligations assessed for that amount at the end of the financial year
Title 4			

#### Unplanned carry-overs

	Budgetary title	Amount	Justification
Title 1			
Title 2			
Title 3			
Title 4			

#### Cancelled carry-overs

	Budgetary title	Amount	Justification
Title 1		6 772	negligible difference between assessed legal obligations and implemented expenditure
Title 2		5 789	negligible difference between assessed legal obligations and

			implemented expenditure
Title 3		52 192	negligible difference between assessed legal obligations and implemented expenditure
Title 4			

2. What are the key performance indicators (outcome/impact) used by the Agencies for measuring the added value provided by their activities, and for enhancing their budget management in this regard? Which KPIs were added / deleted in 2019? Do the Agencies use or plan to introduce other instruments to measure performance?

Performance indicators:

A new EMCDDA performance measurement model was put in place in 2019. Following the 'theory of change' approach, this new model identifies a limited number (10) of KPIs, which are used to measure the effectiveness in delivering the desired outputs and the efficiency in using the resources allocated to that end. They are complemented by higher level KPIs that focus on outcomes and impacts. In this regard, the agency's first level impact is measured by the KPI 10: Uptake of EMCDDA evidence/knowledge by policymakers. In line with the remit of the EMCDDA, this KPI tracks the contribution of the agency to informing key drug policy documents/initiatives, such as: the Council implementing decisions to subject NPS to control measures and criminal penalties throughout the EU (within the mechanism established by Regulation (EU) 2017/2101); the EU Policy Cycle for organised and serious international crime for the period 2018-21: implementation of OAP 2019 and support provided to the European Commission and the Member States in formulating OAP 2020; the EU SOCTA; Other EU and national policies and legislation, and UN documents, informed by the evidence produced by the EMCDDA, including: the contribution to the implementation of the EU Action Plan on Drugs 2017-20; the support provided to the EC in the final evaluation of the EU Drugs Strategy 2013-20; and the support to the EC's work on the new European Drug Agenda (2021-25).

In terms of the budget performance, this is measured through the KPI 1: Budget execution, which has the following underlying performance indicators (PIs): PI 1.1. Commitment appropriations – with the target to have minimum of 95 % of the total commitment appropriations executed (in 2019 the result was 100 %, thus overachieving the target); and PI 1.2. Cancellation rate of payment appropriations – with the target to have maximum of 5 % cancelled payment appropriations (in 2019 the result was 0.08 %, thus overachieving the target).

4. Have the Agencies identified and evaluated the possibility to coordinate and share resources on overlapping tasks with other Agencies with similar activities?

Reply: No overlap of tasks has been identified between the EMCDDA and other agencies.

In this context, and in line with the EMCDDA's vision to contribute to a more secure and a healthier Europe, operational synergies and cooperation arrangements have been put in place with other EU agencies to deliver greater value. These synergies mainly concern other EU agencies working in area of Justice and Home Affairs (JHA), in particular Europol, Eurojust and CEPOL, and in the area of Health, namely EMA, ECDC and CHAFEA (Consumers, Health, Agriculture and Food Executive Agency). The objective of these synergies is to maximise the use existing resources, expertise and know-how of the concerned agencies to provide operational and technical support to the Member States and the EU institutions and deliver cross-agency and evidence-based input to the policy and decision-making processes at EU level.

Furthermore, the EMCDDA has explored options to identify areas of strategic and common interest (e.g. money flows and migration) for collaboration and joint outputs with other EU agencies, such as the Fundamental Rights Agency and Frontex.

As far to administrative activities, the EMCDDA has successfully put in place and developed synergies with the European Maritime Safety Agency (EMSA) for corporate and support services and the management of the premises and infrastructures that they share at their seat in Lisbon. These synergies include also ICT, telecommunications and internet-based infrastructures and services.

5. To what extent has the working program of each agency been implemented and what are the most important achievements?

Reply: In terms of corporate performance, in 2019 the agency performed well, both operationally and financially. This was confirmed by the high level of implementation of the 2019 work programme, which was measured by key performance indicator (KPI) 7, 'Work programme delivery'. This KPI was achieved for the level 1 priority outputs/results (i.e. 100 % achieved, in line with the target) and was overachieved for the level 2 priority outputs/results (i.e. 92 % achieved – against the target of 80 %) and the level 3 outputs/results (i.e. 77 % - against the target of 50 %). The agency's performance was also demonstrated by the outstanding performance achieved in terms of budget execution — in 2019, the agency reached the maximum level of performance, with 100 % of commitment appropriations executed.



6. How many recommendations for improvement have been given by the internal audit service and how many of the recommendations from the previous year have been implemented?

Reply: No recommendations from 2019 and there are 3 recommendations arising from the 2018 audit on Management of Publications.

### *Staff policy*

7. How did the Establishment Plan (officials and temporary agents) of each Agency evolve from 2018 to 2019, taking the data of 31.12.2019 compared with 31.12.2018? How many seconded national experts, contract staff, interim staff and consultants were working for each Agency in 2019, expressed in FTEs?

#### Number of staff

	Officials (posts filled)	Temporary agents (posts filled)
Establishment plan 31.12.2017-31.12.2018	2017 - 9 2018 - 9	2017 - 63 2018 - 64
Establishment plan 31.12.2018-31.12.2019	2018 - 10 2019 - 10	2018 - 66 2019 - 66

#### Other staff

	SNEs (FTE)	Contract agents (FTE)	Interim staff (FTE)	Consultants (FTE)
31.12.2019	1	33	2	0

8. Could each Agency present a gender and nationality breakdown of its senior and middle management positions and its management board, and of its staff overall, including as percentage of the total number for each category requested?

	Senior management - Male	Senior management - Female	Management board - Male	Management board - Female	Staff overall - Male	Staff overall - Female
Austria			1			
Belgium	1		1		5	5
Bulgaria	1			1	1	2
Croatia			1			
Cyprus			1			
Czech Republic				1		1
Denmark			1			
Estonia				1		
Finland				1		1
France				1	3	5
Germany				1	2	5
Greece			1			1
Hungary				1		
Ireland			1		4	1

Italy	2			1	5	6
Latvia			1			1
Lithuania				1		
Luxembourg			1		2	
Malta			1			
Netherlands			1		1	
Poland			1			4
Portugal	2		1		15	20
Romania			1		2	1
Slovakia				1		
Slovenia				1		
Spain				1	3	3
Sweden			1			
United Kingdom	1	2		1	5	3
Norway				1		
Turkey			1			

Representation expressed as percentage

	% of males in the overall management staff	% of females in the overall management staff	% of males in the overall management board staff	% of females in the overall management board staff	% of males in the overall staff	% of females in the overall staff
Answer						

9. How many former MEPs, Commissioners or high-level officials (from AD 14) still receive money from the budget of your institution as advisors, contract agents or others? What are their tasks and their respective salaries?

Reply: N/A

10. What measures / activities were organised to improve on the well-being for staff in each agency? What were the costs in 2019 and how many staff members participated in these events?

Events/measures taken by the Agency

	Measures/Activities organised to improve on the well-being for staff	Cost of the activities	Number of staff that participated
	Due to budget constraints the training budget was reduced by more than half. As a result the all staff event was decided to be held every two years. In 2019 the all staff event was therefore not held.		

11. What measures do Agencies use to prevent and fight against harassment? What kind of efforts have the Agencies made to facilitate easy and confidential reporting of internal and external harassment towards their staff? Were there any harassment cases reported, investigated or taken before the court in 2019?

Measures taken by the Agency

	What measures does your Agency use to prevent and fight against harassment?	What measures does your Agency have in place to facilitate easy and confidential reporting of internal and external harassment towards your staff?	In 2019 how many harassment cases were reported/investigated/taken before court?
Reply	Decision of the Management Board of the European Monitoring Centre for Drugs and Drug Addiction (EMCDDA) on the adoption of general provisions for giving effect to the Staff Regulations on building and sustaining a working culture based on dignity and respect, signed on 16 May 2012.	Confidential Counsellors in accordance with the above mentioned decision of the Management Board.	No
Comment			

12. What was the average absence from work due to sick leave in 2019? How many working hours were lost as a consequence of burnouts or other work-related reasons?

Answer by the Agency

	Average absence from work due to sick leave (in days) in 2019.	Number of working hours lost as a consequence of burnouts or other work related reasons	Comments
Reply	10.2	N/A	

13. Could the Network prepare a comprehensive list of staff-cuts implemented per individual Agency in accordance with the Commission's plan until 2019? How many of these staff-cuts were replaced by Contractual Agents or External experts?

Staff cuts 2013-2019

	Staff cuts per Agency	Contract agents employed	External experts employed	Comments
2013	0	24	0	
2014	2	24	0	
2015	2	25	0	
2016	1	28	0	
2017	2	29	0	
2018	1			
2019				

14. Is there any increase of the workload or new tasks designated to each agency and how does it manage to accommodate these to the available staff in 2019? Did your Agency face an increase in workload or new tasks assigned in 2019? How did you accommodate these with the staff available in 2019?

Reply: The EMCDDA has not been assigned any new tasks and its Founding Regulation has remained unchanged. Nevertheless, the Agency has seen an increase in the requests for its input from many stakeholders including, mainly, the EU Institutions and the Member States, on

several areas of current interest in the domain of drugs and drug addiction. For the moment, the EMCDDA has managed to cope with its current staff although sometimes taking the risk of overloading them.

### *Conflicts of interest and transparency*

15. Could each Agency confirm whether the declarations of conflicts of interest are in place (and public) for their: · management board members · senior management?

Declaration of CoI

	Management board members	Senior management	Comments
Reply	Yes	Yes	Publication of Management Board members, substitutes and observers, of the EMCDDA Director and of Scientific Committee experts on EMCDDA public website.

16. Could each Agency confirm if they publish on their website the CVs of their: · management board members · management staff · external experts · in-house experts?

	Management board members	Management staff	External experts	In-house experts	Comments
Answer	Yes (summary)	Yes (Senior Management)	Yes (Scientific Committee)	N/A	The EMCDDA published a summarised CV of the Director and of the members of its Scientific Committee on its website



17. What kind of mechanisms do the Agencies use to identify and avoid conflicts of interest, and were there any cases of conflicts of interest reported, investigated and concluded in 2019?

Reply: The existence of the risk of a conflict of interest is assessed under the authority of the EMCDDA Director. On this basis and, as required, the Director and/or the Management Board adopt the decision aimed at avoiding the conflict of interest.

18. For the Agencies that depend on fee collection: how many percent of the Agency's income consist of fees? How does the Agency view in this regard the danger of conflicts of interest for relying on fees from their clients? What kind of mechanism(s) to prevent conflict of interests do the agencies that collect fees from their clients have at their disposal? Would the Agency consider it an appropriate solution if the Commission would collect the fees, and the Agency would hence be fully funded from the EU budget?

Fee financed Agencies

	How many percent of your Agency's income consists of fees	Does the Agency see any potential danger of Col from relying on fees from its clients?	What kind of mechanisms does the Agency use to prevent Col stemming from the collection of fees	Would the Agency consider it an appropriate solution for the Commission to collect the fees and the Agency to be fully funded from the EU budget?
Reply	N/A			

19. Have all the Agencies set up and implemented internal rules or common guidelines on whistleblowing? Could the Agencies provide the number of open, closed and ongoing whistleblowing cases in 2018? Which actions were taken for each of these case and what were the results?

	Has your Agency implemented internal rules or common guidelines on whistleblowing?	Can the Agency provide the number of open/closed/on-going whistleblowing cases in 2019?	What actions were taken for each of these cases and what were the results?	Comments
Reply	Yes	0		
Comment				

20. Are all meetings with lobbyists, in case such meetings were held: · registered · made public?

Meeting with lobbyists

	Were the meetings registered?	Were the meetings made public?	Comments
Agency meeting with lobbyists	Not applicable.	Not applicable.	Pursuant to the guidelines and recommendations of the European Commission and of the European Ombudsman, in July 2019 the EMCDDA adopted a code of conduct and practical recommendations for the possible interaction of its staff with interest representative

## Other comments

21. Which measures did the Agencies implement in 2019 in order to increase their public visibility and online presence? Could you please summarize shortly the actions taken in order to promote the work of the Agencies to EU citizens, and to make services available to the wider public, civil society and academia where appropriate?

Reply: A significant rise in the number of views of EMCDDA videos was recorded in 2019, with an overall increase in lifetime views of 44.1 % compared with 2018. There were 56 digital campaigns launched, resulting in over 92 600 individual emails to subscribers.

22. Which measures did the Agencies implement in 2019 in order to increase their cyber security and protection of the digital records in its possession? Does the Agency have such a policy in place / in a making?

Reply: Following the recommendations of the SO and the ICT head of unit, the EMCDDA has adopted end of 2019 the advanced services of the CERT-EU in order to increase its capabilities.

23. Could the Agencies provide a list of their internal measures in place to: · put in place a comprehensive strategy for sustainable development, including steps to reduce or offset CO<sup>2</sup> emissions? · ensure a cost-effective and environment-friendly working place?

### Internal measures in place

	Ensuring cost-effective and environment-friendly working place	Comprehensive strategy for sustainable development, including steps to reduce or offset CO2 emissions?
Answer	Cost effectiveness is ensured and monitored through the utilities cost as one of the KPIs, measured towards a set benchmark. Following the adoption of the Environmental Policy of the EMCDDA in 2014, the Agency monitors its environmental performance and carbon footprint in the annual Environmental Report. The Working Group on Environment was established and discusses means of improvement as well	Existing technical solutions to reduce heating and cooling related CO2 were implemented for example solar window film, intelligent lighting systems, LED lights and reduced A/C operating hours. Furthermore, a new generation of PCs and servers has reduced the energy consumption and the related CO2 footprint. Mission related CO2 could be reduced through an increase of video conferencing and an air travel provider that has reduced air mile CO2 through the choice of airline. Waste was reduced in the area of plastic due to the discontinuation of plastic bottles and cups.

	as gives recommendations to the Director to achieve and improve an environmental friendly working place.	
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***Budget and financial management and performance***

1. Could all Agencies illustrate the amounts of planned and unplanned carryovers and of carryover cancellations by budgetary title and the main reasons behind them?

**Planned carry-overs**

	Budgetary title	Amount	Justification
Title 1		160,242	The amount was carried over in order to have a margin of manoeuvre for unforeseen expenses related to staff expenditure.
Title 2		412,256	The amount was carried over in order to have a margin of manoeuvre for unforeseen expenses related to infrastructure and operating expenditure.
Title 3		16,074,967	The amount relates to multi-annual contracts signed in order to carry out the Agency's operational tasks in line with its Founding Regulation.
Title 4		30,361,769	The amount relates to multi-annual contracts signed in order to carry out the Agency's operational tasks in line with its Founding Regulation.

**Unplanned carry-overs**

	Budgetary title	Amount	Justification
Title 1		2,069	This amount should have been decommitted before the 2018 year-end.
Title 2		0	-
Title 3		0	-
Title 4		0	-

## Cancelled carry-overs

	Budgetary title	Amount	Justification
Title 1		54,117	The amount was carried over in order to have a margin of manoeuvre for unforeseen expenses related to staff expenditure for which the final amount cannot be known in exact terms at the moment of the carry over.
Title 2		70,207	The amount was carried over in order to have a margin of manoeuvre for unforeseen expenses related to infrastructure and operating expenditure for which the final amount cannot be known in exact terms at the moment of the carry over.
Title 3		848,531	Two fifth of cancellations relate to operational expert and mission reimbursements linked to events around year-end where exact travel costs were not known in exact terms at the moment of the carry over. More than half of cancellations relate to Cooperation on Coast Guard Functions, which are mainly a result of applying Remotely Piloted Aircraft System (RPAS) services' partial acceptance rate.
Title 4		1,038,287	Most of the de-commitments were resulted from a deduction of the vessel availability fees due to operational reasons. The other part was mostly related to de-commitments of commitments where the exact amount was not known in advance.

2. What are the key performance indicators (outcome/impact) used by the Agencies for measuring the added value provided by their activities, and for enhancing their budget management in this regard? Which KPIs were added / deleted in 2019? Do the Agencies use or plan to introduce other instruments to measure performance?

Performance indicators:

No KPIs were added /deleted in 2019.

Planning and monitoring tools and processes are in place to ensure a close follow-up of the activities and projects and related budget. This provides for aligning activities with objectives, streamlining costs and improving business practices, as well as consistent follow-up of work programme objectives. The Agency is using specific KPIs to measure the implementation of its annual work-programme. As concerns the measuring of the added value, the main instrument is the evaluation of the Agency.

4. Have the Agencies identified and evaluated the possibility to coordinate and share resources on overlapping tasks with other Agencies with similar activities?

Reply: Yes

Efficiency gains and synergies are one of the action areas of the Network of EU decentralised Agencies. In this context, Agencies have already set up many cooperation agreements in order to better coordinate their activities, avoid overlaps and achieve better use of their resources.

EMSA is actively cooperating with other Agencies (EFCA / Frontex) in the framework of the coast guard functions : the 3 Agencies as core of the European interagency cooperation on coast guard functions have been working together to provide the relevant stakeholders with the added value expected when performing cross sector initiatives.

EMSA and the EMCDDA continued to work closely to develop cooperation and synergies with a view to increasing effectiveness, efficiency and save costs given the geographical proximity of the agencies. During the course of 2019 EMSA signed a Service Level Agreement with EFCA regarding the set-up of a back-up mechanism for the accounting function in both Agencies.

5. To what extent has the working program of each agency been implemented and what are the most important achievements?

Reply: The implementation of the Agency's working program is fully outlined in the Agency's Consolidated Annual Activity Report (CAAR) which is also assessed on an annual basis by the Agency's Administrative Board. The Agency's Consolidated Annual Activity Report for 2019 is made available to the EU Citizen and published on the Agency's website.

The Annex II. provides a more detailed overview of the main achievements for 2019.

6. How many recommendations for improvement have been given by the internal audit service and how many of the recommendations from the previous year have been implemented?

Reply: Early 2019, IAS issued the final audit report related to the audit on Visits and Inspections (focusing on the Quality Management System) in EMSA.

IAS concluded that EMSA's management and control systems put in place for Visits and Inspections are adequately designed, efficient and effectively implemented and support the Agency in achieving its strategic objectives. In arriving at the above conclusion, no critical or very important risks that may affect the achievement of the business objectives for the processes audited were identified. Notwithstanding the overall positive conclusion, IAS identified four important recommendations. The Agency accepted all recommendations and, during the course of 2019, took all the necessary actions to address the suggested improvements and there were no pending actions that could have a negative influence on the risks linked to the Agency's activities in 2019. In particular, all action plans stemming from past audits were implemented within the agreed time frame: by 31 December 2019 all action plans, due by year-end, were implemented and all information regarding the completion of actions related to IAS audits was forwarded to IAS for review and formal closing.

### *Staff policy*

7. How did the Establishment Plan (officials and temporary agents) of each Agency evolve from 2018 to 2019, taking the data of 31.12.2019 compared with 31.12.2018? How many seconded national experts, contract staff, interim staff and consultants were working for each Agency in 2019, expressed in FTEs?

#### Number of staff

	Officials (posts filled)	Temporary agents (posts filled)
Establishment plan 31.12.2017-31.12.2018	3	207
Establishment plan 31.12.2018-31.12.2019	3	201

#### Other staff

	SNEs (FTE)	Contract agents (FTE)	Interim staff (FTE)	Consultants (FTE)



31.12.2019	14	33 (includes 3 copernicu staff financed by EMSA budget.)	3,08	0
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8. Could each Agency present a gender and nationality breakdown of its senior and middle management positions and its management board, and of its staff overall, including as percentage of the total number for each category requested?

	Senior management Male	Senior management Female	Management board - Male	Management board - Female	Staff overall - Male	Staff overall - Female
Austria			1	1		
Belgium			1	1	8	13
Bulgaria			2		1	3
Croatia		1	2			1
Cyprus	1		2		2	
Czech Republic	1		2			1
Denmark			2		2	
Estonia			2		2	1
Finland			1	1	1	1
France	1		2		10	1
Germany			2	2	8	3
Greece	2		2		5	4
Hungary			2		1	1
Ireland				2	3	5

Italy	1	1	2		22	7
Latvia			1	1	1	
Lithuania			2			
Luxembourg			1			
Malta	1		2		3	
Netherlands	1		1	1	4	2
Poland		1	1	1	9	4
Portugal			2		45	30
Romania			1	1	4	3
Slovakia			1			2
Slovenia			2			
Spain		2	1		22	12
Sweden				2	1	1
United Kingdom			1	1	7	
Norway			2			

Representation expressed as percentage

	% of males in the overall management staff	% of females in the overall management staff	% of males in the overall management board staff	% of females in the overall management board staff	% of males in the overall staff	% of females in the overall staff
Answer	62	38	79	21	63	37

9. How many former MEPs, Commissioners or high-level officials (from AD 14) still receive money from the budget of your institution as advisors, contract agents or others? What are their tasks and their respective salaries?

Reply: 0

10. What measures / activities were organised to improve on the well-being for staff in each agency? What were the costs in 2019 and how many staff members participated in these events?

Events/measures taken by the Agency

	Measures/Activities organised to improve on the well-being for staff	Cost of the activities	Number of staff that participated
	Organisation of the 37th Assembly of the Agency's staff committees	870 EUR	60
	Beach Clean-up Team Building day	17,910	220
	Christmas party for Children	2,611 EUR	60
	Staff Committee Christmas gathering	3,860 EUR	150

11. What measures do Agencies use to prevent and fight against harassment? What kind of efforts have the Agencies made to facilitate easy and confidential reporting of internal and external harassment towards their staff? Were there any harassment cases reported, investigated or taken before the court in 2019?

Measures taken by the Agency

	What measures does your Agency use to prevent and fight against harassment?	What measures does your Agency have in place to facilitate easy and confidential reporting of internal and external harassment towards your staff?	In 2019 how many harassment cases were reported/investigated/taken before court?
Reply	The Agency provides extensive training on this subject and has made available on its intranet pages a dedicated section to explain to staff what can be done in case a staff member feels it is victim of any form of harassment.	Each and every person working at EMSA, regardless of grade or contract of employment (this includes the trainees), may, if they feel they are the victim of psychological harassment or sexual harassment by a member of staff of EMSA, initiate an informal procedure. The informal procedure foresees the involvement of Confidential Counsellors who are trained and formally appointed, on a voluntary basis, for a two-year renewable mandate by the Executive Director. The appointment of Confidential Counsellors is based on an internal call for applications and selection criteria. The role of the Confidential Counsellors is to support staff members towards making a decision in a neutral and objective manner in order to find a solution and to provide information on the different options available.	0
Commen			

12. What was the average absence from work due to sick leave in 2019? How many working hours were lost as a consequence of burnouts or other work-related reasons?

Answer by the Agency

	Average absence from work due to sick leave (in days) in 2019.	Number of working hours lost as a consequence of burnouts or other work related reasons	Comments
Reply	7	See comments	The Agency does not handle medical data of staff and therefore cannot provide an answer to this question. The average absence from work in 2019 has slightly decreased vs. 2018.

13. Could the Network prepare a comprehensive list of staff-cuts implemented per individual Agency in accordance with the Commission's plan until 2019? How many of these staff-cuts were replaced by Contractual Agents or External experts?

Staff cuts 2013-2019

	Staff cuts per Agency	Contract agents employed	External experts employed	Comments
2013	-2	None of the posts that were cut were replaced by Contract Agents	0	None of the posts that were cut were replaced by Contract Agents or by external experts (EMSA does not employ any external experts)
2014	-3	None of the posts that were cut were replaced	0	None of the posts that were cut were replaced by

		by Contract Agents		Contract Agents or by external experts (EMSA does not employ any external experts)
2015	-3	None of the posts that were cut were replaced by Contract Agents	0	None of the posts that were cut were replaced by Contract Agents or by external experts (EMSA does not employ any external experts)
2016	-5	None of the posts that were cut were replaced by Contract Agents	0	None of the posts that were cut were replaced by Contract Agents or by external experts (EMSA does not employ any external experts)
2017	-4	None of the posts that were cut were replaced by Contract Agents	0	None of the posts that were cut were replaced by Contract Agents or by external experts (EMSA does not employ any external experts)
2018	-3	None of the posts that were cut were replaced by Contract Agents	0	None of the posts that were cut were replaced by Contract Agents or by external experts (EMSA does not employ any external



				experts)
2019	0	NA	0	EMSA does not employ any external experts

14. Is there any increase of the workload or new tasks designated to each agency and how does it manage to accommodate these to the available staff in 2019? Did your Agency face an increase in workload or new tasks assigned in 2019? How did you accommodate these with the staff available in 2019?

Reply: There was no change to the founding regulation that resulted in the new tasks designated to the Agency.

***Conflicts of interest and transparency***

15. Could each Agency confirm whether the declarations of conflicts of interest are in place (and public) for their: · management board members · senior management?

Declaration of Col

	Management board members	Senior management	Comments
Reply	YES	YES	-

16. Could each Agency confirm if they publish on their website the CVs of their: · management board members · management staff · external experts · in-house experts?

	Management board members	Management staff	External experts	In-house experts	Comments
Answer	YES	YES	EMSA does not employ any external experts	EMSA does not employ any external experts	-

17. What kind of mechanisms do the Agencies use to identify and avoid conflicts of interest, and were there any cases of conflicts of interest reported, investigated and concluded in 2019?

Reply: All EMSA staff is extensively trained (compulsory trainings on Ethics and Integrity) and receives information on how to avoid or report (potential) conflicts of interest. The Agency has also made available to all staff guidelines on conflict of interest. At the same time the Agency has implemented Whistleblowing arrangements which are widely recognised as an important tool to detect fraud, corruption and serious irregularities.

Furthermore, Members and Alternates of the Agency’s Administrative Board are requested, before or at the latest at the beginning of each meeting of the Administrative Board, to declare any interest which might be considered prejudicial to the treatment of any item on the agenda.

During the course of 2019 no cases of conflict of interest were reported or investigated.

18. For the Agencies that depend on fee collection: how many percent of the Agency’s income consist of fees? How does the Agency view in this regard the danger of conflicts of interest for relying on fees from their clients? What kind of mechanism(s) to prevent conflict of interests do the agencies that collect fees from their clients have at their disposal? Would the Agency consider it an appropriate solution if the Commission would collect the fees, and the Agency would hence be fully funded from the EU budget?

Fee financed Agencies

	How many percent of your Agency’s income consists of fees	Does the Agency see any potential danger of Col from relying on fees from its clients?	What kind of mechanisms does the Agency use to prevent Col stemming from the collection of fees	Would the Agency consider it an appropriate solution for the Commission to collect the fees and the Agency to be fully funded from the EU budget?
Reply	NA	NA	NA	NA

19. Have all the Agencies set up and implemented internal rules or common guidelines on whistleblowing? Could the Agencies provide the number of open, closed and ongoing whistleblowing cases in 2018? Which actions were taken for each of these case and what were the results?

	Has your Agency implemented internal rules or common guidelines on whistleblowing?	Can the Agency provide the number of open/closed/on-going whistleblowing cases in 2019?	What actions were taken for each of these cases and what were the results?	Comments
Reply	YES	0	NA	
Comment				

20. Are all meetings with lobbyists, in case such meetings were held: · registered · made public?

Meeting with lobbyists

	Were the meetings registered?	Were the meetings made public?	Comments
Agency meeting with lobbyists	Not applicable	Not applicable	

## *Other comments*

21. Which measures did the Agencies implement in 2019 in order to increase their public visibility and online presence? Could you please summarize shortly the actions taken in order to promote the work of the Agencies to EU citizens, and to make services available to the wider public, civil society and academia where appropriate?

Reply: EMSA's communication activities aim to rapidly deliver objective, reliable and easy-to-understand information to the general public and any interested parties. These activities include: updating the website, extranet and intranet; answering external enquiries; supporting EMSA workshops and events; media relations; and publications. Data visualisation is increasingly used for awareness-raising of key activities on multiple channels.

In 2019, EMSA published several key publications (e.g. EMSA Outlook 2019, EMSA Facts & Figures 2018, Annual Overview of Marine Casualties & Incidents), released videos (e.g. EMSA Women in Shipping, EMSA Annual Highlights 2018, EMSA Training for Sulphur Inspectors, First European Conference on Transport Cybersecurity), prepared branded material and created data visualisations (e.g. RPAS maritime surveillance by country, activity and flight hours, maritime casualties).

Various events and initiatives, in some cases in cooperation with authorities from the host state, are organised by the Agency offering the opportunity to increase public understanding of our activities. This includes participation in exhibitions and events with a clear maritime related connotation. The EMSA website contains also number of publications which are of interest to the wider public.

In order to enhance its visibility EMSA is also present on various social media.

22. Which measures did the Agencies implement in 2019 in order to increase their cyber security and protection of the digital records in its possession? Does the Agency have such a policy in place / in a making?

Reply: YES

Digital assets are protected in a multi-layer approach. Main means are:

- External perimeter protection;
- Internal perimeter protection in cooperation with CERT-EU;
- Data availability: business continuity facility in other EU Member State;
- VPN: Secure remote access to the internal network;
- Physical access: controlled with smart card.

What measures did your Agency take to increase its cyber security?

- Cooperation with CERT-EU under SLA EUI agreement;

- Internal Security Team (4 part time employees) to address information security issues;
- Security policies for critical ICT areas;
- Regular IT applications penetration testing.

23. Could the Agencies provide a list of their internal measures in place to: · put in place a comprehensive strategy for sustainable development, including steps to reduce or offset CO<sup>2</sup> emissions? · ensure a cost-effective and environment-friendly working place?

Internal measures in place

	Ensuring cost-effective and environment-friendly working place	Comprehensive strategy for sustainable development, including steps to reduce or offset CO2 emissions?
Answer	EMSA continued to promote a cost-effective and environmentally friendly working place. Green requirements are included in the tender specifications for procurement of cleaning services in regards the products to be used and cleaning techniques; EMSA is also promoting an environmental approach for the recycling of garbage, light bulbs and corks. Electricity power consumption software is installed to monitor future savings after the fitting of LED.	EMSA's Environmental Policy and principles on greening were adopted by the Executive Director. The Environmental Policy confirms EMSA's commitment to apply an environmental management system to all EMSA activities, in line with the EU's EMAS Regulation and ISO 14001. A lunchtime presentation for staff on the EMSA Greening project and EMAS took place, ensuring the active involvement of the entire EMSA staff and management in these projects. Additionally, as staff involvement is a key feature of EMAS, specific information was published on a dedicated page on EMSA's intranet. In 2019 the following greening activities and projects have been carried out: ☑ EMSA started to work on procedures for calculating its carbon footprint resulting from Air-travel. ☑ EMSA's policy banning all single-use plastic: EMSA has replaced all single-use plastic bottles with re-usable glass bottles. All staff was provided with a glass water bottle and several filtered water dispensers were made available at the EMSA premises. Vending machines no longer contain plastic

		<p>bottles. The use of single-use plastic bottles has also been banned at the EMSA canteen, during meetings, recruitment interviews and at all EMSA events. ☑ Use of recycled paper: EMSA started using 100% recycled office paper and envelopes for internal and external communications (letters/notes) offering environmental savings in comparison to virgin fibre paper. ☑ Reduction of paper by digitalization: The Agency has been gradually introducing new electronic workflows to reduce the consumption of paper. ☑ Separation and recycling of different types of waste: Waste sorting and recycling stations are available in each kitchenette and at the EMSA canteen. Waste separation is also assured by the cleaning company to ensure that all waste collected is properly separated and recycled. EMSA recycles paper, plastic, glass, organic waste, batteries (also domestic), lightbulbs and corks. ☑ Conclusion of a new electricity contract foreseeing the possibility of requesting 100% renewable energy: The new electricity contract includes the possibility to request that all the energy provided to EMSA originates from renewable resources. ☑ Application of protective solar films on the building windows: The application of new protective solar films on all windows of the premises contributes to a reduction of energy consumption. New solar film was placed taking into account the best ratio between internal heat / light and protection from external gazing. Different areas of the building now have different types of film applied, according to their specific requirements. This allows for an overall saving of energy and resources. ☑ Analysis of usage of solar panels: During the course of 2019 EMSA conducted a study to analyse the feasibility and cost/benefits of installing solar panels. Following this study, it has been decided to install photovoltaic</p>
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		<p>panels. Due to the small scale of the solar installation (limited area on the roof available for the solar panels) – the contribution of such installation is rather minor in the whole energy consumption in EMSA building however, ensuring investment profit. The installation of these panels, foreseen for 2020, will be directly connected to the internal electrical installation of the building and will allow to auto-consume the produced electric energy. ☑ New flooring from recycled material: EMSA procured new flooring solutions with environmentally certified materials, and purchased carpets made of 100% regenerated nylon thread, derived from recovered fishing nets and other waste. ☑ Full replacement of lightbulbs by LEDs: EMSA started replacing lightbulbs by LEDs in 2016, splitting the project in several areas; the final part was concluded in 2019. ☑ Annual preventive and corrective maintenance of EMSA bicycles: EMSA made available some bicycles for personal use by EMSA staff. This measure intends to promote sustainable transportation options and healthy activities among staff. ☑ A “Green” teambuilding day was organised with a beach cleaning exercise</p>
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***Budget and financial management and performance***

1. Could all Agencies illustrate the amounts of planned and unplanned carryovers and of carryover cancellations by budgetary title and the main reasons behind them?

**Planned carry-overs**

	Budgetary title	Amount	Justification
Title 1	Expenditure relating to staff	EUR 527 606,3	To cover contractual commitments related to interim services, schooling and crèche allowances, consultant services in the areas of financial consultancy, training, audit and HR support, and other staff welfare measures.
Title 2	Buildings, IT and other expenditures	EUR 323 627,64	To cover contractual commitments related to IT services and IT equipment.
Title 3	Operational expenditure	EUR 381 029,46	To cover contractual commitments related to operations – experts, missions, communication activities and event organisation
Title 4	N/A (not applicable)		

**Unplanned carry-overs**

	Budgetary title	Amount	Justification
Title 1	Expenditure relating to staff	EUR 0	N/A
Title 2	Buildings, IT and other expenditures	EUR 0	N/A
Title 3	Operational expenditure	EUR 0	N/A
Title 4	N/A		

**Cancelled carry-overs**



	Budgetary title	Amount	Justification
Title 1	Expenditure relating to staff	EUR 22 057,73	Staff benefits expenditure were lower than initially expected (in particular crèche allowances)
Title 2	Buildings, IT and other expenditures	EUR 505,40	IT expenditure were lower than initially expected
Title 3	Operational expenditure	EUR 39 958,37	Operational expenditure were lower than initially expected (in particular missions and event organisation)
Title 4	N/A		

2. What are the key performance indicators (outcome/impact) used by the Agencies for measuring the added value provided by their activities, and for enhancing their budget management in this regard? Which KPIs were added / deleted in 2019? Do the Agencies use or plan to introduce other instruments to measure performance?

Performance indicators:

ENISA's KPIs provide the metrics to measure performance, results and impact of the Agency's outcomes and output.

ENISA's Key performance indicators (KPIs) are mainly defined in the Annual Work Programme as disclosed in the Single Programming Document. KPIs are formally monitored on quarterly basis through a Management Report for which a traffic light system has been adopted to ensure that objectives and deadlines will be met. Corrective actions are also proposed in case the objectives are at risk of not being met. At year-end, all KPIs are consolidated and included in the Annual Activity Report.

Operational KPIs are specific to each output and related deliverables. KPIs include quantitative (number of publication on a specific topic, number of participant to an event, references to ENISA's work, number of Member States, stakeholders, communities engaged in discussions or workshops etc...) and qualitative indicators (stakeholder's satisfaction in relation with a deliverable, etc.).

Budget management KPIs are composed of the following: Commitments % (C1), Payments % (C1), Payments % (C8), Payments in time (C1 & C8), Average time to pay invoices and number of exceptions/derogation.

Other KPIs also covers HR activities (vacancy rate, time to recruit, etc...) and IT activities (IT systems availability, cybersecurity incidents, etc...).

It is worth noting that, following its new mandate, the 2019 Cybersecurity Act conferring ENISA greater competences and resources, the Agency is currently reviewing its current set of KPIs and will adopt a new set of indicators as from 2021.

4. Have the Agencies identified and evaluated the possibility to coordinate and share resources on overlapping tasks with other Agencies with similar activities?

Reply:

As ENISA is always striving to optimise its resources, ENISA participates actively to the Performance Development Network (PDN) of Agencies and other Network for Agencies (such as the Procurement and the Accounting ones).

These networks are important to identify areas for which collaboration with other Agencies are feasible to increase overall efficiency and to avoid duplication of efforts.

In particular, given its geographical proximity and the limited size of both agencies, a specific Service Level Agreement was signed in May 2020 between ENISA and Cedefop to further seek efficiency gains of sharing services between the two agencies and to share knowledge, expertise and best practices across the two agencies.

5. To what extent has the working program of each agency been implemented and what are the most important achievements?

Reply:

ENISA successfully carried out its work programme throughout 2019 and managed the transition to its new mandate in a smooth fashion. In addition to delivering on its core work programme, ENISA also supported the Commission and the Member States in responding to priorities that arose during the course of the year – notably the need to ensure the security of the European Parliament elections and the support for the Commission’s 5G action plan.

For further detail, please see ENISA's Annual Report 2019 available using this link:

<https://www.enisa.europa.eu/publications/corporate-documents/enisa-annual-activity-report-2019>

6. How many recommendations for improvement have been given by the internal audit service and how many of the recommendations from the previous year have been implemented?

Reply:

The IAS audit report on stakeholders’ involvement in deliverables was issued in June 2018. Five audit recommendations were issued during this audit. ENISA set up a specific task force to ensure the adequate implementation of the action plan agreed with the IAS. As of the end of 2019, four recommendations were considered closed by the IAS. One important recommendation was still pending as relevant procedures needed to be revised and approved internally.

The IAS audit report on human resources management and ethics was issued in September 2019. Four important and three very important recommendations were issued for this audit. An action plan was devised and agreed with the IAS. All issues should be addressed by the end of 2020.

In 2019, no other audit was conducted by the IAS.

In 2020, the IAS has performed a risk assessment to determine the next audit topics for the period 2021-2023.

### *Staff policy*

7. How did the Establishment Plan (officials and temporary agents) of each Agency evolve from 2018 to 2019, taking the data of 31.12.2019 compared with 31.12.2018? How many seconded national experts, contract staff, interim staff and consultants were working for each Agency in 2019, expressed in FTEs?

#### Number of staff

	Officials (posts filled)	Temporary agents (posts filled)
Establishment plan 31.12.2017-31.12.2018	N/A (no official posts)	31.12.2017 we filled 42 TA (29 AD and 13 AST)  Authorised under EU budget 2017 48 TA (34 AD and 14 AST)
Establishment plan 31.12.2018-31.12.2019	N/A (no official posts)	31.12.2018 we filled 44 TA (32 AD and 12 AST)  Authorised under EU budget 2018 47 TA (32 AD and 12 AST)  31.12.2019 we filled 51 TA (34 AD and 13 AST)  Authorised under EU budget 2019 59 TA (43 AD and 16 AST)

#### Other staff

	SNEs (FTE)	Contract agents (FTE)	Interim staff (FTE)	Consultants (FTE)
31.12.2019	4	26	30	2

8. Could each Agency present a gender and nationality breakdown of its senior and middle management positions and its management board, and of its staff overall, including as percentage of the total number for each category requested?

	Senior management Male	Senior management Female	Management board - Male	Management board - Female	Staff overall - Male	Staff overall - Female
Austria			1			
Belgium			1		3	2
Bulgaria			1		1	1
Croatia			1			
Cyprus			1		1	1
Czech Republic			1			1
Denmark			1			
Estonia	1 (from 16/10/19 to 31/12/19)		1		1	
Finland			1			
France			1		2	2
Germany	1 (from 01/01/19 to 15/10/19)		1		2	
Greece			1		17	15
Hungary			1			

Ireland			1			
Italy				1	2	2
Latvia				1	1	1
Lithuania			1			1
Luxembourg			1			
Malta			1			
Netherlands			1		2	
Poland			1		1	1
Portugal	1		1		3	1
Romania			1		1	3
Slovakia			1			1
Slovenia			1			
Spain				1	2	1
Sweden			1			1
United Kingdom	1		N/A (Brexit)	N/A (Brexit)	2	
Norway				1		

Representation expressed as percentage

	% of males in the overall management staff	% of females in the overall management staff	% of males in the overall management board staff	% of females in the overall management board staff	% of males in the overall staff	% of females in the overall staff
Answer	100%	0%	86%	14%	55%	45%

9. How many former MEPs, Commissioners or high-level officials (from AD 14) still receive money from the budget of your institution as advisors, contract agents or others? What are their tasks and their respective salaries?

Reply:

None

10. What measures / activities were organised to improve on the well-being for staff in each agency? What were the costs in 2019 and how many staff members participated in these events?

Events/measures taken by the Agency

	Measures/Activities organised to improve on the well-being for staff	Cost of the activities	Number of staff that participated
	Manage your stress activity (Yoga)	Maximum amount: EU 5 040  (60 EUR per month - staff member claiming reimbursement)	7
	Food Vouchers (to compensate the absence of internal canteen)	Maximum amount: EU 97 680  (110 EUR per month- staff member)	74


11. What measures do Agencies use to prevent and fight against harassment? What kind of efforts have the Agencies made to facilitate easy and confidential reporting of internal and external harassment towards their staff? Were there any harassment cases reported, investigated or taken before the court in 2019?

Measures taken by the Agency

	What measures does your Agency use to prevent and fight against harassment?	What measures does your Agency have in place to facilitate easy and confidential reporting of internal and external harassment towards your staff?	In 2019 how many harassment cases were reported/investigated/taken before court?
Reply	<p>We are holding annual awareness trainings for staff and managers. We have launched a new call for expression of interest for confidential counsellors to be selected.</p> <p>We participated in 2019 in an inter-agency call for confidential counsellor selection.</p>	<p>ENISA provides confidential counselling.</p> <p>ENISA has a dedicated internal page where all relevant information is displayed.</p>	None
Comment			



12. What was the average absence from work due to sick leave in 2019? How many working hours were lost as a consequence of burnouts or other work-related reasons?

Answer by the Agency

	Average absence from work due to sick leave (in days) in 2019.	Number of working hours lost as a consequence of burnouts or other work related reasons	Comments
Reply	12,27	This information is not available as it concerns confidential medical information.	

13. Could the Network prepare a comprehensive list of staff-cuts implemented per individual Agency in accordance with the Commission's plan until 2019? How many of these staff-cuts were replaced by Contractual Agents or External experts?

Staff cuts 2013-2019

	Staff cuts per Agency	Contract agents employed	External experts employed	Comments
2013				
2014				
2015				
2016				
2017				
2018	1 AST			
2019				ENISA has been conferred greater competences and resources following the adoption of the CSA.

14. Is there any increase of the workload or new tasks designated to each agency and how does it manage to accommodate these to the available staff in 2019? Did your Agency face an increase in workload or new tasks assigned in 2019? How did you accommodate these with the staff available in 2019?

Reply: In 2019, the role of ENISA was further bolstered by means of Regulation (EU) 2019/881 (Cybersecurity Act). ENISA has been conferred greater competences and resources following the adoption of this regulation. The purpose of the EU cybersecurity certification framework under the Regulation (EU) 2019/881 is to establish and maintain trust and security on cybersecurity products, services and processes. Drawing up cybersecurity certification schemes at EU level aims at providing criteria to carry out conformity assessments to establish the degree of adherence of products, services and processes against specific requirements. Users and service providers alike, need to be able to determine the level of security assurance of the products, services and processes they procure, make available or use; cybersecurity certification calls for appropriate stakeholders' involvement and support.

### *Conflicts of interest and transparency*

15. Could each Agency confirm whether the declarations of conflicts of interest are in place (and public) for their: · management board members · senior management?

Declaration of Col

	Management board member	Senior management	Comments
Reply	Yes	Yes for the Executive Director	For further details, please see <a href="https://www.enisa.europa.eu/about/enisa/procedures-and-policies/conflicts-of-interest">https://www.enisa.europa.eu/about/enisa/procedures-and-policies/conflicts-of-interest</a>

16. Could each Agency confirm if they publish on their website the CVs of their: · management board members · management staff · external experts · in-house experts?

	Management board member	Management staff	External experts	In-house experts	Comments
Answer	Yes	Only Executive Director	No	No	For further details, please see <a href="https://www.enisa.europa.eu/about/enisa/structure-organization/management-board/mb2019">https://www.enisa.europa.eu/about/enisa/structure-organization/management-board/mb2019</a>

17. What kind of mechanisms do the Agencies use to identify and avoid conflicts of interest, and were there any cases of conflicts of interest reported, investigated and concluded in 2019?

Reply:

Management of conflict of interest is governed by ENISA’s financial rules as well by Management Board and Executive Director decisions. A specific procedure exists for the hiring of experts and third parties to mitigate any risk of conflict of interests. All documents are accessible for staff Members on the Intranet. No case of conflicts of interest reported, investigated and concluded in 2019.

18. For the Agencies that depend on fee collection: how many percent of the Agency’s income consist of fees? How does the Agency view in this regard the danger of conflicts of interest for relying on fees from their clients? What kind of mechanism(s) to prevent conflict of interests do the agencies that collect fees from their clients have at their disposal? Would the Agency consider it an appropriate solution if the Commission would collect the fees, and the Agency would hence be fully funded from the EU budget?

Fee financed Agencies

	How many percent of your Agency’s income consists of fees	Does the Agency see any potential danger of Col from relying on fees from its clients?	What kind of mechanisms does the Agency use to prevent Col stemming from the collection of fees	Would the Agency consider it an appropriate solution for the Commission to collect the fees and the Agency to be fully funded from the EU budget?
Reply	N/A	N/A	N/A	N/A

19. Have all the Agencies set up and implemented internal rules or common guidelines on whistleblowing? Could the Agencies provide the number of open, closed and ongoing whistleblowing cases in 2018? Which actions were taken for each of these case and what were the results?

	Has your Agency implemented internal rules or common guidelines on whistleblowing?	Can the Agency provide the number of open/closed/on-going whistleblowing cases in 2019?	What actions were taken for each of these cases and what were the results?	Comments
Reply	Yes	0	N/A	
Comment				

20. Are all meetings with lobbyists, in case such meetings were held: · registered · made public?

Meeting with lobbyists

	Were the meetings registered?	Were the meetings made public?	Comments
Agency meeting with lobbyists	N/A	N/A	ENIS does not interact with lobbyists per se.

## Other comments

21. Which measures did the Agencies implement in 2019 in order to increase their public visibility and online presence? Could you please summarize shortly the actions taken in order to promote the work of the Agencies to EU citizens, and to make services available to the wider public, civil society and academia where appropriate?

Reply:

One key objective of ENISA is raise awareness on cybersecurity topics at the EU level. ENISA is committed to engage relevant communities ranging from civil society to public organisations in order to promote its work. To that end and as part of its 2019 annual work programme, ENISA produced 55 reports on a variety of subjects pertaining to the current cybersecurity environment. Furthermore, the Agency was also active in various awareness raising activities for which The European Cybersecurity Month and the Cybersecurity Challenge are key examples.

22. Which measures did the Agencies implement in 2019 in order to increase their cybersecurity and protection of the digital records in its possession? Does the Agency have such a policy in place / in a making?

Reply:

ENISA is the cybersecurity agency and is vigilant that its cybersecurity is constantly up to the highest standard. The Agency has developed several internal policies to ensure its cybersecurity but also to ensure its compliance with its digital records as required by the data protection legal framework.

23. Could the Agencies provide a list of their internal measures in place to: · put in place a comprehensive strategy for sustainable development, including steps to reduce or offset CO<sup>2</sup> emissions? · ensure a cost-effective and environment-friendly working place?

Internal measures in place

	Ensuring cost-effective and environment-friendly working place	Comprehensive strategy for sustainable development, including steps to reduce or offset CO2 emissions?
Answer	While ENISA has not yet adopted a formal environment management policy. The Agency still implemented greening measures in 2019 such as: recycling of office materials,	While ENISA has not yet developed a comprehensive strategy for sustainable development, the Agency will aim to implement a carbon off setting schemes to compensate its CO2 emission resulting from the travelling requirements in fulfilling its

	reduction in electricity usage for lighting and heating/cooling, the use of video conferencing equipment instead of physical meetings involving travel, use of teleworking, provision of bicycle racks to promote the use of public transport, implementing Green Public Procurement (GPP).	mission and objectives.
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***Budget and financial management and performance***

1. Could all Agencies illustrate the amounts of planned and unplanned carryovers and of carryover cancellations by budgetary title and the main reasons behind them?

## Planned carry-overs

	Budgetary title	Amount	Justification
Title 1	STAFF EXPENDITURE	200,935.03	Concerning all titles, the services/good have been started and/or provided in 2019 but the invoices have been only received in 2020.
Title 2	INFRASTRUCTURE AND ADMINISTRATIVE EXPENDITURE	594,438.09	Concerning all titles, the services/good have been started and/or provided in 2019 but the invoices have been only received in 2020.
Title 3	OPERATING EXPENDITURE	1,573,428.76	Concerning all titles, the services/good have been started and/or provided in 2019 but the invoices have been only received in 2020.
Title 4	DELEGATED TASKS EXPENDITURE	3,500	Concerning all titles, the services/good have been started and/or provided in 2019 but the invoices have been only received in 2020.

## Unplanned carry-overs

	Budgetary title	Amount	Justification
Title 1	STAFF EXPENDITURE	83,726.28	Services and candidates' reimbursements ordered in 2019 and delivered in 2020.
Title 2	INFRASTRUCTURE AND ADMINISTRATIVE EXPENDITURE	678,464.36	Goods ordered in 2019 and to be delivered in 2020.

Title 3	OPERATING EXPENDITURE	1,937,130.93	Mainly multi-annual IT-projects covering both 2019 and 2020.
Title 4	DELEGATED TASKS EXPENDITURE	1,686.42	Mainly multi-annual IT-projects covering both 2019 and 2020.

#### Cancelled carry-overs

	Budgetary title	Amount	Justification
Title 1		20,303.20	For some budget lines of Title 1-2-3 the budget appropriation was higher than the amounts actually paid.
Title 2	INFRASTRUCTURE AND ADMINISTRATIVE EXPENDITURE	11,307.96	For some budget lines of Title 1-2-3 the budget appropriation was higher than the amounts actually paid.
Title 3	OPERATING EXPENDITURE	72,329.81	For some budget lines of Title 1-2-3 the budget appropriation was higher than the amounts actually paid.
Title 4	DELEGATED TASKS EXPENDITURE		

2. What are the key performance indicators (outcome/impact) used by the Agencies for measuring the added value provided by their activities, and for enhancing their budget management in this regard? Which KPIs were added / deleted in 2019? Do the Agencies use or plan to introduce other instruments to measure performance?

Performance indicators:

ESMA's KPIs from its 2019 annual work programme:

Promoting supervisory convergence:

- Non-compliance with guidelines and recommendations.
- Number of peer reviews conducted.
- Number of opinions issued.
- Number of Q&As issued.
- % of IT systems delivered compared to planned.
- % budget execution of IT Work Programme.

Assessing risks to investors, markets and financial stability

- Number of risk topics analysed.
- Trends Risks and Vulnerabilities and Joint Committee (of the ESAs) risk reports delivered against work plan.



- Data and Statistics: Coverage of ESMA databases under central data management. Completing a single rulebook for EU financial markets:

Completing a single rulebook for EU financial markets

- [NEW IN 2019] Percentage of technical standards reviewed
- [DELETED IN 2019]: Number of adopted Technical Standards and Technical Advice approved by ESMA's Board of Supervisors

Direct supervision of specific financial entities:

- [NEW IN 2019] Effective calibration of supervisory resources/tools, including enforcement, with aim to ensure independent rating-quality oriented culture in CRAs.
- [NEW IN 2019] Effective assessment of applications for registration.
- [NEW IN 2019] Effective calibration of supervisory resources/tools, including enforcement, with aim to ensure good levels of TR data quality and stability of TR databases.
- [NEW IN 2019] Effective preparation of new supervisory tasks to ensure smooth registration process and subsequent ongoing supervision.
- [DELETED IN 2019]: Number of thematic and number of individual investigations (opened in the year according to annual plan or individual strategies)
- [DELETED IN 2019]: Number of applications for registration not assessed within the timelimits

Organisational implications:

- Budget management measures:
  - Rate of implementation of Commitment Appropriations
  - Rate of cancellation of Payment Appropriations
  - Rate of budget outturn
  - Rate of payments executed within legal/contractual deadlines
- Human Resource measures:
  - Average vacancy rate
  - Staff turnover rate
  - Staff satisfaction survey
- Percentage of completion of the activities of the Annual Work Programme.
- Rate of external and accepted internal audit recommendations.

ESMA continues to review its work in a qualitative manner as needed. For example, by producing ad-hoc internal reviews or "lessons learned" of projects

4. Have the Agencies identified and evaluated the possibility to coordinate and share resources on overlapping tasks with other Agencies with similar activities?

Reply:

ESMA works with the two other European Supervisory Authorities (ESAs), European Insurance and Occupational Pensions Authority (EIOPA) and the European Banking Authority (EBA), via the Joint Committee of the ESAs. Through the Joint Committee, the three ESAs coordinate their supervisory activities in the scope of their respective responsibilities regularly and closely and ensure consistency in their practices. In particular, the Joint Committee works in the areas of micro-prudential analyses of cross-sectoral developments, risks and vulnerabilities for financial stability, retail investment products,

supervision of financial conglomerates, accounting and auditing, and measures combating money laundering. The ESAs, within the Joint Committee, jointly explore and monitor potential emerging risks for financial markets participants and the financial system as a whole. In addition to being a forum for cooperation, the Joint Committee plays an important role in the exchange of information with the European Systemic Risk Board (ESRB) and in developing the relationship between the ESRB and the ESAs.

In addition, in 2013 ESMA and the Agency for the Cooperation of Energy Regulators (ACER) signed a Memorandum of Understanding which established a consistent system for exchanging information when the regulatory responsibilities of both EU bodies coincide in relation to wholesale energy markets, which encompass trading in commodity and derivatives contracts.

Finally, ESMA also shares an Accounting Officer with the European Union Agency for Railways and has taken part in many joint procurements with other agencies and is always seeking efficiencies through co-operation. ESMA also has implemented its administrative digitalisation programme thanks to a paperless tool which today is a joint IT software shared by six EU agencies, which together cooperate to communicate on best user practices and new releases.

#### 5. To what extent has the working program of each agency been implemented and what are the most important achievements?

Reply: ESMA's 2019 work programme was 95% completed by the end of the year. The most important achievements included:

- Developing a new Strategic Orientations for 2020-2022 which outlines the direction of the Authority for the 3 years
- Preparing for the amended ESMA founding regulation and the European Market Infrastructure Regulation (EMIR), which significantly strengthened and expanded ESMA's mandate, including its powers and responsibilities
- Single rulebook: Conducting evidence-based analyses to support review of legislation. For example, to review the Markets in Financial Instruments repealing Directive (MiFID II) and the Markets in Financial Instruments Regulation (MiFIR), we assessed the results regarding the fair access to, and lowering the cost of, market data.
- Investor Protection: Publishing ESMA's first statistical report on costs and past performance of retail investment products in the EU and taking temporary product intervention measures related to binary options and contracts for difference measures that were then replaced by permanent national competent authority measures.
- Stress testing: producing a stress-simulation framework for investment funds
- Risk Analysis: first annual report on alternative investment funds, offering the first comprehensive view of the sector while highlighting issues needing attention
- Direct supervision: publishing a follow-up on our thematic report on fees charged by credit-rating agencies (CRAs) and trade repositories; a record fine was imposed on a group of EU CRAs following infringements of the CRA Regulation's conflict of interest requirements; assessing the first applications from trade repositories that applied to be registered under the new SFTR and holding discussions with potential applicant securitisation repositories under the Securitisation Regulation
- International work: signing an administrative agreement between ESMA and the International Organization of Securities Commissions (IOSCO), allowing data transfers between regulators in and outside the European Economic Area, and contributing to the IOSCO Market fragmentation and cross-border regulation report for the G20
- Brexit: making use of ESMA's Supervisory Coordination Network to ensure that a consistent approach to authorising and supervising firms relocating from the United Kingdom to the EU-27 was being taken by NCAs; agreeing a range of memoranda of understanding (MoUs) with UK competent authorities and issuing relevant communications for entities when approaching the effective Brexit date
- Sustainable Finance: developing a sustainable finance strategy and producing pieces of technical advice on the integration of sustainability risks and factors in MiFID II, the Undertakings for Collective Investment in Transferable Securities (UCITS) Directive and the

Alternative Investment Fund Managers Directive (AIFMD), and on identifying the short-term pressures that firms face to better encourage the adoption of longer term strategies.

6. How many recommendations for improvement have been given by the internal audit service and how many of the recommendations from the previous year have been implemented?

Reply:

ESMA received six recommendations from IAS in 2019. For the year 2018, three recommendations out of five received have been implemented.

### *Staff policy*

7. How did the Establishment Plan (officials and temporary agents) of each Agency evolve from 2018 to 2019, taking the data of 31.12.2019 compared with 31.12.2018? How many seconded national experts, contract staff, interim staff and consultants were working for each Agency in 2019, expressed in FTEs?

Number of staff

	Officials (posts filled)	Temporary agents (posts filled)
Establishment plan 31.12.2017-31.12.2018	N.A.	142.3
Establishment plan 31.12.2018-31.12.2019	N.A.	150.5

Other staff

	SNEs (FTE)	Contract agents (FTE)	Interim staff (FTE)	Consultants (FTE)
31.12.2019	11.4	69.2	0	

8. Could each Agency present a gender and nationality breakdown of its senior and middle management positions and its management board, and of its staff overall, including as percentage of the total number for each category requested?

	Senior management - Male	Senior management - Female	Management board - Male	Management board - Female	Staff overall - Male	Staff overall - Female
Austria					1	1
Belgium				1	2	2
Bulgaria					1	3
Croatia						
Cyprus						
Czech Republic					1	2
Denmark					1	1
Estonia						
Finland						
France			1	1	34	31
Germany		1	2		9	8
Greece				1	6	11
Hungary					1	4
Ireland					8	1

Italy			1		24	18
Latvia						1
Lithuania						2
Luxembourg						
Malta					1	
Netherlands	1		1		6	1
Poland					2	6
Portugal					2	
Romania			1	1	4	8
Slovakia					1	1
Slovenia						
Spain				1	7	6
Sweden					3	2
United Kingdom					5	4
Norway						1

Representation expressed as percentage

Answer	50%	50%	55%	45%	52%	48%

9. How many former MEPs, Commissioners or high-level officials (from AD 14) still receive money from the budget of your institution as advisors, contract agents or others? What are their tasks and their respective salaries?

Reply:

None

10. What measures / activities were organised to improve on the well-being for staff in each agency? What were the costs in 2019 and how many staff members participated in these events?

Events/measures taken by the Agency

	Measures/Activities organised to improve on the well-being for staff	Cost of the activities	Number of staff that participated
	One all staff away day	17,332.56 EUR	Around 200
	Due to budgetary constraints in 2019, the funds for soft skills and well being initiatives were reduced		

11. What measures do Agencies use to prevent and fight against harassment? What kind of efforts have the Agencies made to facilitate easy and confidential reporting of internal and external harassment towards their staff? Were there any harassment cases reported, investigated or taken before the court in 2019?

Measures taken by the Agency

	What measures does your Agency use to prevent and fight against harassment?	What measures does your Agency have in place to facilitate easy and confidential reporting of internal and external harassment towards your staff?	In 2019 how many harassment cases were reported/investigated/taken before court?
Reply	<p>ESMA has a policy on protecting the dignity of the person and preventing psychological harassment and sexual harassment (ESMA64-87-175). We have updated the relevant Data Privacy Record to align it to the new Data protection Regulation Procedure.</p> <p>Every year, HR prepares a report on the activities carried out by the Agency to prevent harassment in the workplace. The report is presented and discussed with all managers and team leaders to raise awareness. The report is published on intranet.</p>	<p>ESMA has a specific page on prevention of harassment on the intranet.</p> <p>The page contains information on the policy, actions that can be taken by alleged victims and it shows the contact details of the Confidential Counsellors and HR.</p> <p>HR and Confidential Counsellors work together to organise regular awareness sessions which are open for everyone, but compulsory for newcomers.</p>	None
Comment			



12. What was the average absence from work due to sick leave in 2019? How many working hours were lost as a consequence of burnouts or other work-related reasons?

Answer by the Agency

	Average absence from work due to sick leave (in days) in 2019.	Number of working hours lost as a consequence of burnouts or other work related reasons	Comments
Reply	around 133 days in average per months. around 6.9 days per staff in 2019. around 0.57 days per staff per month	0	

13. Could the Network prepare a comprehensive list of staff-cuts implemented per individual Agency in accordance with the Commission's plan until 2019? How many of these staff-cuts were replaced by Contractual Agents or External experts?

Not applicable to ESMA.

Staff cuts 2013-2019

	Staff cuts per Agency	Contract agents employed	External experts employed	Comments
2013				
2014				
2015				
2016				
2017				
2018				
2019				

14. Is there any increase of the workload or new tasks designated to each agency and how does it manage to accommodate these to the available staff in 2019? Did your Agency

face an increase in workload or new tasks assigned in 2019? How did you accommodate these with the staff available in 2019?

Reply:

ESMA experienced a planned increase in workload in 2019, for which it received 7 establishment plan posts that had been foreseen in the 2014-2020 MFF. With these additional seven posts, and with some internal reallocation, ESMA worked on:

- undertaking supervisory convergence work following the Level 2 work planned for 2018 on the Prospectus Regulation;
- undertaking supervisory convergence work and provide input to the Joint Committee sub-committee related to the STS Securitisation Regulation;
- continuing the implementation of MiFID II and MiFIR;
- producing the significant number of reports envisaged in MiFID II and MiFIR; as well as the Q&As, guidelines, opinions on waivers, position limits and the annual reports on the application of MiFIDII/R;
- completing tasks related to data and risk analysis, in particular analysing and managing the data requirements stemming from MiFID/R.

### *Conflicts of interest and transparency*

15. Could each Agency confirm whether the declarations of conflicts of interest are in place (and public) for their: · management board members · senior management?

Declaration of Col

	Management board members	Senior management	Comments
Reply	Yes	Yes	

16. Could each Agency confirm if they publish on their website the CVs of their: · management board members · management staff · external experts · in-house experts?

	Management board members	Management staff	External experts	In-house experts	Comments
Answer	Yes	Yes	no	No	CVs of Senior Management are published

17. What kind of mechanisms do the Agencies use to identify and avoid conflicts of interest, and were there any cases of conflicts of interest reported, investigated and concluded in 2019?

Reply: ESMA applies a Conflict of Interests and Ethics Policy which applies to Staff Members (TA, CA, SNEs and trainees). Moreover, ESMA has also adopted a Conflict of Interests Policy for non-Staff (the members of ESMA's Board of Supervisors). Both policies entail an annual mandatory declaration of interests and ad-hoc declarations, should a potential conflict of interests arise in the course of the year. In the course of 2019 few issues were brought to the attention of the Ethics Team as they could have been seen as creating potential conflict of interests, but all were cleared without the need for any further investigation by the Ethics Team.

18. For the Agencies that depend on fee collection: how many percent of the Agency's income consist of fees? How does the Agency view in this regard the danger of conflicts of interest for relying on fees from their clients? What kind of mechanism(s) to prevent conflict of interests do the agencies that collect fees from their clients have at their disposal? Would the Agency consider it an appropriate solution if the Commission would collect the fees, and the Agency would hence be fully funded from the EU budget?

Fee financed Agencies

	How many percent of your Agency's income consists of fees?	Does the Agency see any potential danger of Col from relying on fees from its clients?	What kind of mechanisms does the Agency use to prevent Col stemming from the collection of fees?	Would the Agency consider it an appropriate solution for the Commission to collect the fees and the Agency to be fully funded from the EU budget?
Reply	25%	In ESMA the level of potential danger of conflict of interest is very low thanks to the following elements: <ul style="list-style-type: none"> <li>- The relevant fee management legislation from the European Commission, limiting any conflict of interests;</li> <li>- ESMA's Activity Based management model and processes, put in place to define the yearly budget</li> </ul>	ESMA collects fees for the registration and supervision of Credit Rating Agencies (CRAs), Trade Repositories (TRs) and for transparency of securities financing transactions (SFTRs), line with the Commission's delegated Regulations	ESMA considers that the option of giving the Commission the role of fee-collector will lead to high inefficiencies and it will increase the risk of inaccuracy, miscalculation and consequently damage to EU institution's reputation for the following reasons: <ul style="list-style-type: none"> <li>- The amount of ESMA's annual supervisory fees shall be defined on yearly basis in line with the Agency's yearly</li> </ul>

		<p>and calculate the yearly actual cost for each ESMA's activities (including the fee-related activities);</p> <ul style="list-style-type: none"> <li>- ESMA's transparent decision-making process concerning ESMA's budget;</li> <li>- Yearly audit by the European Court of Auditors, regularly evaluating ESMA's fee management.</li> </ul>	<p>(Commission Delegated Regulations No. 272/2012 for CRAs, No. 1003/2013 for TRs, No. 360/2019 for SFTRs). These regulations define the modalities for the collection of fees and set out the rules of determining the amounts of fees to be paid. The regulations aim to ensure fair allocation of fees reflecting actual supervisory efforts needed for each individual entity.</p> <p>In 2019, 25.41% of ESMA's budget came from fees charged to the entities it supervises. Fees cover the costs of direct supervision and therefore the percentage of ESMA's budget stemming from fees may change from year to year in line with the predicted workload.</p> <ul style="list-style-type: none"> <li>• ESMA's fees are collected to cover the costs of direct supervision of the entities it supervises and the</li> </ul>	<p>internal strategy and budget planning (e.g. principle of full cost recovery). Each year the level of ESMA's annual supervisory fees must be defined in order to fully cover ESMA's yearly supervisory costs and in line with the Agency's annual strategy. Moreover, ESMA's yearly revenues shall be calculated in compliance with the specific legislations applying to the Agency (e.g. ESMA's Financial Regulation and ESMA's fee-related legislations different for each group of supervised entities). ESMA duly responded to these specific needs with an adequately designed and tailor-made Activity-Based Management (ABM) model.</p> <ul style="list-style-type: none"> <li>- ESMA's ABM model is accurate, complete and efficient and it ensures that ESMA's fee calculation and collection is based on solid control systems and risk management processes. In 2017 the Internal Control Services (IAS) duly audited ESMA's ABM and fee collection system and concluded that "ESMA's management and control systems put in place for the ABM and fees collection are adequately designed and efficiently implemented". In particular, the Agency's model (Activity-Based Budgeting model) allows an automatic calculation of ESMA's annual revenues (including the yearly</li> </ul>
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			<p>fees collected are used only for that purpose. There are internal procedures detailing the entire process and principles to be followed by ESMA for the management of the supervisory fees for TRs, CRAs and SFTRs. Among other things, the role of fee setting and collection is separate from that of supervision with different teams in charge of each activity and rigorous approval process. In addition, ESMA applies an Activity Based Management methodology and has implemented Activity Based Budgeting (ABB) and Activity Based Costing (ABC) to calculate and justify the level of fees.</p> <ul style="list-style-type: none"> <li>• ESMA's fees are not static amounts, they are based on the actual cost of direct supervision and on information submitted annually by the supervised entities. ESMA already has the</li> </ul>	<p>fees for each group of supervised entities) on the basis of transparent assumptions and inputs in line with ESMA's annual strategy and specific legislations. Moreover, each year the automatic calculation of its Activity-Based Costing model ensures the appropriate control on the level of budgeted annual supervisory fees through its comparison with the actual annual cost of ESMA's yearly supervisory activity. Finally, all these processes audited on early basis by the European Court of Auditors.</p> <ul style="list-style-type: none"> <li>- ESMA's calculation of the individual annual supervisory fees requires specific expertise that ESMA has in-house. The calculation of the individual supervisory fees (for each supervised entity) shall be executed each year and is characterized by a high level of complexity. In particular, the relevant legal provisions to be applied are different for each group of supervised entities and require an in-depth and very specific knowledge of the companies' relevant business. This knowledge and expertise are available in-house in ESMA. Therefore, any outsourcing of the ESMA's fee collection procedures will create high inefficiency and it will increase the risk of inaccuracy and</li> </ul>
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			<p>appropriate fee-setting and collection structures and processes in place. There is an advanced procedural framework in place. These structures and processes have been audited by EU bodies and external auditors, and mitigation of conflicts of interests by ESMA in these processes has been confirmed.</p>	<p>miscalculations and consequently damage to the EU institutions' reputation.</p>
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19. Have all the Agencies set up and implemented internal rules or common guidelines on whistleblowing? Could the Agencies provide the number of open, closed and ongoing whistleblowing cases in 2018? Which actions were taken for each of these case and what were the results?

	Has your Agency implemented internal rules or common guidelines on whistleblowing?	Can the Agency provide the number of open/closed/on-going whistleblowing cases in 2019?	What actions were taken for each of these cases and what were the results?	Comments
Reply	Yes	There were no open, closed or on-going whistleblowing cases.	N/A	
Comment				

20. Are all meetings with lobbyists, in case such meetings were held: · registered · made public?

Meeting with lobbyists

	Were the meetings registered?	Were the meetings made public?	Comments
Agency meeting with lobbyists	Yes	Yes	Internal register in link: <a href="https://sherpa.esma.europa.eu/sites/CA/AD/Administration/Tracking%20of%20contacts%20for%20staff.xlsx">https://sherpa.esma.europa.eu/sites/CA/AD/Administration/Tracking%20of%20contacts%20for%20staff.xlsx</a>

## *Other comments*

21. Which measures did the Agencies implement in 2019 in order to increase their public visibility and online presence? Could you please summarize shortly the actions taken in order to promote the work of the Agencies to EU citizens, and to make services available to the wider public, civil society and academia where appropriate?

Reply:

ESMA continues to meet its commitment to reach the broadest possible audience affected by its work. This it achieves mainly through:

- 1) ESMA's website channel - where all documents, press releases, news and data are publicised;
- 2) the promotion of this information via targeted press releases, news items, social media and RSS feeds; and
- 3) targeting key media across the European Union to ensure the maximum breadth of coverage.

In the short-term ESMA is engaged in refreshing its website to ensure its content is up to date and easily accessible and begin development of a new in 2021. ESMA's public visibility has also increased thanks to increased activity on social media channels in particular Twitter and LinkedIn. Both social media have registered an increase of followers in the last year - LinkedIn followers increased by 59% from 18,500 to 29,000 and Twitter increased by growing by 16% to 14,200 followers. This is due to ESMA building capacity to internally produce graphics, fact sheets and videos which consistently strengthen its promotional activity on social media.

22. Which measures did the Agencies implement in 2019 in order to increase their cyber security and protection of the digital records in its possession? Does the Agency have such a policy in place / in a making?

Reply:

Relevant activities, leveraged by the Information security plan and by other drivers such as data privacy compliance, continuous improvement as well the alignment with new business and evolving technology requirements, have continued to take place at ESMA in 2019 in the cybersecurity and protection of the digital records fields.

Notably, the year 2019 was marked by continued actions in the field of cyber security surveillance and intelligence for ESMA as an organisation. The continuous (24/7) analysis of cyber-incidents and the security response was fully implemented in 2019. In-depth 'red team' exercises (white hat hacking from inside ESMA) were executed. Such exercises serve to proactively test information security defences in the same manner as a real attacker would do (e.g. a hacker) having taken control of the computer of an employee. Its results are being used to enhance the overall security posture.

23. Could the Agencies provide a list of their internal measures in place to: · put in place a comprehensive strategy for sustainable development, including steps to reduce or



offset CO<sup>2</sup> emissions? · ensure a cost-effective and environment-friendly working place?

Internal measures in place

	Ensuring cost-effective and environment-friendly working place	Comprehensive strategy for sustainable development, including steps to reduce or offset CO2 emissions?
Answer	<p>ESMA is putting in place an environmental management system and, in 2019, continued working towards being registered with the Eco-Management and Audit Scheme. It has conducted an environmental review to determine its significant environmental aspects and to ensure compliance with EU, as well as the applicable national and local, environmental requirements. ESMA's environmental policy, adopted on 13 June 2017, sets the following objectives to reduce the environmental impact of its work and to improve its environmental performance:</p> <ul style="list-style-type: none"> <li>- minimise the consumption of energy, water, paper and other resources;</li> <li>- encourage the prevention of waste and environmental pollution by maximising the recycling and reuse of items and by optimising their disposal;</li> <li>- take the necessary measures to reduce carbon dioxide emissions and minimise the impact of mobility</li> </ul>	<p>To achieve these objectives, ESMA has been working with its staff and suppliers to reduce waste, improve recycling and reduce travel (e.g. by making better use of technology to work towards a paperless office and to make greater use of video-conferencing). In addition, ESMA's new premises (from 2019) have High Quality Environmental (HQE) certification, which is France's standard for green buildings, based on the principles of sustainable development, for its construction, conception and operation.</p> <p>In 2019, ESMA recycled 21.9 tonnes of paper versus 20.3 tonnes in 2018, which represented a saving of 373 trees, 180 039 litres of water and 2.9 tonnes of carbon dioxide, and an increase of 8 % in paper being recycled compared with 2018; the increase 1 year ago was 14 %. This increase is due to the move to ESMA's new premises, where staff were encouraged to recycle some of their paper archives, which are now digitalised.</p>

	<p>and travel;</p> <ul style="list-style-type: none"><li>- comply with relevant environmental legislation, administrative regulations and other requirements</li></ul>	
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## ERA

### *Budget and financial management and performance*

1. Could all Agencies illustrate the amounts of planned and unplanned carryovers and of carryover cancellations by budgetary title and the main reasons behind them?

#### Planned carry-overs

	Budgetary title	Amount	Justification
Title 1	EXPENDITURE RELATING TO PERSONS WORKING WITH THE ERA	144.551,74	At the end of the year we were waiting for : - receive reimbursement claim for sundry recruitment - receive invoices for presencial or elearning Language courses - finalising languages courses not finished - receive invoices of Social event on 19 december 2018
Title 2	BUILDING, EQUIPMENT AND MISCELLANEOUS OPERATING EXPENDITURE	478.360,90	At the end of the year we did not receive all invoices, goods and services in areas as cleaning, security, software, legal, removal, publications, telecoms subscription and equipment.
Title 3	EXPENSES RELATING TO PERFORMANCE OF SPECIFIC MISSIONS	2.551.317,48	At the end of the 2018, we did not receive all reimbursement claims for missions, meetings and experts and invoices for contracts for the five operational activities: - Harmonised Approach to Safety: missions, meetings and experts - Removing barriers: missions and meetings - Single European Train Control and Communication System: contract OSS consulting services, missions, meetings and experts - Simplified Access for Customers: missions - Evaluation, Management and Resources: missions, publications - Scientific library: books, revues and access databases - Dedicated IT systems, equipment and services to

			support the operations: contracts
Title 4			

#### Unplanned carry-overs

	Budgetary title	Amount	Justification
Title 1	EXPENDITURE RELATING TO PERSONS WORKING WITH THE ERA	0	
Title 2	BUILDING, EQUIPMENT AND MISCELLANEOUS OPERATING EXPENDITURE	0	
Title 3	EXPENSES RELATING TO PERFORMANCE OF SPECIFIC MISSIONS	0	
Title 4			

#### Cancelled carry-overs

	Budgetary title	Amount	Justification
Title 1	EXPENDITURE RELATING TO PERSONS WORKING WITH THE ERA	5.696,68	Overestimation of amount for : - staff recruitment - Language courses
Title 2	BUILDING, EQUIPMENT AND MISCELLANEOUS OPERATING EXPENDITURE	3.292,14	Overestimation of amount for : - cleaning, security, software, legal, removal, publications, telecoms subscription and equipment
Title 3	EXPENSES RELATING TO PERFORMANCE OF SPECIFIC MISSIONS	45.291,24	Overestimation of amount for : Missions, meetings, experts, publications, consulting services
Title 4			

2. What are the key performance indicators (outcome/impact) used by the Agencies for measuring the added value provided by their activities, and for enhancing their budget management in this regard? Which KPIs were added / deleted in 2019? Do the Agencies use or plan to introduce other instruments to measure performance?

Performance indicators:

Which KPI's (outcome/impact) is your Agency using to measure the added value provided by its activities?

The outcome on the railway sector is measured by the KPIs in the progress report on safety and interoperability and the assessment of achievements of Common Safety targets:

[https://www.era.europa.eu/sites/default/files/library/docs/safety\\_interoperability\\_progress\\_reports/report\\_on\\_railway\\_safety\\_and\\_interoperability\\_in\\_the\\_eu\\_2020\\_en.pdf](https://www.era.europa.eu/sites/default/files/library/docs/safety_interoperability_progress_reports/report_on_railway_safety_and_interoperability_in_the_eu_2020_en.pdf)

[https://www.era.europa.eu/sites/default/files/library/docs/safety\\_interoperability\\_progress\\_reports/report\\_2019\\_assessment\\_of\\_achievements\\_of\\_safety\\_targets\\_en.pdf](https://www.era.europa.eu/sites/default/files/library/docs/safety_interoperability_progress_reports/report_2019_assessment_of_achievements_of_safety_targets_en.pdf)

Which KPI's is your Agency using to enhance its budget management?

- Carry-over of 10% of payment appropriations for Title 1, <20% for Title 2 and <30% for Title 3
- 95% execution of carry-over payment appropriations
- 95% payments made by contractual deadline

Which KPI's did your Agency add/delete in 2019?

Added: Following indicators are added. KPIs 1 to 3 are linked to the 4th Railway Package activities which started in June 2019:

- 100% decisions taken according to the legal framework deadline for issuing Single Safety Certificates (for completeness and assessment phases)
- 100% decisions taken according to the legal framework deadline for issuing Vehicle Authorisations (for completeness and assessment phases)
- 100% decisions taken according to the legal framework deadline for issuing Trackside Approvals (for completeness and assessment phases)

- 95% of the recommendations and opinions issued within the legal deadlines
- 100% Member States having their vehicle-related National Technical Rules cleaned up

Does your Agency use or plan to introduce other instruments to measure performance?

The Agency has set-up a dedicated team to monitor all work in progress for all Agency's projects and services in the Agency. This team is integrated into the Planning and Approvals Delivery Unit (PAD). Monthly reporting is taking place since 2019.

4. Have the Agencies identified and evaluated the possibility to coordinate and share resources on overlapping tasks with other Agencies with similar activities?

Reply: The Agency maintains a shared service for Accountancy with ESMA

The Agency is sharing procurement services with CPVO (request from CPVO to receive advisory services from ERA)

ERA HR officer acting as "investigator" for all Agencies upon request

5. To what extent has the working program of each agency been implemented and what are the most important achievements?

Reply: › a successful start in Agency's role of authority in the framework of the 4th Railway Package technical

pillar. With eight Member States having transposed in 2019, the Agency has started on 16 June 2019

its role of EU authority responsible for issuing authorisations for placing railway vehicles on the

market (VA), single safety certificates (SSC) for railway undertakings and ERTMS trackside approvals.

The One-Stop Shop release one was put in production and used for the VA, SSC and ERTMS Trackside

approval applications;

› establishing the Board of Appeal;

› signing Cooperation Agreements with the NSAs of MSs not having notified the transposition in June

2020 (twelve agreements in 2019);

- › supporting the Commission in delivering a package of TSIs revisions at the beginning of the year and

putting in place a new structure for the next TSI revision packages;

- › starting the first cycle of NSA monitoring (in line with the targeted scope) and of NoBo monitoring

based on the schemes defined in the previous years and the learning acquired in the pilots performed

in 2018;

- › delivering the ERTMS Opinion service pack 2 for handling of Change Requests;

- › Starting up the workstream on the development of a CSM on Assessment of Safety Levels and Safety

Performance (ASLP), with delivery of a “Big Picture” document, setting the scene for further discussion and development;

- › progressing with the safety culture model and with attracting more organisations to sign the safety

declaration;

- › revising TAP TSI to facilitate-ticketing and multi-modal travel;

- › strengthening the strategic development in coordination with the European Commission and in

relation to the Executive Board strategic agenda. The Agency responded, among others to the

emerging need of ensuring linked data and has documented two pilots in this field, which will be

implemented together with the sector in 2020. The Agency has also initiated projects in the field of

its organisational culture change and Women in Transport, respectively;

- › preparing the content for training modules on VA, SSC and OSS and delivering successful training

sessions, which are likely to support the delivery of its authority tasks;

- › establishing the European Vehicle Register;

6. How many recommendations for improvement have been given by the internal audit service and how many of the recommendations from the previous year have been implemented?

Reply: In line with the 2019 IAS Audit Plan, the audit on Information management and Information security has

started in December 2019 with the preliminary survey. The audit itself (i.e. fieldwork) is scheduled to be

carried out in March 2020.

In parallel, the Agency continued the implementation of audit recommendations stemming from the Audit on

PPSM and HR and Competency management.

All recommendations related to the HR audit were closed by IAS. Two out of three recommendations regarding PPS were closed by IAS. The only open important recommendation refers to the effective use of MS

Project. The recommendation is scheduled to be completed by June 2020.

### *Staff policy*

7. How did the Establishment Plan (officials and temporary agents) of each Agency evolve from 2018 to 2019, taking the data of 31.12.2019 compared with 31.12.2018? How many seconded national experts, contract staff, interim staff and consultants were working for each Agency in 2019, expressed in FTEs?

Number of staff

	Officials (posts filled)	Temporary agents (posts filled)
Establishment plan 31.12.2017-31.12.2018	0	132
Establishment plan 31.12.2018-31.12.2019	0	137

Other staff

	SNEs (FTE)	Contract agents (FTE)	Interim staff (FTE)	Consultants (FTE)
31.12.2019	0	35	0	14





8. Could each Agency present a gender and nationality breakdown of its senior and middle management positions and its management board, and of its staff overall, including as percentage of the total number for each category requested?

	Senior management Male	Senior management Female	Management board - Male	Management board - Female	Staff overall - Male	Staff overall - Female
Austria	1		1			
Belgium	1			1	24	18
Bulgaria			1			1
Croatia				1		
Cyprus				1	1	1
Czech Republic			1		2	
Denmark			1		2	1
Estonia			1			
Finland				1	1	
France			1		14	19
Germany			1	1	12	
Greece			1		4	4
Hungary			1		2	1
Ireland				1		1

Italy	2	1	1		12	4
Latvia			1			
Lithuania				1	1	1
Luxembourg			1			
Malta						
Netherlands			1		4	
Poland			1		5	2
Portugal			1		3	
Romania				1	6	4
Slovakia			1			
Slovenia			1			
Spain				1	11	5
Sweden			1		1	1
United Kingdom	1				2	2
Norway			1			

Representation expressed as percentage

	% of males in the overall management staff	% of females in the overall management staff	% of males in the overall management board staff	% of females in the overall management board staff	% of males in the overall staff	% of females in the overall staff
Answer	88,9%	11,1%	70,4%	29,6%	60,1%	39,9%

9. How many former MEPs, Commissioners or high-level officials (from AD 14) still receive money from the budget of your institution as advisors, contract agents or others? What are their tasks and their respective salaries?

Reply: None

10. What measures / activities were organised to improve on the well-being for staff in each agency? What were the costs in 2019 and how many staff members participated in these events?

Events/measures taken by the Agency

	Measures/Activities organised to improve on the well-being for staff	Cost of the activities	Number of staff that participated
	Summer BBQ	15.830 €	170
	Christmas lunch	11.310 €	170

11. What measures do Agencies use to prevent and fight against harassment? What kind of efforts have the Agencies made to facilitate easy and confidential reporting of internal and external harassment towards their staff? Were there any harassment cases reported, investigated or taken before the court in 2019?

Measures taken by the Agency

	What measures does your Agency use to prevent and fight against harassment?	What measures does your Agency have in place to facilitate easy and confidential reporting of internal and external harassment towards your staff?	In 2019 how many harassment cases were reported/investigated/taken before court?
Reply	ERA has adopted the policy on protecting the	Staff are strongly encouraged to address the confidential	1 case reported

	dignity of the person and preventing psychological and sexual harassment. The confidential counselors are promoted and staff are encouraged to address their issues to the counselors.	counselors when they have a particular issue. The reporting officers of the confidential counselors are made aware their work might impact on their standard tasks and duties and are requested to take this extra mandate into account in the scheduling of their working time and during their CDR exercise.	
Commen			

12. What was the average absence from work due to sick leave in 2019? How many working hours were lost as a consequence of burnouts or other work-related reasons?

Answer by the Agency

	Average absence from work due to sick leave (in days) in 2019.	Number of working hours lost as a consequence of burnouts or other work related reasons	Comments
Reply	6,5	0	

13. Could the Network prepare a comprehensive list of staff-cuts implemented per individual Agency in accordance with the Commission's plan until 2019? How many of these staff-cuts were replaced by Contractual Agents or External experts?

Staff cuts 2013-2019

	Staff cuts per Agency	Contract agents employed	External experts employed	Comments
2013	EP 2013 - TA 143	0	0	
2014	-3	0	0	
2015	-3	+1	0	
2016	-2	+14	0	
2017	+4	+12	0	
2018	+9 TA funded by Fees and Charges	-2, total 40 CA out of which 3 CA funded by Fees and Charges and 3 under the EuMedRail grant agreement with DG NEAR	0	new tasks entrusted to ERA leading to an increase of staff to be funded by Fees and charges
2019	0	-2, total 38 CA out of which 3 CA funded by Fees and Charges and 3 under the EuMedRail grant agreement with	0	

		DG NEAR		
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14. Is there any increase of the workload or new tasks designated to each agency and how does it manage to accommodate these to the available staff in 2019? Did your Agency face an increase in workload or new tasks assigned in 2019? How did you accommodate these with the staff available in 2019?

Reply: In 2019 the Agency made significant efforts to cope with budget constraints. The Agency faced in 2019 the

challenges inherent to the start-up of the fee-based activities. With all the necessary investments put in place

to make sure that the authority tasks could be delivered timely, including the hiring of the necessary experts,

and with the fees and charges being levied with a time lag, the Agency has found itself under financial pressure, leading to decisions such as not reimbursing experts attending meetings anymore.

The Agency has eventually managed to overcome these challenges, based on the support provided by the European Commission. However additional tasks foreseen in the 4RP are not funded (SRD,EVR, Audits/Monitoring NSA/NoBo,...)

*Conflicts of interest and transparency*

15. Could each Agency confirm whether the declarations of conflicts of interest are in place (and public) for their: · management board members · senior management?

Declaration of CoI

	Management board members	Senior management	Comments
Reply	YES -declaration of interests – Management Board Decision 16	YES – declaration of interests- Management Board Decision 199	

16. Could each Agency confirm if they publish on their website the CVs of their: · management board members · management staff · external experts · in-house experts?

	Management board members	Management staff	External experts	In-house experts	Comments



Answer	YES	NO	NO	NO	
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17. What kind of mechanisms do the Agencies use to identify and avoid conflicts of interest, and were there any cases of conflicts of interest reported, investigated and concluded in 2019?

Reply: The Agency applies the principle of declaration of interest (covering both current and past interests) by all staff members, management board members, board of appeal members, independent experts and their close family members. This approach enables a more informant assessment and it is more transparent compared to a declaration of absence of conflict of interests. The declarations are assessed by a third party before individuals are allocated to their tasks/duties.

In addition the Agency applies also the principle of declarations of absence of conflict of interest for all the above mentioned category of individuals (self-assessment).

The Agency is also publishing the declaration of interests of its Management Board members and its staff members (including the Executive Director) who are taking decisions with regards to the regulatory tasks of the Agency. This approach enables public scrutiny.

No conflicts of interest have been reported in 2019.

18. For the Agencies that depend on fee collection: how many percent of the Agency's income consist of fees? How does the Agency view in this regard the danger of conflicts of interest for relying on fees from their clients? What kind of mechanism(s) to prevent conflict of interests do the agencies that collect fees from their clients have at their disposal? Would the Agency consider it an appropriate solution if the Commission would collect the fees, and the Agency would hence be fully funded from the EU budget?

Fee financed Agencies

	How many percent of your Agency's income consists of fees?	Does the Agency see any potential danger of Col from relying on fees from its clients?	What kind of mechanisms does the Agency use to prevent Col stemming from the collection of fees?	Would the Agency consider it an appropriate solution for the Commission to collect the fees and the Agency to be fully funded from the EU budget?
Reply	The agency is entitled to charge fees for the new activities entrusted to her.	Since it is expected that in the coming first years only a relatively small	No mechanisms in place as the risk of Col is very low	In principle this sounds like a good solution but its implementation would require a duplication of the

	<p>As this activity only started as from mid of June 2019, the total income is 1% of the EC subsidy</p>	<p>part of the agency's income will consist of fees (10% of total income) there seems to be no danger of conflicts of interest for relying on fees from our clients</p>		<p>internal ERA administrative process for collecting fees with the EC services, should the EC services agree to implement ERA process</p>
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19. Have all the Agencies set up and implemented internal rules or common guidelines on whistleblowing? Could the Agencies provide the number of open, closed and ongoing whistleblowing cases in 2018? Which actions were taken for each of these case and what were the results?

	Has your Agency implemented internal rules or common guidelines on whistleblowing?	Can the Agency provide the number of open/closed/on-going whistleblowing cases in 2019?	What actions were taken for each of these cases and what were the results?	Comments
Reply	YES, the Agency has implemented rules on whistleblowing (via ERA Management Board Decision 183)	No open, closed or ongoing cases so far.	NA	
Comment				

20. Are all meetings with lobbyists, in case such meetings were held: · registered · made public?

Meeting with lobbyists

	Were the meetings registered?	Were the meetings made public?	Comments
Agency meeting with lobbyists		The Agency makes public information of all meeting held by the Executive Director with organisations or self-employed individuals engaged activities carried out with the objective of directly or indirect influencing the formulation or implementation	

## Other comments

21. Which measures did the Agencies implement in 2019 in order to increase their public visibility and online presence? Could you please summarize shortly the actions taken in order to promote the work of the Agencies to EU citizens, and to make services available to the wider public, civil society and academia where appropriate?

Reply: › progressing with the safety culture model and with attracting more organisations to sign the safety

declaration;

› keeping an active presence in EU and international fora (CEN/CENELEC, RASCOP, OTIF, OSJD) and

playing an active role in the implementation of the IPA and EUMedRail projects;

› maintaining a strong presence in the media, in parallel with the successful organisation of the CCRCC

22. Which measures did the Agencies implement in 2019 in order to increase their cyber security and protection of the digital records in its possession? Does the Agency have such a policy in place / in a making?

Reply: In 2018 the Agency increased his Information Security awareness, including not only cyber security and protection of digital records, but taking a more holistic approach to the protection of information assets regardless of the supporting media or format.

However the lack of budget and resources is severely slowing down any progress on the matter. The Agency focussed its limited resources on main areas (revers proxy with authentication, firewalls, web access control, secured connection, full hard disk encryption protecting laptops)

23. Could the Agencies provide a list of their internal measures in place to: · put in place a comprehensive strategy for sustainable development, including steps to reduce or offset CO<sup>2</sup> emissions? · ensure a cost-effective and environment-friendly working place?

Internal measures in place

	Ensuring cost-effective and environment-friendly working place	Comprehensive strategy for sustainable development, including steps to reduce or offset CO <sub>2</sub> emissions?
Answer	The Agency keeps on migrating administrative and operational procedures to a paperless	The Agency improved its videoconferencing and teleworking tools, allowing staff and stakeholders to better collaborate remotely

	<p>mode. Those initiatives facilitate teleworking, as colleagues do not need to bring printed papers with them, thus reducing the need to commute and having a positive impact in the environment while being cost-effective. In the context of the sharing offices project (2 staff members sharing an office initially designed for one person) which makes the working place more cost effective, the storage space provided to staff has also been reduced from 2 to 1 cupboard. In this context, the Agency has communicated appropriate messages to Staff to reduce the amount of paper, highlighting the importance of clean desk concept (LEAN approach, be more diligent in the use of stationary, etc.).</p>	<p>without the need to travel. Together with the above initiative, the Agency decided to implement a number of decisions which also discourage stakeholders travelling to the Agency premises for meetings which could be held online. In the same spirit, staff was invited to assess the need to travel for short meetings, prioritizing the videoconference and online options.</p>
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***Budget and financial management and performance***

1. Could all Agencies illustrate the amounts of planned and unplanned carryovers and of carryover cancellations by budgetary title and the main reasons behind them?

## Planned carry-overs

	Budgetary title	Amount	Justification
Title 1	Staff Costs	156,258.79	Representing only 1.1% of Title 1, this amount corresponds mainly to payments for training activities later in 2019 or extending into 2020 (€79,103), payments for interim services for the month of December (€22,800), payments for administrative missions taking place at the end of 2019 (€13,453), specific consultancy linked to staff engagement survey (€25,000), incomplete relocation packages for new colleagues (€4,173), pending recruitment reimbursements (€1,629) and other smaller activities.
Title 2	Infrastructure	432,945.68	Representing 22.9% of Title 2, this amount corresponds mainly to payments for acquisition of ICT equipment late in 2019 (€126,829) software expenditure still to be implemented (€97,888), payments on work already executed or extending into early 2020 for the building and systems (€86,503) telecommunications for December (€15,316), utilities (€13,757), final payment for the November Governing Board meeting (€27,500), commission IT systems not yet invoiced (Testa NG - €16,339) and other smaller activities.
Title 3	Operational	1,443,624.49	The ETF uses differentiated

	expenditure		appropriations for its operational expenditure (Title 3) - which means that budgetary commitments not paid are paid from next year's payment appropriations (RAL – 'reste a liquider'). This RAL represents 29.4% of the Title 3 budget, composed of 10.9% activities finalised in 2019 pending payment in 2020, 18.2% operational activities planned to be implemented early 2020 and 0.3% activities planned to be executed in 2019 but were delayed into 2020.
Title 4			

#### Unplanned carry-overs

	Budgetary title	Amount	Justification
Title 1		None	
Title 2		None	
Title 3		None	
Title 4		n/a	

#### Cancelled carry-overs

	Budgetary title	Amount	Justification
Title 1	Staff Costs	13,230	Actual costs for unpaid training sessions and administrative missions of 2018 carried forward to 2019 were slightly less than foreseen.
Title 2	Infrastructure	6,313	Actual costs for the unpaid Governing Board meeting and telecommunications of 2019 carried forward to 2020 were slightly less than foreseen.
Title 3	Operational	n/a	No carry-over of payment appropriations from the previous



	expenditure		year, as the ETF has differentiated appropriations for Title 3.
Title 4			

2. What are the key performance indicators (outcome/impact) used by the Agencies for measuring the added value provided by their activities, and for enhancing their budget management in this regard? Which KPIs were added / deleted in 2019? Do the Agencies use or plan to introduce other instruments to measure performance?

Performance indicators:

KPIs for measuring the added value are:

The level of satisfaction of EC requests (Rate of positive feedback from EC project requests implemented in year): Target 80%, achieved in 2019: 100%.

Countries' policy development progress (Rate of countries successfully progressed within stage or next stage of policy development): Target 70%, achieved in 2019: 79%.

Dissemination reach (Weighted sum of: no. people reached through digital media, downloads and events in 2019). Achieved 107%.

Stakeholder engagement (% of key country stakeholders participating in ETF activities / N. of Stakeholders): Target 90%, achieved in 2019: 91%.

Which KPIs is your Agency using to enhance its budget management?

Commitment appropriation implementation (Rate (%) of implementation of Commitment Appropriations). Target >98%, achieved in 2019 99.96%.

Payment appropriations cancellation rate (Rate (%) of cancellation of Payment Appropriations). Target <2%, achieved in 2019 1.21%.

Timely payments (Rate (%) of payments executed within the legal/contractual deadlines). Target >90%, achieved in 2019 94%.

Rate of outturn (Total payments in year N and carry-forwards to Year N+1, as a % of the total EU funding received in Year). Target >96%, achieved in 2019 98.88%.

Which KPIs did your Agency add/delete in 2019?

No new KPIs were added or deleted in 2019.

Does your Agency use or plan to introduce other instruments to measure performance?

As of 2018 an integrated performance management system has been implemented including the ETF internal control framework. This is based on the Commission's framework, with 17 Internal Control Principles clustered into 5 components which aim to provide reasonable assurance regarding the achievement of objectives, including (i) effectiveness, efficiency and economy of operations, (ii) reliability of reporting and safeguarding of assets and information, (iii) prevention, detection, correction and follow-up of fraud and irregularities, and (iv) adequate management of the risk relating to the legality and regularity of the underlying transactions.

4. Have the Agencies identified and evaluated the possibility to coordinate and share resources on overlapping tasks with other Agencies with similar activities?

Reply: The ETF is the only EU agency with a mandate to work outside the EU. The ETF works with partner countries surrounding the EU to reform their education, training and labour market systems. Therefore, the tasks of the ETF do not overlap with any other agency.

The ETF has agreements and annual action plans on cooperation in areas of policy overlap with Cedefop (i.e. exchange of information and experience on EU and partner country VET policy and operational issues) and Eurofound (notably agreement reference AGR-ETF-0701 Eurofound).

In the context of identifying efficiency gains and synergies, the ETF has identified a number of opportunities to share resources with other agencies, for example:

- In 2019, the ETF managed, as leading institution, three interagency contracts for benchmarked staff engagement surveys with 27 participating agencies, for strategic communication services (9 agencies) and for evaluation services (2 agencies ETF and Cedefop);
- In 2019, the ETF signed 2 interinstitutional contracts and 2 service level agreements;
- In addition, the ETF participated in around 50 shared contracts and service level agreements with different Commission services and uses major Commission systems such as ABAC, ABAC Assets, SYSPER and e-procurement tools.

The ETF actively participates in working groups and agency networks such as:

- NAPO (Procurement)
- ICTAC (IT)
- PDN (Performance Development Network)
- Accounting Officers

- IAS AuditNet (audit and internal control)
5. To what extent has the working program of each agency been implemented and what are the most important achievements?

Reply: In 2019, the ETF successfully implemented 91% of the planned activities in the work programme and engaged over 5,500 stakeholders in 29 partner countries in the reform of their human capital development systems, with 79% of countries showing progress in the areas of qualifications, governance, employability, VET provision and entrepreneurial learning as measured by the qualitative Country Progress indicators (CPIs) annual assessment.

In the context of support to the EU external policies in the partner countries, the ETF has supported EU actions through the identification, formulation, implementation, monitoring and evaluation of EU external programmes in skills, employment and human capital development amounting to approximately €360 million, carried out through 116 targeted requests from EU services and Delegations. The ETF has also contributed to the new Africa-EU alliance with support to the African Continental Qualifications Framework component of 'The Skills for Youth Employability' programme. As in previous years, the ETF received positive feedback from EU services on the quality of ETF support with 100% of respondents confirming the quality and timeliness of ETF support.

The ETF contributed to European Union policy dialogue by monitoring the progress of reforms in the Enlargement region through input to the monitoring of Riga mid-term deliverables (in close cooperation with Cedefop) and input to the Commission assessment of the national Economic Reform Programmes (ERPs, as a 'light' European Semester approach) and contributions to relevant bilateral Sub-Committees (Acquis Chapters 26 and 19) under the coordination of DGs NEAR and EMPL.

The ETF continued its cooperation with international and bilateral development actors, including Member States, at the European, international and partner country level and to ensure sustainability and complementarity with: the IAG-TVET group coordinated by UNESCO, Agence Francaise Developpement (AFD), Belgium Development Agency (ENABEL), British Council (BC), German Development Agency Deutsche Gesellschaft für Internationale Zusammenarbeit GmbH (GIZ), KulturKontakt Austria, Lux Development and international financial institutions: the Asian Development Bank (ADB), European Bank for Reconstruction and Development (EBRD), European Investment Bank and World Bank (WB).

With the aim to improve policy making in education and training systems, the fifth round of the Torino Process was carried out broadening the analyses to include an independent ETF assessment of the human capital development challenges facing the partner countries. The process actively involved over 1,700 key policy makers and stakeholders in the 27 partner countries that participated.

To improve VET system governance, stakeholders in partner countries were empowered to design, formalise and implement coordination mechanisms at national, regional, sectoral

and local levels through horizontal (social partnership), vertical (sub-national level actors) as well as at the legislative and financial levels.

During the year, the ETF was active in all four geographic regions and bilaterally contributed to countries advancing in improving initial and continuing VET in terms of provision and quality assurance in a total of 16 countries through bilateral policy advice, regional peer learning and evidence collection. Countries also made good progress in the area of Work Based Learning including for candidate countries increasing their commitment in participating in the European Alliance for Apprenticeship. In the EaP, all countries participated in the WBL Annual Forum financed by EaP Platform 4.

Work on the development of qualifications and qualifications systems continued through targeted actions in partner countries to modernise VET for lifelong learning employability and competitiveness as well as support for the development and use of labour market intelligence as an input to employment and VET policy.

The Small Business Act (SBA) assessments were conducted in the countries of the Eastern Partnership and follow up activities from the 2018 assessments carried out in the Western Balkans and Turkey.

6. How many recommendations for improvement have been given by the internal audit service and how many of the recommendations from the previous year have been implemented?

Reply:

The ETF has not received any 'critical' recommendations from the Internal Audit Service and 2019 was no exception.

The Internal Audit Service issued six recommendations in 2019, as a result of the IAS audit on HR management and ethics in the ETF. Five out of six recommendations issued were ranked as 'important' by the Internal Audit Service and one was classed as 'very important'.

In 2019-2020 the ETF implemented actions to address all six recommendations for improvement. Two recommendations have been formally closed by IAS in Feb. 2020 and September 2020, including the recommendation ranked as 'very important'. Actions to address the remaining recommendations have been implemented, pending IAS review and formal closure.

The ETF does not have any open outstanding recommendations issued by the Internal Audit Service in 2018 or earlier.

### *Staff policy*

7. How did the Establishment Plan (officials and temporary agents) of each Agency evolve from 2018 to 2019, taking the data of 31.12.2019 compared with

31.12.2018?How many seconded national experts, contract staff, interim staff and consultants were working for each Agency in 2019, expressed in FTEs?

Number of staff

	Officials (posts filled)	Temporary agents (posts filled)
Establishment plan 31.12.2017-31.12.2018		86 (with 85 posts occupied on 31.12.2018)
Establishment plan 31.12.2018-31.12.2019		86 (with 86 posts occupied on 31.12.2019)

Other staff

	SNEs (FTE)	Contract agents (FTE)	Interim staff (FTE)	Consultants (FTE)
31.12.2019	0	41	3	2.5

8. Could each Agency present a gender and nationality breakdown of its senior and middle management positions and its management board, and of its staff overall, including as percentage of the total number for each category requested?

	Senior management Male	Senior management Female	Management board - Male	Management board - Female	Staff overall - Male	Staff overall - Female
Austria			1		3	1
Belgium			1		4	3
Bulgaria				1		
Croatia				1		
Cyprus			1		1	
Czech Republic				1		1
Denmark	1			1	1	1
Estonia				1		2
Finland		1	1		1	3
France			1		2	4
Germany			1	1	3	3
Greece		1	1		1	2
Hungary				1		
Ireland			1		1	1

Italy	1		1		8	43
Latvia				1		2
Lithuania						
Luxembourg				1		1
Malta			1			
Netherlands			1		2	2
Poland				1		4
Portugal			1			2
Romania				1	2	3
Slovakia			1			
Slovenia				1		1
Spain				1	3	3
Sweden				1		
United Kingdom	1			1	6	2
Norway						

Representation expressed as percentage

	% of males in the overall management staff	% of females in the overall management staff	% of males in the overall management board staff	% of females in the overall management board staff	% of males in the overall staff	% of females in the overall staff
Answer	60%	40%	48%	52%	31%	69%



9. How many former MEPs, Commissioners or high-level officials (from AD 14) still receive money from the budget of your institution as advisors, contract agents or others? What are their tasks and their respective salaries?

Reply: None

10. What measures / activities were organised to improve on the well-being for staff in each agency? What were the costs in 2019 and how many staff members participated in these events?

Events/measures taken by the Agency

Measures/Activities organised to improve on the well-being for staff	Cost of the activities	Number of staff that participated
Refresher course for ETF firefighting team (5 hours)	2,202.00	16
Training course on the use of a defibrillator (5 hours)	2	2
Refresher course on the use of a defibrillator (3 sessions, 3 hours each)	2,702.00	12
HEAT - Hostile Environment Awareness Training (16 hours)	10,290.00	12
Ethics and Integrity training for Managers (2.5 hours)	No cost	7
Communication Department team building day (8 hours)	5,908.75	11
Training course for the staff representative for safety (Rappresentante dei lavoratori per la sicurezza (RLS) (32 hours)	4,502.00	1
Postural gym / functional gym / tone up / total body / mobility (45 mins x 5 sessions per week) 9. Individual gym sessions 10. Psycho-socio support (3 sessions of individual counselling and support) 11. Annual medical check-ups (individual preventive health screening)	0 9. (individual gym sessions) zero cost 10. 3,754.00 11. 12,540.10	

11. What measures do Agencies use to prevent and fight against harassment? What kind of efforts have the Agencies made to facilitate easy and confidential reporting of internal and external harassment towards their staff? Were there any harassment cases reported, investigated or taken before the court in 2019?

Measures taken by the Agency

	What measures does your Agency use to prevent and fight against harassment?	What measures does your Agency have in place to facilitate easy and confidential reporting of internal and external harassment towards your staff?	In 2019 how many harassment cases were reported/investigated/taken before court?
Reply	Adoption of new ETF policy on protecting staff dignity in 2019. ETF participation in workshop on harassment organised by CEDEFOP. Regular meetings between confidential counsellors and HR contact person All newcomers received an induction on harassment, and presentation by confidential councillors ETF working group on respect established in 2019 with representatives from HR and the Staff Committee to define concrete actions to address disrespectful behaviour.	Leaflet updated and distributed to all staff on the role of confidential counsellors, reporting flows and who to contact in case of harassment. When possible, confidential counsellors are given individual offices. If this not possible, a private room is made available to ensure confidentiality. External staff such as interim workers are granted the same protection rights as ETF staff members and invited to all information sessions on harassment	No harassment cases were registered, investigated or brought to court in 2019.
Comment			

12. What was the average absence from work due to sick leave in 2019? How many working hours were lost as a consequence of burnouts or other work-related reasons?

Answer by the Agency

	Average absence from work due to sick leave (in days) in 2019.	Number of working hours lost as a consequence of burnouts or other work related reasons	Comments
Reply	9.78	The certified absences do not specify the detailed reason(s) for absence.	This figure includes absences related to medical part-time and is calculated on the total number of staff in the ETF (128 staff members). Without medical part-time the figure would be 9.33 days.

13. Could the Network prepare a comprehensive list of staff-cuts implemented per individual Agency in accordance with the Commission's plan until 2019? How many of these staff-cuts were replaced by Contractual Agents or External experts?

Staff cuts 2013-2019

	Staff cuts per Agency	Contract agents employed	External experts employed	Comments
2013	0	39	0	2 Local Agents employed in 2013 For staff cuts on Temporary Agents, the decrease was from 96 to 86 until 2018
2014	-2	39	0	2 Local Agents employed in 2014
2015	-2	39	0	2 Local Agents employed in 2015

2016	-2	40	1	Reduction by 1 Local Agent and increase by 1 Contract Agent 1 Local Agent employed in 2016
2017	-2	40	0	1 Local Agent employed in 2017
2018	-2	41	0	employment on 31.12.2018 1 Local Agent employed in 2018
2019		41		employment on 31.12.2019 1 Local Agent employed in 2019

14. Is there any increase of the workload or new tasks designated to each agency and how does it manage to accommodate these to the available staff in 2019? Did your Agency face an increase in workload or new tasks assigned in 2019? How did you accommodate these with the staff available in 2019?

Reply: In 2019, the ETF provided support through a total of 116 requests originating from the European Commission and the EU Delegations. The number of requests continued the trend from 2017-2018, becoming more substantial and long-term or regular annual requests. The ETF is the only agency devoted to the promotion of human capital development in third countries and in view of the increased focus of EU actions on human capital development it is expected that the requests for ETF assistance will further increase in number and substance.

### *Conflicts of interest and transparency*

15. Could each Agency confirm whether the declarations of conflicts of interest are in place (and public) for their: · management board members · senior management?

Declaration of CoI

	Management board members	Senior management	Comments
Reply	The declarations of conflicts of interest are both in place and public	The declarations of conflicts of interest are both in place and public	

16. Could each Agency confirm if they publish on their website the CVs of their: ·  
management board members · management staff · external experts · in-house experts?

	Management board members	Management staff	External experts	In-house experts	Comments
Answer	YES	YES	NO	NO	

17. What kind of mechanisms do the Agencies use to identify and avoid conflicts of interest, and were there any cases of conflicts of interest reported, investigated and concluded in 2019?

Reply: The ETF has reviewed and updated key documents in the area of ethics and the prevention and management of conflicts of interest. In 2018 the ETF updated its ETF Code of Good Administrative Behaviour and the ETF Guidelines for whistleblowing; the ETF procedure for the collection and publication of declarations of commitment and interests and CVs was formalised and approved in 2019. In 2020 the ETF updated its policy on the management of sensitive functions.

In parallel, the ETF has focussed on awareness raising and internal communication in the area of ethics. Tailored refresher training sessions on absence and management of conflict of interest were held for HR, finance, procurement actors and a specific one held for managers. A dedicated area on the ETF intranet has been created and regular posts and reminders published on ETF Workplace.

As measures to identify and avoid conflicts of interest, the ETF has created for the most relevant processes specific forms to declare potential conflict of interests (e.g. for selection procedures and procurement ones), on which basis then the Director decides on the way forward.

In 2019, a potential conflict of interest was identified within a selection procedure, this was raised through the above-mentioned form, and the Director took the decision to modify the composition of the Selection Assessment Board accordingly.

18. For the Agencies that depend on fee collection: how many percent of the Agency's income consist of fees? How does the Agency view in this regard the danger of conflicts of interest for relying on fees from their clients? What kind of mechanism(s) to prevent conflict of interests do the agencies that collect fees from their clients have at their disposal? Would the Agency consider it an appropriate solution if the Commission would collect the fees, and the Agency would hence be fully funded from the EU budget?

Fee financed Agencies

	How many percent of your Agency's income consists of fees?	Does the Agency see any potential danger of Col from relying on fees from its clients?	What kind of mechanisms does the Agency use to prevent Col stemming from the collection of fees?	Would the Agency consider it an appropriate solution for the Commission to collect the fees and the Agency to be fully funded from the EU budget?
Reply	n/a	n/a	n/a	n/a

19. Have all the Agencies set up and implemented internal rules or common guidelines on whistleblowing? Could the Agencies provide the number of open, closed and ongoing whistleblowing cases in 2018? Which actions were taken for each of these case and what were the results?

	Has your Agency implemented internal rules or common guidelines on whistleblowing?	Can the Agency provide the number of open/closed/on-going whistleblowing cases in 2019?	What actions were taken for each of these cases and what were the results?	Comments
Reply	In 2018 the ETF adopted Guidelines for whistleblowing.	One case ongoing	Whistle-blower heard and consequential actions undertaken in the context of a disciplinary procedure	
Comment				

20. Are all meetings with lobbyists, in case such meetings were held: · registered · made public?

Meeting with lobbyists

	Were the meetings registered?	Were the meetings made public?	Comments
Agency meeting with lobbyists	All meetings with the ETF Director are registered. Due to the nature of ETF core activities there is little interest from lobbyists.	Yes, on ETF website at this link <a href="https://www.etf.europa.eu/sites/default/files/document/Information%20on%20meetings%20held%20by%20ETF%20Director_%20Cesare%20Onesni%20-%20Transparency_2.pdf">https://www.etf.europa.eu/sites/default/files/document/Information%20on%20meetings%20held%20by%20ETF%20Director_%20Cesare%20Onesni%20-%20Transparency_2.pdf</a>	

## *Other comments*

21. Which measures did the Agencies implement in 2019 in order to increase their public visibility and online presence? Could you please summarize shortly the actions taken in order to promote the work of the Agencies to EU citizens, and to make services available to the wider public, civil society and academia where appropriate?

Reply: The ETF's new website, which was launched in 2018, contains general information on the ETF, its objectives and achievements in all the EU official languages and the principal languages of its partner countries.

The ETF has developed an important social media presence targeting the general public and young people in particular, with over 26,500 followers on its different social media channels at end 2019 (Facebook, Twitter, LinkedIn, Instagram, YouTube). The ETF has continued to use video as a means of communicating direct and simple message to a wide public and now has nearly 350 videos on its YouTube channel. The ETF cooperates with the Commission Representation and the Europe Direct network in communicating the EU message locally, with regular visits to schools and hosting school and university groups at the ETF.

The ETF's publications and data, as well as information on the countries where it works and its different actions and activities, are available on its website.

In 2019 the ETF developed a knowledge sharing platform called ETF Open Space, which has over 1,700 members. This is a key tool in achieving the ETF's strategic objective of being a global knowledge hub for skills and employment policies in developing and transition countries

22. Which measures did the Agencies implement in 2019 in order to increase their cyber security and protection of the digital records in its possession? Does the Agency have such a policy in place / in a making?

Reply: In July 2019, the ETF signed a Service Level Agreement between the EU Computer Response Team (CERT-EU) and the ETF, thereby mitigating the risk of cyber-attacks through close cooperation and full membership with CERT-EU. A cyber security monitoring service was introduced in 2019, with the installation of onsite software to search, monitor and analyse machine-generated big data, and an Intrusion Detection System (IDS) to facilitate monitoring of the network and systems for malicious activities or policy violations. Both services are connected using ETF dedicated and secure Testa network, and both services allow CERT-EU to monitor the activity of the ETF network remotely.

The ETF has an electronic communications policy in place. This clearly outlines the rights and responsibilities of staff in relation to the use of ETF's electronic communication systems.



The ETF takes cyber security seriously and is currently reviewing its information security controls with the development of ETF Information Security Policy.

23. Could the Agencies provide a list of their internal measures in place to: · put in place a comprehensive strategy for sustainable development, including steps to reduce or offset CO<sup>2</sup> emissions? · ensure a cost-effective and environment-friendly working place?

Internal measures in place

	Ensuring cost-effective and environment-friendly working place	Comprehensive strategy for sustainable development, including steps to reduce or offset CO2 emissions?
Answer	<p>In 2019 the ETF cross-departmental environment group was reactivated. In 2019 videoconference facilities were improved, thereby offering a viable alternative solution to missions and face to face meetings. The ETF continues to use environmental criteria in tendering procedures. Outsourced cleaning services continue to be carried out using environmentally friendly products. To diminish the impact on the environment, broken IT equipment is disposed of in accordance with local regulations. Furniture no longer used is donated to schools and public organisation.</p>	<p>In 2019 the ETF began preparatory work as a first step working towards EMAS certification, planned for 2020.</p>

***Budget and financial management and performance***

1. Could all Agencies illustrate the amounts of planned and unplanned carryovers and of carryover cancellations by budgetary title and the main reasons behind them?

**Planned carry-overs**

	Budgetary title	Amount	Justification
Title 1	Title 1	0.45 MIO	Accruals and n+1 activities
Title 2	Title 2	5.01 MIO	Accruals and n+1 activities
Title 3	Title 3 open commitments	229.02 MIO	Multi-annual operational expenditure
Title 4	Title 3 carry-forward by MB decision	159.08 MIO	The MB authorised the carry forward by decision of a significant amount of appropriations due to mismatch between the planning of the legislative financial statements for new tasks, and the actual date of their entry into force, or completion of the subsequent acts.

**Unplanned carry-overs**

	Budgetary title	Amount	Justification
Title 1			
Title 2			
Title 3			
Title 4			

**Cancelled carry-overs**

	Budgetary title	Amount	Justification
Title 1	Title 1	0.08 MIO	Deliverables not accepted or activities cancelled
Title 2	Title 2	0.62 MIO	Deliverables not accepted or

			activities cancelled
Title 3	Title 3	4.82 MIO	3.2 mio EUR are related to the transfer of the VIS network from DG home to eu-LISA. The cancellation is due to the Agency receiving open budgetary commitments and contracts, which together with the overall VIS network situation and the time of the transfer, didn't allow full usage of the commitments. The remaining amount is due to other deliverables not accepted or activities cancelled.
Title 4			

2. What are the key performance indicators (outcome/impact) used by the Agencies for measuring the added value provided by their activities, and for enhancing their budget management in this regard? Which KPIs were added / deleted in 2019? Do the Agencies use or plan to introduce other instruments to measure performance?

Performance indicators:

The table below lists the corporate KPIs used by eu-LISA to assess the outcomes and impact of its activities, and the quality of the services delivered to the Member States. It was adopted by the Management Board on 30 June 2020 as part of the Consolidated Annual Activity Report 2019.

This list of 29 KPIs was adopted by eu-LISA Management Board in 2017. Following a request of the Management Board in 2019, eu-LISA undertook to review the KPIs. An updated list of KPIs was adopted in March 2020 and will be used for the Agency's Consolidated Annual Activity Report 2020.

KPI	Corporate key performance indicator	Target	Actual 2019
1	Number of identified critical shortcomings during security tests	0	1
2	Percentage of identified security risks treated by assured security controls	100 %	90 %
3	Eurodac central system availability	Green $\geq$ 99.99 % 99.99 % > Amber $\geq$ 99.50 % Red < 99.50 %	99.55 % (Amber)

4	Eurodac central system response time	Green $\geq$ 99.45 % 99.45 % > Amber $\geq$ 90 % Red < 90 %	99.91 % (Green)
5	Wide Area Network (WAN) availability (for SIS II and VIS systems)	Green $\geq$ 99.99 % 99.99 % > Amber $\geq$ 99.50 % Red < 99.50 %	99.9926 % (Green)
6	SIS II central system availability	Green $\geq$ 99.99 % 99.99 % > Amber $\geq$ 99.50 % Red < 99.50 %	99.95 % (Amber)
7	SIS II central system response time	Green $\geq$ 99.5 %, 99.5 % > Amber $\geq$ 99 % Red < 99 %	99.84 % (Green)
8	VIS central system availability	Green $\geq$ 99.99 % 99.99 % > Amber $\geq$ 99.50 % Red < 99.50 %	99.65 % (Amber)
9	VIS central system response time	Green = 100 % 100 % > Amber $\geq$ 90 % Red < 90 %	97.79 % (Amber)
10	Cancellation rate of carried-over payment appropriations	< 5 %	12.7 %
11	Rate (%) of budgetary commitments implementation	95-99 %	98.70 %
12	Rate (%) of payment implementation	> 95 %	99.30 %
14	Ratio (%) of administrative resources to operational resources	Administrative: 20 %	16.61 %
		Operational: 70 %	72.38 %
15	Ratio (%) of payments completed within statutory deadlines	90-100 %	92.8 %
16	Average square metres of office space per FTE (m <sup>2</sup> )	10 m <sup>2</sup>	11.27 m <sup>2</sup>
17	eu-LISA training course external participant satisfaction	> 3	4.39
18	Procurement compliance with the Agency's Procurement and Acquisition Plan	0.5-1.5	1.12
19	Procurement project management: % of main procurement projects on schedule	> 60 %	58 %
20	Customer satisfaction: % of MS users satisfied or very satisfied with the overall service provided by the eu-LISA Service Desk	> 80 %	93.40 %
21	Ratio (%) of activities identified in the Annual Work Programme met or on schedule	90 %	82 %

22	Member States' systems service desk performance	> 80 %	90 %
23	Project management: assessing completed projects against defined quality/cost/time parameters	< 10 %	8.57 %
24	Percentage of audit recommendations implemented within stipulated deadlines	80-100 %	62 %
25	Percentage of uncertified vs certified absence days from work within reporting period	< 25 %	30 %
26	Annual percentage staff turnover	≤ 5 %	3.14 %
27	Staff performance index	Completed appraisals: 100 %	99 %
		Low performance: < 5 %	0 %
		Top performance: > 10 %	56 %
28	Staff engagement level	≥ 80 %	88 %
29	External communication: eu-LISA web-based visibility	Unique visitors: open	95 570
		Average visit duration: open	2.24 minutes
		Bounce rate (left after one page): open	41.75 %
		Actions per visit (average): open	3.32

4. Have the Agencies identified and evaluated the possibility to coordinate and share resources on overlapping tasks with other Agencies with similar activities?

Reply: In general, eu-LISA is aiming to make available the widest catalogue of contractual vehicles for different operational actors, with a view to ensure cost efficiency and economy of scale. This includes pooling of resources with, and via other Agencies, through participation in inter-institutional call for tenders. With a Transversal Engineering Framework, eu-LISA has paved the way for joint procurement of services and possible cost saving for other JHA agencies. In parallel, contractual arrangements are in place with other service providers (e.g. DG DIGIT, EU Publication Office, CERT-EU, COM PMO) in order to reduce administrative costs and avoid duplication of horizontal services like HR, procurement, translation or corporate IT.

eu-LISA is currently working very closely with all the agencies in the JHA domain, providing centralised solutions to many end-users e.g. EUROPOL, FRONTEX, EASO. Implementation of the Interoperability package, including Biometric Matching System (sBMS), will bring the shared management of resources to a new qualitative level. MoUs, Working Arrangements and cooperation plans are in place with EASO, Eurojust, Europol, CEPOL, FRA, Frontex and

ENISA. This involves eu-LISA experts participating in the meetings of other Agencies (up to the Management Board), joint workshops, and, as a common practice, support between the Agencies in recruitment, nominating members of the Selection Panels if specific expertise is required.

In parallel, discussions are ongoing with a view of takeover of future IT-solutions in the Justice domain. In April 2020 eu-LISA successfully took over the management of the European Criminal Records Information System (ECRIS) from COM DG JUST, and preparations are ongoing for possible takeover of the e-CODEX platform and other relevant developments in the field of e-Justice (e.g. Digital Criminal Justice).

eu-LISA is also acting as a secure service provider, e.g. hosting back-up IT-systems and providing disaster recovery services to FRONTEX and EASO. eu-LISA Management Board has also studied the possibilities of extending the mandate of the Agency to become a central service provider outside the JHA area. A relevant study conducted by Pricewaterhouse Coopers in spring 2020 on the request of the Estonian Government was discussed at the Management Board meeting in July 2020. The study highlighted a number of areas where the extension of the mandate of the Agency could provide added value. As an example eu-LISA could take over the management of customs IT-solutions or become a central IT-service provider to all the EU institutions and agencies. Nevertheless, these options depend on the political choices that will be addressed during the second evaluation of the Agency's mandate.

5. To what extent has the working program of each agency been implemented and what are the most important achievements?

Reply: In its assessment of the eu-LISA Annual Activity Report 2019, the Management Board considered that in 2019 eu-LISA achieved the results defined in the 2019 Annual Work Programme included in the Agency's Programming Document for 2019-2021, both in terms of outcomes and performance.

The most important achievements of eu-LISA in 2019 were the following:

Operational management of the existing systems

eu-LISA maintained the uninterrupted operation of SIS, VIS/BMS and Eurodac throughout the year, within legal requirements and agreed service levels. The availability of SIS was 99.95 %, that of VIS was 99.65 % and that of Eurodac was 99.55 %. The annual eu-LISA stakeholder satisfaction survey for 2019 showed that over 93.4 % of Member States were satisfied or very satisfied with eu-LISA's services.

In line with the new legal instruments, the SIS II Release 9.3.0 was successfully deployed in January 2020. This release included new access control features that enable Europol, Eurojust and Frontex to query all relevant types of alerts in the system along with performing fingerprint searches. The SIS AFIS phase 2 was kicked-off. Its objective is the implementation of additional biometric requirements stemming from the SIS recast regulations. To answer the needs of the Member States and the continuous increase in the number of searches, the Agency started a project for the

increase of query capacity. A major evolution of the system with the implementation of the new ICAO transliteration rules was delivered in October 2019. The Agency supported the integration of new users (Cyprus, Ireland and Frontex).

The evolution of VIS/BMS in 2019 aimed to ensure its sufficient capacity to meet the growing needs of the Member States, stemming from the implementation of the EU Common Visa Policy. The capacity of VIS was successfully increased to 100 million applications, ensuring sufficient capacity for the Member States. The VIS/BMS test environment was improved with the completion of several projects. The Agency also worked on the integration of new users (Europol, passive access for Bulgaria and Romania). The evolution of VIS/BMS has been strongly influenced by the future interconnection between VIS and EES.

Pending the adoption of the new Eurodac Regulation, the functional evolution of Eurodac was put on hold. One new release was deployed, including adaptive and correctives changes.

In 2019, the Agency implemented a new monitoring solution for the management of the systems. It generated efficiency gains in the daily tasks of Agency staff and improved their working environment.

#### Implementation of new systems

In 2019, eu-LISA continued its work on the implementation of the new systems entrusted to it (EES, ETIAS, interoperability and ECRIS-TCN). Considering the scale of these initiatives, they have been organised as internal programmes to ensure synergies and efficiency in the use of available human and financial resources.

On 17 May 2019, eu-LISA kicked off the execution of the framework contract for the development of the EES system. At the end of 2019, the programme setup phase was close to completion. The requirements and specifications phase, in which the detailed technical requirements for the system and its architecture are developed, was progressing at full speed. The development phase was initiated with the signature on 23 December 2019 of two specific contracts, covering the NUI delivery and installation at central and national level, and the procurement of necessary licences for the automation of the release deployment. The phase 2 of the EES BMS (including sBMS) tender was launched on 15 August 2019 and ended on 20 December 2019. In line with the indicative planning, eu-LISA started working on the VIS-EES interoperability as well. A decision was taken that the biometric data for VIS will immediately use the sBMS, without migration for the EES onto an intermediary system, resulting in an overall saving of approximately EUR 30 million.

The Agency established the necessary ETIAS governance bodies: the ETIAS Programme Management Board and the combined EES-ETIAS Advisory Group. The preparation phase of the ETIAS programme has progressed as planned, with the recruitment of the team, the contribution to the preparation of delegated and implementing acts, and the preparations of the tender technical specifications. A new approach for procurement was prepared, the transversal engineering framework (TEF), aiming at setting up a contractual shell for the design, development, testing and implementation of new systems, starting with ETIAS.

Following the entry into force of the interoperability regulations, the Agency put in place without delay the necessary internal arrangements and initiated the preparatory work for their implementation. It has been organised in three work streams: recruitment of new staff, preparation of the procurement procedure, and support to the European Commission and the Member States for the preparation of the required delegated and implementing acts. The Agency anticipated the

development of interoperability components within other new developments. In particular, the sBMS and the CRRS will be developed as part of the EES programme, the ESP and the CIR will be developed as part of the ETIAS programme and the MID will be developed separately.

Similarly, following the entry into force of the ECRIS-TCN regulation, the Agency progressed with the recruitment of the new staff allocated to the development, started the preparation for the procurement procedure and initiated a close collaboration with DG JUST to assist with the preparation of implementing and delegated acts.

#### Evolution of infrastructure and networks

During the reporting period, the SIS and VIS communication infrastructure using the TESTA-ng services framework contract performed in accordance with the legal and operational requirements. The SIS II second encryption layer ensured the security of the SIS II and SireneMail business data and reached an availability of 100 % during the reporting period.

The upgrade of the VIS communication infrastructure progressed and is planned to be completed in July 2020. Once upgraded, the VIS communication infrastructure will have a capacity almost seven times higher than before, and will be ready to support the entry into operation of EES and ETIAS. During the reporting period, a second encryption layer pilot on the VIS communication infrastructure was carried out. However, a full roll-out of the VIS second encryption layer to all Member States was put on hold, until the EES second encryption layer is designed, as both need to use the same communication infrastructure.

The upgrade of TESTA-ng SIS communication infrastructure started in 2018 and continued during the reporting period. Starting in November 2019, upgrades have been deployed for three sites per month. When the upgrade is completed all Member States will increase their bandwidth from 10 Mbps to 50 Mbps, with an option to upgrade to 100 Mbps.

During the reporting period, the Agency ensured the operational management and daily operation of its infrastructure, both at the main technical site in Strasbourg and at the backup site in St Johann im Pongau, Austria.

#### Cooperation with stakeholders

eu-LISA abided by its commitment to a very close, transparent and constructive collaboration with its Management Board (MB) and the Advisory Groups (SIS, VIS, Eurodac, EES-ETIAS, Interoperability and ECRIS-TCN). Following the entry into force of the ETIAS regulation, the Agency initiated the ETIAS PMB and extended the EES AG remit to cover ETIAS (joint EES-ETIAS AG). Their first meetings were subsequently held on 1 February 2019 (ETIAS PMB) and on 13 March 2019 (EES-ETIAS AG). Three Working Groups (WG) worked under the umbrella of the EES-ETIAS AG: the WG for ICT Solutions for the MS with external land and sea borders, the Carriers WG (jointly organised with the European Commission) and the WG on Biometrics. Similarly, following the entry into force of the interoperability (IO) and ECRIS-TCN regulations, the preparatory work was completed to organise their first respective AG and PMB meetings: the first IO PMB took place on 30 October 2019, and the first IO AG meeting took place on 21 January 2020, the first ECRIS-TCN AG and PMB meetings took place respectively on 24 and 30 January 2020.

eu-LISA continued its involvement in the Schengen evaluation mechanism by contributing to the monitoring of the application of the Schengen acquis. In 2019, the Agency supported ten Schengen evaluation missions and four common visa policy evaluations following requests from the European Commission.



The eu-LISA Annual Conference – ‘The New information architecture as a driver for efficiency and effectiveness in internal security’ - was organised in October 2019 under the auspices of the Finnish Presidency of the Council of the EU and brought together close to 200 delegates representing the Member States, EU institutions and fellow Agencies, as well as practitioners from industry and academia. Two industry roundtables, with a total turnout of over 190 participants, provided valuable fora for focused discussions about the practicalities and solutions for architectural design and development of the future large-scale IT systems entrusted to the Agency.

#### Organisational transformation

The Agency launched in 2019 a corporate transformation programme with the aim to align the Agency’s organisation with its new mandate and responsibilities. The programme, named ‘eu-LISA 2.0’, aimed to ensure that the reorganisation process was delivered in an open and transparent manner, engaging actively the Agency’s staff. A key element of the programme was the new organisational structure of the Agency. It has been rolled out as of 1 September 2019. A completely new organisational matrix structure has been designed and implemented for the Operations Department. The organisation of corporate functions was also redesigned.

#### Sites

The Agency has started a project to extend the size of its technical site facilities in Strasbourg. Following an ex-ante check with the European Commission and the French representative of the Management Board, it was agreed that the Ministry of Interior of France will support the Agency for the design and implementation of the project. At the end of 2019, the Agency signed a contract for a programmers’ service to prepare the preliminary design and technical conditions for a technical design service which should start at the end of 2020.

6. How many recommendations for improvement have been given by the internal audit service and how many of the recommendations from the previous year have been implemented?

Reply: In 2019, the Agency did not receive audit recommendations from the Internal Audit Service. In 2019, the Agency implemented three (3) out of 12 recommendations from the previous year. The Agency has reviewed and streamlined the action plans to ensure that all outstanding recommendations are implemented by the end of 2020.

#### *Staff policy*

7. How did the Establishment Plan (officials and temporary agents) of each Agency evolve from 2018 to 2019, taking the data of 31.12.2019 compared with 31.12.2018? How many seconded national experts, contract staff, interim staff and consultants were working for each Agency in 2019, expressed in FTEs?

Number of staff

	Officials (posts filled)	Temporary agents (posts filled)

Establishment plan 31.12.2017-31.12.2018	0	122
Establishment plan 31.12.2018-31.12.2019	0	154

Other staff

	SNEs (FTE)	Contract agents (FTE)	Interim staff (FTE)	Consultants (FTE)
31.12.2019	8	61	82 (intra-muros)	eu-LISA does not use consultants to augment its core team.

8. Could each Agency present a gender and nationality breakdown of its senior and middle management positions and its management board, and of its staff overall, including as percentage of the total number for each category requested?

	Senior management Male	Senior management Female	Management board - Male	Management board - Female	Staff overall - Male	Staff overall - Female
Austria			2	0	0	0
Belgium			0	2	7	1
Bulgaria	1		2	0	2	4
Croatia			2	0	2	1
Cyprus			2	0	0	0
Czech Republic			2	0	1	0
Denmark			2	0	0	0
Estonia			1 (1 alternate vacant)	0	5	15
Finland			2	0	1	1
France			2	0	47	2
Germany			2	2	8	2
Greece			2	0	23	9
Hungary			2	0	4	2

Ireland			2	0	2	0
Italy			1	1	13	4
Latvia			2	0	2	3
Lithuania			2	0	3	2
Luxembourg			2	0	0	0
Malta			2	0	0	0
Netherlands			2	0	3	0
Poland			2	0	7	6
Portugal			1	1	2	3
Romania			0	2	19	6
Slovakia			2	0	2	0
Slovenia			2	0	0	0
Spain			2	0	4	4
Sweden			2	0	0	0
United Kingdom			1 (1 alternat vacant)	0	1	0
Norway			2	0	0	0

Representation expressed as percentage

	% of males in the overall management staff	% of females in the overall management staff	% of males in the overall management board staff	% of females in the overall management board staff	% of males in the overall staff	% of females in the overall staff
Answer	77	23	86,2	13,8	71	29

9. How many former MEPs, Commissioners or high-level officials (from AD 14) still receive money from the budget of your institution as advisors, contract agents or others? What are their tasks and their respective salaries?

Reply: Currently there are no former MEPs, Commissioners nor high-level officials on the Agency's payroll.

10. What measures / activities were organised to improve on the well-being for staff in each agency? What were the costs in 2019 and how many staff members participated in these events?

Events/measures taken by the Agency

	Measures/Activities organised to improve on the well-being for staff	Cost of the activities	Number of staff that participated
	FIT Programme	43,012 EUR	98 persons

11. What measures do Agencies use to prevent and fight against harassment? What kind of efforts have the Agencies made to facilitate easy and confidential reporting of internal and external harassment towards their staff? Were there any harassment cases reported, investigated or taken before the court in 2019?

Measures taken by the Agency

	What measures does your Agency use to prevent and fight against harassment?	What measures does your Agency have in place to facilitate easy and confidential reporting of internal and external harassment towards your staff?	In 2019 how many harassment cases were reported/investigated/taken before court?
Reply	In December 2018, the Agency adopted the eu-LISA policy on protecting the	The Agency has in place an informal and formal procedure for situations of	Following a request under Article 24 SR issued by a staff member in October

<p>dignity of the person and preventing psychological harassment and sexual harassment (Decision No 2018/174 REV 1 of 6.12.2018 of the Management Board of eu-LISA). In addition, in case of formal procedures, the Agency has in place rules on administrative inquiries. Recently, in July 2020, a manual for confidential counsellors was adopted (Decision of the Executive Director of eu-LISA on the appointment of internal confidential counsellors and HR Coordinator and adoption of manual for confidential counsellors – Ref. Ares(2020)3483135 – 02/07/2020). Furthermore, the Agency organises awareness sessions on harassment and the role of confidential counsellors. The Human Resources Unit (HRU) created an interactive online course on the internal webpage of iLearn on the awareness on harassment, which has become also part of the the onboarding programme, prompting every newcomer to complete it. Last, access to numerous resources in iLearn and in the intranet (eu-LISA as a Respectful Workplace) has been</p>	<p>psychological and/or sexual harassment. The informal procedure involves confidential counsellors, which are already appointed by the Executive Director of eu-LISA. Prior the formal appointment, the confidential counsellors receive special training in targeted modules. Subsequently, they also receive regular training and appropriate supervision for such counselling work. Any person in the Agency (staff members, SNEs, interns and external services providers) who feels he/she is a the victim of psychological harassment or sexual harassment may approach the confidential counsellor by contacting the Confidential Counsellors Coordinator in the Human Resources Unit (HRU) or by contacting the confidential counsellor of their choice directly by consulting the list published on the Agency's Intranet. Alternatively, the person might contact the Human Resources Unit seeking assistance. With the formal procedure, when needed or requested, an administrative inquiry is initiated. Any person in the Agency (staff members and SNEs) who feels that he/she is a victim of</p>	<p>2018, the Agency has opened an administrative inquiry on 15 February 2019. The procedure was completed in September 2019 and disciplinary sanctions were applied. A complaint was issued against the disciplinary measure and the Agency is planning to reply by the beginning of August 2020. It is not yet known whether the case will be taken before the General Court. This information will become available by the end of 2020.</p> <p>Based on the data which were collected from the confidential counsellors during 2019, there were nine (9) cases reported. From those cases, 30% of the involved persons were male and 70% female. Moreover, 60% of the involved parties were external contractors (intra-muros) and 40% statutory staff. The type of the issues that were recorded had to do with psychological harassment (45%), conflict (35%) and sexual harassment (20%). Regarding the actions that were taken, in the majority of the cases (65%) information was provided for one time, and in some other cases (35%) guidance and support was provided more than once. None of the</p>
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	<p>provided. eu-LISA has adopted a proactive approach to prevent and fight against harassment and serious cases of conflict. This approach is divided into two main aspects: awareness, as well as continuous training and development. Awareness a) The confidential counsellors together with the HR Coordinator are conducting dedicated awareness session for all eu-LISA employees. b) As part of the on-boarding programme, every newcomer at eu-LISA is invited to attend a Learning &amp; Development face-to-face session about Ethics &amp; Integrity at the Workplace. During that session, the new employees are being informed about the Code of Conduct at eu-LISA, as well as the measures which are taken in order to tackle issues of harassment and conflict. This session is complemented from a self-directed e-learning course about Psychological and Sexual Harassment at the Workplace. Continuous training and development: a) HRU/L&amp;D Sector has organised a series of webinars with the purpose to educate people about how to prevent cases of harassment and how to</p>	<p>psychological harassment or sexual harassment is entitled under the Staff Regulations to initiate a formal procedure: either immediately, without first going through the informal procedure, or in the course of or at the end of the informal procedure. In addition, any person not covered by the Staff Regulations working under a contract under national law and wishing to lodge a complaint concerning psychological harassment or sexual harassment against a member of Agency staff may do so under national legislation. However, if anyone brings the events, which are the subject of their complaint, to the attention of the HRU and if the information provided is sufficiently serious, an administrative inquiry may be opened. In both procedures, the persons involved (e.g. confidential counsellors, Investigation Panel Member) sign a declaration of confidentiality.</p>	<p>alleged victims who approached the Confidential Counsellors opened the informal procedure. In none of the cases, there was an opening of the informal procedure.</p>
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	<p>cope in situations of serious conflicts. b) HRU/ L&amp;D Sector has also arranged to provide dedicated training and coaching with an external expert for HR staff, managers and legal adviser. c) Following a data-driven approach the topic of misconduct is periodically assessed through the engagement survey with dedicated questions where the input of the respondents remains anonymous. This kind of hard-data enables the Agency to assess whether the measures which have been taken are effective and in which areas further improvement would be required.</p>		
Comments:			

12. What was the average absence from work due to sick leave in 2019? How many working hours were lost as a consequence of burnouts or other work-related reasons?

Answer by the Agency

	Average absence from work due to sick leave (in days) in 2019.	Number of working hours lost as a consequence of burnouts or other work related reasons	Comments
Reply	6.2 days per person per year	Not available	Due to the sensitivity of information contained in medical certificates, the data about burnouts is not available to HR

13. Could the Network prepare a comprehensive list of staff-cuts implemented per individual Agency in accordance with the Commission's plan until 2019? How many of these staff-cuts were replaced by Contractual Agents or External experts?

Staff cuts 2013-2019

	Staff cuts per Agency	Contract agents employed	External experts employed	Comments
2013	n/a	n/a	n/a	
2014	n/a	n/a	n/a	
2015	n/a	n/a	n/a	
2016	2	no	1	One cut post was replaced by an external service provider and later by a CA, the second remained not replaced.
2017	3	no	no	
2018	2	no	no	Posts were cut without replacement. Re-

				location of additional posts granted to the Agency in 2019 was made in order to compensate for some crucial posts that had to be cut.
2019	n/a	n/a	n/a	

14. Is there any increase of the workload or new tasks designated to each agency and how does it manage to accommodate these to the available staff in 2019? Did your Agency face an increase in workload or new tasks assigned in 2019? How did you accommodate these with the staff available in 2019?

Reply: The workload of the Agency has increased significantly due to the additional work related to Entry/Exit System, ETIAS, ECRIS-TCN and Interoperability package. Furthermore, the Agency has been trusted with several additional ad hoc tasks, as an example the development of a prototype for the eVISA website. The limited number of staff indicated in LFS remains one of the main challenges for the Agency in a short, but also long-term perspective. In 2019, the Agency was seeking for additional staff (17 - CA) on top of the staff allocated in LFS. However, this request was not approved by the European Commission. The detailed statistics on eu-LISA staff in 2019 is covered under question 7. (Staff Policy).

As of 1 July 2020 there are 221 staff members (temporary agents and contract agents), 9 Seconded National Experts and 4 interns working at the Agency (in total 234 persons). In addition, there are 39 recruitment procedures ongoing. The Agency expects the number of staff to increase to over 300 staff members by the end of 2020 (subject to the ability of the Agency to reduce the negative effects of the COVID-19 crisis on implementation of the recruitment plan for 2020).

Since the start of its operations in 2012, eu-LISA uses internal staff for the critical tasks related to the operational management of the systems entrusted to it, their evolution and the development of new systems. To optimise further the use of its internal staff the Agency is in the process of finalising its Sourcing Strategy.

Alongside with it, in the context of the development of the new systems entrusted to the Agency, eu-LISA introduced a substantial change in the architecture of the contracts used for the development and management of the systems. It moved away from the silo approach inherited from the European Commission and replaced it with a transversal approach. The new approach will provide eu-LISA with a broader number of contractual partners. Combined with

the Sourcing Strategy it will be an efficient tool to reduce significantly risks related to possible vendor lock-in.

However, considering the scale and complexity of the operations, the Agency has to use private contractors. Regarding the external service providers, presently the Agency retains the services of 96 individuals. Furthermore, this figure does not include the number of staff of the companies contracted to support the Agency in the operational management of the existing systems or for the development of the new ones. As an example, the development of EES has been awarded to a consortium - LIA - composed of the companies Leonardo, IBM and ATOS. This project entails the design, development and implementation of a new IT system based upon the established legal base. The team of the consortium includes 146 expert staff members working on the EES project and 44 people in various management functions.

It is important to note that the dependency from the private contractual service providers could only be reduced with further substantial increase of internal staff of the agency, beyond the figures of its present Establishment Plan.

### *Conflicts of interest and transparency*

15. Could each Agency confirm whether the declarations of conflicts of interest are in place (and public) for their: · management board members · senior management?

Declaration of Col

	Management board members	Senior management	Comments
Reply	Col are in place	In place for top management	

16. Could each Agency confirm if they publish on their website the CVs of their: · management board members · management staff · external experts · in-house experts?

	Management board members	Management staff	External experts	In-house experts	Comments
Answer	The eu-LISA establishing regulation does not contain the obligation to publish the CV-s of Management Board Members. The Agency cannot impose this obligation to the MB members without the	The CV's of top management are published.	eu-LISA does not use external experts	eu-LISA does not use in-house experts	

	legal ground.				
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17. What kind of mechanisms do the Agencies use to identify and avoid conflicts of interest, and were there any cases of conflicts of interest reported, investigated and concluded in 2019?

Reply: All staff members (temporary and contract agents) need to submit a declaration of interest. The staff members who have been appointed as an agent or verifier in the operational and financial circuits or received an authorising officer delegation must submit annually a declaration, and all the other staff must submit a declaration every two (2) years. The line managers assess the compatibility of the interests declared against the duties of the individuals concerned.

Members of the recruitment selection panels and members of procurement opening boards and evaluation committees need to sign a specific declaration of absence of conflict of interests and of confidentiality. Before carrying out an assurance audit, the internal auditors of the Internal Audit Capability (IAC) need to also sign a declaration of absence of conflict of interest.

The rules on conflict of interests are currently in the adoption process with the Management Board of eu-LISA. The Agency is going to adopt strict rules of prevention and management of conflict of interests and declarations of interest. All those rules are part of a single Management Board Decision. Such decision should be adopted by the end of 2020.

In 2019, there were submitted one-hundred and six (106) declarations of interest by staff members appointed as an agent or verifier in the operational and financial circuits and by newcomers. From these declarations, twenty-one (21) staff members declared having interests relating to his or her eu-LISA activities, namely financial interests (due to holding financial assets), or interests related to past employment activities. In one (1) case, the staff member declared being shareholder in a company related to eu-LISA's activities. As a preventive measure, eu-LISA advised the staff member to abstain from the procurement procedures, award decisions or any other action that may directly or indirectly benefit the company where the staff member is a shareholder.

18. For the Agencies that depend on fee collection: how many percent of the Agency's income consist of fees? How does the Agency view in this regard the danger of conflicts of interest for relying on fees from their clients? What kind of mechanism(s) to prevent conflict of interests do the agencies that collect fees from their clients have at their disposal? Would the Agency consider it an appropriate solution if the Commission would collect the fees, and the Agency would hence be fully funded from the EU budget?

### Fee financed Agencies

	How many percent of your Agency's income consists of fees?	Does the Agency see any potential danger of Col from relying on fees from its clients?	What kind of mechanisms does the Agency use to prevent Col stemming from the collection of fees?	Would the Agency consider it an appropriate solution for the Commission to collect the fees and the Agency to be fully funded from the EU budget?
Reply	N/A for eu-LISA			

19. Have all the Agencies set up and implemented internal rules or common guidelines on whistleblowing? Could the Agencies provide the number of open, closed and ongoing whistleblowing cases in 2018? Which actions were taken for each of these case and what were the results?

	Has your Agency implemented internal rules or common guidelines on whistleblowing?	Can the Agency provide the number of open/closed/on-going whistleblowing cases in 2019?	What actions were taken for each of these cases and what were the results?	Comments
Reply	Yes, eu-LISA has implemented the Guidelines on Whistleblowing, which were adopted by the Management Board on 26/06/2018 (ref. MB Decision No 2018-122). The Agency delivers regular awareness sessions on whistleblowing to its staff.	In 2019, there were no cases of whistleblowing.		
Comment		Please note that the Agency can count here only irregularity reported to direct superior and to the Executive Director by subordinated staff member, see in the Guidelines Chapter 2 Internal whistleblowing – first option.		

20. Are all meetings with lobbyists, in case such meetings were held: · registered · made public?

Meeting with lobbyists

	Were the meetings registered?	Were the meetings made public?	Comments
Agency meeting with lobbyists			eu-LISA does not meet lobbyists.



## *Other comments*

21. Which measures did the Agencies implement in 2019 in order to increase their public visibility and online presence? Could you please summarize shortly the actions taken in order to promote the work of the Agencies to EU citizens, and to make services available to the wider public, civil society and academia where appropriate?

Reply: During the reporting period, eu-LISA further increased its public visibility and online presence in order to promote the work of the Agency to EU citizens. The Agency's active presence at the Europe Day in Tallinn, with a joint EU stand together with the European Parliament Information Office and the European Commission representation, provided for a notable number of direct and indirect contacts and generated sizable public outreach, with an estimated ten thousand people attending the event. eu-LISA also took part in the joint Europe Day social media campaign of the Heads of Communication and Information Network (HCIN) relaying key messages on its own accounts. The "United in diversity" Facebook post, had over 4.200 likes and 2.800 shares, while almost 1000 people commented on why they are proud to be European.

eu-LISA made notable efforts to enhance the Agency's visibility, raise awareness and share relevant information with different stakeholder groups. The high points were the 6th eu-LISA Annual Conference and the two Industry Roundtables in 2019. The Annual Conference - "The New Information Architecture as a Driver for Efficiency and Effectiveness in Internal Security" - was organised under the auspices of the Finnish Presidency of the Council and brought together close to 200 delegates representing Member States, EU institutions and Agencies as well as practitioners from industry and academia. The conference was made accessible via live streaming on several Agency online platforms, enabling to promote the work of the Agency among the wider EU public. The high satisfaction rate expressed by the participants (96.6 %) was a definite indicator of success. The two industry roundtables, organised in spring and autumn, with a total turnout of over 190 participants, provided valuable fora for focused discussions. The Agency was also actively present at more than a dozen conferences and seminars, such as the European Police Congress, the Passenger Terminal Expo and Conference or the International Borders and Security Conference.

The Agency focused proactively on efforts to share highlights and provide for transparency via social media channels, which all showed considerable growth of follower numbers (+ 33 % on Twitter, + 58 % on Facebook, + 99 % on LinkedIn and +165% on YouTube). eu-LISA actively used the social media corporate channels to disseminate (re-tweet, re-publish) also the EP and EC highlights about the Agency-related news and thus increase its own online presence as well as raise awareness about the link between the EU Institutions and the Agency. The Agency took part in three joint social media campaigns alongside the JHA agencies and the EU Agencies Network, with the aim to promote the work of the Agencies to EU citizens.

eu-LISA published on average 1.7 social media postings per day on business-related topics and produced over 35 timely web updates to rapidly give objective, reliable and easily understandable information to the stakeholders and the public.

eu-LISA managed several high-level meetings and produced online coverage of a number of the VIP visitors to the Agency, including Members of the European Parliament, Members of the Estonian Parliament and the Estonian Minister of the Interior.

In 2019 eu-LISA published in total 27 original publications to highlight the work of the Agency, including mandatory publications that provide a comprehensive account of the work of eu-LISA, but also a series of promotional leaflets, roll-ups, posters and other visibility materials, targeted at the general public and presenting eu-LISA, the large-scale IT systems in its remit, future IT systems currently under development, and Interoperability.

22. Which measures did the Agencies implement in 2019 in order to increase their cyber security and protection of the digital records in its possession? Does the Agency have such a policy in place / in a making?

Reply: For the management of digital records, the Agency decided to make use of the Advanced Records Management System (ARES) provided by the European Commission. In this context, eu-LISA applies cyber security protection measures already existing in the ARES system, which comprise strong user authentication via ECAS (European Commission Authentication Service), accompanied by a robust logging capability on access to records, allowing a proper access control to digital records on a strict need to know basis.

In addition to the above, the Corporate IT infrastructure of eu-LISA controls cyber security risks with technical solutions in the area of identification and authentication of its end users (staff and service providers), authorising the initial connection to the ARES portal only to personnel with valid accounts, making additional use of digital certificates when accessing from outside the organisation (e.g. during teleworking).

As regards the cyber security policy area, the eu-LISA Management Board recently adopted the Decision on the Communication and Information Systems Security Rules, applicable to all Communication and Information Systems (CISs) owned by eu-LISA and which is actually enforced to all personnel working in the organisation.

These rules are mainly derived from COM Decision 2017/46 on the Security of CIS in the European Commission. The purpose of the abovementioned rules is also to guarantee proper alignment of cyber security protection measures between eu-LISA and the Commission, covering end-to-end cyber protection of the records.

23. Could the Agencies provide a list of their internal measures in place to: · put in place a comprehensive strategy for sustainable development, including steps to reduce or offset CO<sup>2</sup> emissions? · ensure a cost-effective and environment-friendly working place?

Internal measures in place

	Ensuring cost-effective and environment-friendly working place	Comprehensive strategy for sustainable development, including steps to reduce or offset CO2 emissions?
Answer	<p>eu-LISA attaches great importance to the protection of the environment and is making efforts to reduce greenhouse CO2 emissions, to achieve energy savings, and to comply with the upcoming EU 2030 target for reducing greenhouse gas emissions. For this reason, eu-LISA has established an environmental KPI which measures greenhouse gas emissions due to energy consumption and overall waste emission i.e. from recyclable materials and household.</p>	<p>eu-LISA is in the process of defining a comprehensive strategy for sustainable development, through a roadmap towards the creation of an internal Environmental Management System (EMS). The establishment of eu-LISA's EMS, will serve as a preparatory step towards the participation of eu-LISA in a Community eco-management and audit scheme (EMAS). Besides, an environmental management activity has been planned in the draft Single Programming Document 2022-2024 that encompasses the necessary actions towards the EMAS certification. In the meanwhile, the following steps have been taken to reduce CO2 emissions:</p> <ul style="list-style-type: none"> <li>- optimisation of the heating/cooling and lighting programming of the building through the Building Management System (BMS),</li> <li>- optimisation of the maintenance programme of electromechanical equipment,</li> <li>- promotion of second-hand office supplies,</li> <li>- introduction of paperless workflows related to financial circuits,</li> <li>- configuration of black and white functions in printers as the default function, - 100% use of recycling paper,</li> <li>- creation of recycling corners,</li> <li>- compliance with the single-use plastic (plates, cups, straws) ban directive.</li> </ul>

## EU-OSHA

### *Budget and financial management and performance*

1. Could all Agencies illustrate the amounts of planned and unplanned carryovers and of carryover cancellations by budgetary title and the main reasons behind them?

#### Planned carry-overs

	Budgetary title	Amount	Justification
Title 1	Staff	152 065	Miscellaneous staff expenditure of which payments are in year + 1 (2020)
Title 2	Buildings, equipment and miscellaneous operating expenditure	319 067	Miscellaneous building and IT services contracted in 2019 of which related payments are due in 2020
Title 3	Operational expenditure	2 915 161	Committed appropriations carried forward to 2020 relate in the main part to large-scale activities planned to run over three to four years and to a lesser extent other activities that are long-term. Part of these carry forwards are planned in order to ensure economy and in order to guarantee the logistical arrangements
Title 4	Special projects funded by other subsidy (R0)	507 272	Title 4 of EU-OSHA is for projects under R0 fund source of which unused commitment/payment appropriations are automatically carried over/forward. Out of the total amount EUR 507 272, EUR 399 584 are for a new IPA agreement signed with EC and cashed in Dec

#### Unplanned carry-overs

	Budgetary title	Amount	Justification
Title 1	Staff	-	-

Title 2	Miscellaneous operating expenditure	-	-
Title 3	Operational expenditure	-	-
Title 4	By specific other subsidy (R0)	-	-

Cancelled carry-overs

	Budgetary title	Amount	Justification
Title 1	Staff	12 505	Mainly services not delivered
Title 2	Miscellaneous operating expenditure	19 380	Mainly general running and operating costs
Title 3	Operational expenditure	99 959	Mainly general payment appropriations for operational missions and expert meetings
Title 4	N/A	-	-

2. What are the key performance indicators (outcome/impact) used by the Agencies for measuring the added value provided by their activities, and for enhancing their budget management in this regard? Which KPIs were added / deleted in 2019? Do the Agencies use or plan to introduce other instruments to measure performance?

Performance indicators:

Regarding added value: EU-OSHA has a comprehensive performance measurement system in place including evaluations, narrative reporting, and performance indicators. The performance indicators are based on a logic model of EU-OSHA's activities measuring inputs, outputs/deliverables, outcomes, and to some extent impacts. Performance indicators for measuring added value are mainly qualitative and the most recent results from a stakeholder survey in spring 2020 with 1.300 respondents show that 87 percent of the respondents consider that the work of EU-OSHA adds value to the work of others in the area of OSH. The performance indicators are agreed with the Management Board.

EU-OSHA is not planning to introduce further performance measurement instruments.

For budget management, EU-OSHA uses a set of standard financial indicators to monitor budget implementation and forecast. In the course of 2020, following also an IAS

recommendation, EU-OSHA is also introducing a standard dashboard for management to monitor regularly a set of key administrative indicators in HR, finance, IC.

4. Have the Agencies identified and evaluated the possibility to coordinate and share resources on overlapping tasks with other Agencies with similar activities?

Reply: EU-OSHA has intensively looked for efficiency gains over recent years. One of the efficiency measures has been to continue sharing tasks with agencies for example in the form of joint procurements and framework contracts. EU-OSHA also regularly coordinates with EUAN and particularly in the NAPO sub-network to participate in shared procurement services and activities.

EU-OSHA also collaborates closely with other agencies on topics of common interest in the operational area.

5. To what extent has the working program of each agency been implemented and what are the most important achievements?

Reply: EU-OSHA has a consistently high implementation rate for its work programme - 87 percent of its outputs foreseen for 2019 were delivered in 2019 (target was 90%). The non-delivered outputs were almost entirely postponed for publication to 2020 and only a few minor outputs were cancelled.

A full account of 2019 is provided in the activity report, but some of the highlights were:

- Finalisation of the fieldwork of the third ESENER survey and publication of the first results.

- Provision of policy and research relevant knowledge on work-related diseases and costs and benefits of

OSH.

- Development of research and policy-relevant knowledge on musculoskeletal disorders,

- Continued development of the Online interactive Risk Assessment project, reaching 182 tools by the end of 2019 with another 80 tools under development.

- Raising awareness about dangerous substances via the Healthy Workplaces Campaign on the topic.

- Development of launch in 2020 of a European OSH Barometer.

6. How many recommendations for improvement have been given by the internal audit service and how many of the recommendations from the previous year have been implemented?

Reply: Recommendations given in 2019: (4)

Implemented from previous year 2018: (4)

### *Staff policy*

7. How did the Establishment Plan (officials and temporary agents) of each Agency evolve from 2018 to 2019, taking the data of 31.12.2019 compared with 31.12.2018? How many seconded national experts, contract staff, interim staff and consultants were working for each Agency in 2019, expressed in FTEs?

Number of staff

	Officials (posts filled)	Temporary agents (posts filled)
Establishment plan 31.12.2017-31.12.2018	The Agency does not have officials.	All 40 posts filled on 31.12.2018
Establishment plan 31.12.2018-31.12.2019	The Agency does not have officials.	All 40 posts filled on 31.12.2019

Other staff

	SNEs (FTE)	Contract agents (FTE)	Interim staff (FTE)	Consultants (FTE)
31.12.2019	0	23	2.5	0* *excluding external contractors

8. Could each Agency present a gender and nationality breakdown of its senior and middle management positions and its management board, and of its staff overall, including as percentage of the total number for each category requested?

	Senior management Male	Senior management Female	Management board - Male	Management board - Female	Staff overall - Male	Staff overall - Female
Austria		1 Executive Director		3		4
Belgium			2	1	2	
Bulgaria			2	1		2
Croatia			1	2		
Cyprus			3			
Czech Republic			2	1		
Denmark				3	1	
Estonia				3	1	
Finland			2	1		1
France	1 HoU		2	1	3	5
Germany			2	2	2	2
Greece			3			
Hungary			1	2		



Ireland			2	1		2
Italy	1 HoU		1	2	2	2
Latvia			2	1		
Lithuania			1	2		
Luxembourg			3			
Malta			2	1		
Netherlands			3			1
Poland			2	1		1
Portugal			1	2		
Romania			2	1		1
Slovakia			1	2		
Slovenia			2	1		
Spain	1 HoU		2	1	6	22
Sweden				3		
United Kingdom			3		1	2
Norway			1	2		

Representation expressed as percentage

	% of males in the overall management staff	% of females in the overall management staff	% of males in the overall management board staff	% of females in the overall management board staff	% of males in the overall staff	% of females in the overall staff
Answer	75%	25%	55%	45%	28.6%	71.4%

9. How many former MEPs, Commissioners or high-level officials (from AD 14) still receive money from the budget of your institution as advisors, contract agents or others? What are their tasks and their respective salaries?

Reply: None

10. What measures / activities were organised to improve on the well-being for staff in each agency? What were the costs in 2019 and how many staff members participated in these events?

Events/measures taken by the Agency

	Measures/Activities organised to improve on the well-being for staff	Cost of the activities	Number of staff that participated
	Inter/agency football tournament and marathon	2 304 €	6 pax
	Stretching sessions for staff	485 €	Average 8 pax per session
	New Year`s event	3 060 €	Average 55 pax
	Team building staff events	3 240 €	Average 55 pax
	Catering & welfare expenditure	1 075 €	Average 55 pax

11. What measures do Agencies use to prevent and fight against harassment? What kind of efforts have the Agencies made to facilitate easy and confidential reporting of internal and external harassment towards their staff? Were there any harassment cases reported, investigated or taken before the court in 2019?

Measures taken by the Agency

	What measures does your Agency use to prevent and fight against harassment?	What measures does your Agency have in place to facilitate easy and confidential reporting of internal and external harassment towards your staff?	In 2019 how many harassment cases were reported/investigated/taken before court?
Reply	<p>The Agency is strongly committed to the prevention of harassment, promoting the policy and procedures of anti-harassment at work and condemning inappropriate behaviour. EU-OSHA's policy is of zero tolerance towards harassment and discrimination/or violence in the workplace. To that end, EU-OSHA organises regularly awareness raising sessions for its staff and has created a specialised intranet page on the topic. EU-OSHA adopted the policy on protecting the dignity of the person and preventing psychological harassment and sexual harassment, as well as the manual of informal procedures within the framework of this policy. In this context, four EU-OSHA Confidential Counsellors were trained and appointed on 16.02.2018. Confidential counsellors are trained annually with refresher training sessions and supervision sessions with an external expert.</p>	<p>One of the key tasks of the network of Confidential Counsellors is to raise awareness among the staff about psychological and sexual harassment and conflict prevention. It organises info sessions to staff. A dedicated intranet page has been created and is constantly updated. Working in cooperation with the HR Section who organises induction training, Confidential Counsellors present their role and mandate to all newcomers as soon as they join the Agency. EU-OSHA has also participated in the two workshops addressed to all Executive Agencies and interested bodies called "Peer-learning and mentoring workshops" that took place at EIGE, in Vilnius. Following these workshops, the agency became active in sharing and gathering best practices. The Agency presented the work and its policy on anti-harassment at the Interagency staff committee meeting held at EU-OSHA in Bilbao. In terms of policy management, each year, anonymous aggregated annual statistics may be produced to be used for the purpose of policy monitoring and prevention.</p>	<p>There are no reported cases in 2019.</p>
Comment			

12. What was the average absence from work due to sick leave in 2019? How many working hours were lost as a consequence of burnouts or other work-related reasons?

Answer by the Agency

	Average absence from work due to sick leave (in days) in 2019.	Number of working hours lost as a consequence of burnouts or other work related reasons	Comments
Reply	7 days (excluding long sick leave-away for more than 20 consecutive days)	n/a	No statistics on burnout or other work related medical reasons available.

13. Could the Network prepare a comprehensive list of staff-cuts implemented per individual Agency in accordance with the Commission's plan until 2019? How many of these staff-cuts were replaced by Contractual Agents or External experts?

Staff cuts 2013-2019

	Staff cuts per Agency	Contract agents employed	External experts employed	Comments
2013	0	24	0	
2014	1 AST	24	0	
2015	1 AST	24	0	
2016	1 AST	24	0	
2017	1 AST	24	0	
2018	0	25	0	The CA25 consists in the conversion (CAIII) of 1 Local Agent employed by EU-OSHA
2019	0	23	0	

14. Is there any increase of the workload or new tasks designated to each agency and how does it manage to accommodate these to the available staff in 2019? Did your Agency face an increase in workload or new tasks assigned in 2019? How did you accommodate these with the staff available in 2019?

Reply: Over the last years, EU-OSHA has taken several initiatives to increase efficiency. EU-OSHA maintains a strong focus on ensuring an efficient use of its human and financial resources while achieving the highest levels of quality in the performance of its work programme. It does this through the application of modern management tools and through an effective organisational development. EU-OSHA will continue to seek efficiency gains, building on the findings of the evaluation of its Multi-Annual Strategic Programme (MSP) and the work that followed it (particularly the revised version of the MSP). The move to fewer larger activities will continue over the planning period and this will lead to efficiency gains as regards procurement, contract management and production of publications. Furthermore, the Agency is seeking synergy across its activities by proposing Healthy Workplaces Campaign topics that are aligned with a preceding large-scale OSH Overview, thereby ensuring availability of high quality content for the campaign and the best possible impact for the overview through extensive promotion of the findings. Furthermore, based on its first years of experience of working with reduced human resources, the Agency is very conscious of the need to ensure the sustainability of its programmed activities at the same time as being able to respond in a timely manner to requests for additional support from the European Commission. With this in mind, a modest change to the Healthy Workplaces campaign cycle will be piloted 2020-2022 to free up resources at both Agency and Focal point level for other important information, communication and promotion activities. The Agency will continue to cooperate with other Agencies – sister Agencies and beyond - on projects of shared interest. In addition, the Agency will further develop and implement the Activity Based Management and Activity Based Budgeting systems initiated in 2014 in order to continue to maintain a close integration of its annual work programme and budget.

***Conflicts of interest and transparency***

15. Could each Agency confirm whether the declarations of conflicts of interest are in place (and public) for their: · management board members · senior management?

Declaration of Col

	Management board members	Senior management	Comments
Reply	Yes	Yes	

16. Could each Agency confirm if they publish on their website the CVs of their: · management board members · management staff · external experts · in-house experts?

	Management board member	Management staff	External experts	In-house experts	Comments

Answer	No	Yes	No	N/A	
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17. What kind of mechanisms do the Agencies use to identify and avoid conflicts of interest, and were there any cases of conflicts of interest reported, investigated and concluded in 2019?

Reply: Regarding Management Board: No cases detected in 2019. EU-OSHA is a relatively low-risk agency given the type of work it carries out. Management Board members have to provide a declaration of their interests and a self-assessment of these interests which is then published to ensure transparency. Provisions for scrutiny are in place. In meetings, Management Board members are reminded that they must abstain from participation in deliberations or decisions on items where they may have a conflict of interest.

A revised version of the Conflict of Interest Policy which aligns to the provision of the founding and financial regulations was adopted for Management Board Members and Experts in January 2020.

Regarding Agency Staff: EU-OSHA complies with Article 11 Staff Regulations on the management of conflicts of interest. Upon recruitment and return from unpaid leave all staff sign a declaration of non-conflict of interest. Recruitment / Selection committee members sign non-conflict of interest as a requirement in selection procedures. On 23.01.2019 EU-OSHA adopted by analogy EC Decision of 29.06.2018 on outside activities and assignments and on occupational activities after leaving the service. Information session has been provided to all staff. Further, Commission’s guidelines are considered on mitigating measures for possible conflict of interest situations, cf.

<https://osha.europa.eu/en/about-eu-osha/governance-eu-osha/fraud-prevention>

No cases of conflict of interest were reported, investigated or concluded in 2019 for staff.

18. For the Agencies that depend on fee collection: how many percent of the Agency’s income consist of fees? How does the Agency view in this regard the danger of conflicts of interest for relying on fees from their clients? What kind of mechanism(s) to prevent conflict of interests do the agencies that collect fees from their clients have at their disposal? Would the Agency consider it an appropriate solution if the Commission would collect the fees, and the Agency would hence be fully funded from the EU budget?

Fee financed Agencies

	How many percent of your Agency’s income consists of fees	Does the Agency see any potential danger of Col from relying on fees from its clients?	What kind of mechanisms does the Agency use to prevent Col stemming from the collection of fees	Would the Agency consider it an appropriate solution for the Commission to collect the fees and the Agency to be fully funded from the EU budget?



Reply	N/A	N/A	N/A	N/A
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19. Have all the Agencies set up and implemented internal rules or common guidelines on whistleblowing? Could the Agencies provide the number of open, closed and ongoing whistleblowing cases in 2018? Which actions were taken for each of these case and what were the results?

	Has your Agency implemented internal rules or common guidelines on whistleblowing?	Can the Agency provide the number of open/closed/on-going whistleblowing cases in 2019?	What actions were taken for each of these cases and what were the results?	Comments
Reply	The Agency adopted on 20.11.2018 the model decision on Guidelines on whistleblowing for which the EC gave an ex-ante agreement. EU-OSHA also adopted on 23.01.2019 the application by analogy of the Commission Decision on outside activities and assignments	0	N/A	
Comment				

20. Are all meetings with lobbyists, in case such meetings were held: · registered · made public?

Meeting with lobbyists

	Were the meetings registered?	Were the meetings made public?	Comments
Agency meeting with lobbyists	N/A	N/A	

## *Other comments*

21. Which measures did the Agencies implement in 2019 in order to increase their public visibility and online presence? Could you please summarize shortly the actions taken in order to promote the work of the Agencies to EU citizens, and to make services available to the wider public, civil society and academia where appropriate?

Reply: What actions did your Agency take to increase its public visibility?

In 2019, EU-OSHA celebrated its 25th anniversary and promotion actions were implemented throughout the whole year. A ceremony was held on 5 June 2019 in Bilbao in the presence of high-level EU and Member State representatives. The event was successfully implemented with a very good attendance rate and high level of satisfaction among our stakeholders.

Information stands and communication actions were also successfully implemented for the High-level conference "The Future of Work: Today. Tomorrow. For All." in Brussels (9 April 2019), the Open Day of the EU Institutions (4 May 2019), Europe Day in Bilbao (9 May 2019), ETUC congress in Vienna (21-24 May 2019) and the A+A fair in Dusseldorf (05-08 November 2019), for promotion of EU-OSHA flagship activities, such as OiRA, ESENER, MSEs, etc.

The 2018-19 Healthy Workplaces Manage Dangerous Substances campaign, started in April 2018, reached its final milestone with the holding of the Healthy Workplaces Summit in November 2019 in Bilbao. More than 250 OSH experts, policy-makers and campaign partners joined EU-OSHA to mark the end of this very successful 2-year campaign and exchange good practice on managing dangerous substances. Regarding cooperation with other EU and international organisations and initiatives, the Agency continued to be actively involved in the Dutch presidency initiative "Roadmap on carcinogens", being in fact a special focus of the Healthy Workplaces campaign 2018-19. Key to the Campaign's success was also the FAST/HWC scheme, by which the Agency supports its network of national Focal Points in the organisation of campaign activities. Under this scheme, national Focal Points organised across the EU 28 Member States and the 3 EEA countries more than 330 campaign activities, amounting to an increase of more than 70% compared to previous years. The Agency has been producing and publishing reader-friendly infographic reporting the results of its key performance indicators since 2015. The infographics have also been included in the Consolidated Annual Activity Report.

What actions did your Agency take to increase its online presence?

As part of the 25th anniversary of EU-OSHA, the corporate homepage was branded with the Anniversary stamp and a banner, and a dedicated web section was published and translated in all languages. 11 articles about the 25th Anniversary were published in the section and promoted with web highlights and social media posts. An Anniversary online quiz was also introduced in the new web section.

Following a web intelligence analysis of the homepage, publications and tools & resources sections of the corporate website to increase visibility and facilitate access, a slight revision

was agreed. The revamped website, with special emphasis given to the publication section to make the information more appealing and accessible, was successfully published.

The Agency's campaigns and other communication and awareness raising activities are supported by extensive social media activities, 2 online newsletters, multilingual websites and other online tools including practical e-tools and e-guides, animated videos featuring the popular character Napo and data visualisation tools. Particularly, EU-OSHA has developed 2 new data-visualisation tools in 2019; the OSH barometer to visualise more than 100 indicators about OSH in the EU, and the ESENER data visualisation tool to compare results of various editions of the survey of enterprises on new and emerging risks.

As regards campaign information products, the database of tools and resources available on the campaign website was enlarged to more than 950 entries, covering entries from all EU Member States. Important progress was also made as regards the development of seven national country versions of the Dangerous Substances e-tool for Austria, Estonia, Iceland, Norway, Portugal, Romania and Slovenia.

The Agency's Online interactive Risk Assessment Project provides cost-free risk assessment tools for use by Europe's micro and small enterprises. 185 sectoral tools have been developed and 90 are under development. To date more than 108,000 risk-assessments have been carried out.

22. Which measures did the Agencies implement in 2019 in order to increase their cyber security and protection of the digital records in its possession? Does the Agency have such a policy in place / in a making?

Reply: EU-OSHA has in place several tools to protect its digital records, such as firewalls, antivirus, Spam filters, Web proxy. EU-OSHA works also in close collaboration with CERT-EU for managing our cybersecurity measures. Through CERT-EU we have in place a security log analysis and we do regular vulnerability assessments and penetration tests. They also support us in case of incident. CERT-EU shares with us their reports and inform us when they detect any possible vulnerability, such as breaches in a software, abnormal traffic, credential leaks... Other projects are in progress with CERT-EU, such as an Intrusion Detection System and the implementation of a white-list of authorised applications for the staff members. EU-OSHA has now a security register where all incidents are recorded. EU-OSHA is also working with EUIPO in order to implement a Disaster Recovery Plan. This collaboration was started in 2019 but is still under development. In 2019 security awareness sessions were organised to our staff members, such sessions will be regularly organised.

In order to have more resources dealing with cyber security, EU-OSHA has decided in 2019 to prepare a call for tender about ICT security. It will be operational in 2021. When in place, the first action will be to review and update our ICT Security policy.

23. Could the Agencies provide a list of their internal measures in place to: · put in place a comprehensive strategy for sustainable development, including steps to reduce or offset CO<sup>2</sup> emissions? · ensure a cost-effective and environment-friendly working place?

## Internal measures in place

	Ensuring cost-effective and environment-friendly working place	Comprehensive strategy for sustainable development, including steps to reduce or offset CO2 emissions?
Answer	<p>Our organisation is strongly committed in ensuring cost-effective and environment-friendly working place. To that end, and on a regular basis, EU-OSHA raises awareness among its staff on the measures developed and implemented for the purpose. To be highlighted, in particular, actions taken to encourage staff, contractors and stakeholders to make a responsible and efficient use of internal resources (electricity, water consumption, taxi services, videoconferencing and teleworking), to recycle as much and as best as possible, to foresee environmental requirements at procurement level, to ensure the use of green solutions as far as possible, to contribute actively to the circular economy by giving as many uses as possible to assets through regular donation exercises and re-use of pieces of furniture in spare parts, among others. Lastly, the Agency is steadily progressing towards an e-Culture with the implementation of e-Tendering and e-Submission, adoption of e-Signature and e-Workflows.</p>	<p>As an organisation, EU-OSHA is aware that managing environment starts with mitigating the impact of its activities in the workplace and by extension in the environment. In this line, although EU-OSHA is not in a position to go for an EMAS certification in the near future, it is strongly committed in the development and application / adoption of specific measures / practices regarding environmental management, that contribute to ensure sustainable development and workplaces, including steps towards CO2 emissions reduction and/or offset. To that end, and on a regular basis, EU-OSHA raises awareness among its population (e.g. staff, contractors, visitors, among others) on the measures developed and implemented and the practices adopted for the purpose and monitors, as much as possible, related data to set goals for improvement. EU-OSHA is also an active member of the Greening Network (GN) of the European Agencies and Bodies, where environmental issues are discussed and related experience and best practices shared. In addition, the GN holds a meeting on an annual basis in the seat of the body that has volunteered to host the event, being the case for EU-OSHA in 2020 under a new layout: virtual meeting in 2020 and in presence meeting in 2021.</p>

## EUROFOUND

### *Budget and financial management and performance*

1. Could all Agencies illustrate the amounts of planned and unplanned carryovers and of carryover cancellations by budgetary title and the main reasons behind them?

#### Planned carry-overs

	Budgetary title	Amount	Justification
Title 1	13,740,000	153,000	Services with monthly payment schedules provided by external service providers (late arrival of year-end invoices)
Title 2	1,520,000	249,000	1/12 of annual services with monthly payment schedules provided by external service providers (late arrival of year-end invoices)
Title 3	5,719,000	2,737,665	Planned time required between commitment and payments particularly related to large projects (such as the European Working Condition Survey EWCS) and also other projects acc. to procurement plan and payment schedule.
Title 4	N/A	N/A	

#### Unplanned carry-overs

	Budgetary title	Amount	Justification
Title 1		125,817	Invoices not received in an unplanned manner at year-end for services delivered during the year
Title 2		163,403	Invoices not received in an unplanned manner at year-end for services already delivered.
Title 3		573,845	Delay in finalising tenders and procurements. Incomplete services supplied by year-end, thus requiring further clarifications before payment can be released.
Title 4		N/A	

## Cancelled carry-overs

	Budgetary title	Amount	Justification
Title 1		72,107	Over-estimation of open orders at year-end (particularly training and medical) and services not fully delivered acc. to specifications (and therefore not paid)
Title 2		11,087	Services ordered but not fully delivered. Overestimation of some expenses (e.g. utilities and facilities management at year-end)
Title 3		45,897	Services ordered but not fully delivered and certain specification not fully met in terms of data quality.
Title 4		N/A	

2. What are the key performance indicators (outcome/impact) used by the Agencies for measuring the added value provided by their activities, and for enhancing their budget management in this regard? Which KPIs were added / deleted in 2019? Do the Agencies use or plan to introduce other instruments to measure performance?

Reply:

*Performance indicators:*

- *Uptake of Eurofound's knowledge through Eurofound's website.*
- *Contributions to policy development at priority events.*
- *Use of Eurofound expertise in key EU policy documents.*
- *Budget Implementation (Input).*

*For the programme period 2017-2020 Eurofound keeps the same set of KPIs to ensure comparability over time for measuring the multi-annual programme objective.*

*Eurofound's Performance Monitoring System (EPMS) encompasses a variety of complementary monitoring instruments: key performance Indicators, 'metrics', including qualitative assessments. Its evaluation programme includes regular user feedback instruments (annual user survey and qualitative user research instruments) as well as programme, project and thematic evaluations at different levels. Internal expertise is complemented with external capacity through an inter-agency framework service contract shared by 8 EU agencies, led by Eurofound. Through the Agency Performance Development Network (PDN) expertise is also shared. During 2020 started with a review of its KPIs. It will*

*be completed early 2021. It will make use of the instruments used by other Agencies such as Cedefop, ETF and EU-OSHA with a view to streamlining where relevant.*

4. Have the Agencies identified and evaluated the possibility to coordinate and share resources on overlapping tasks with other Agencies with similar activities?

Reply:

*To increase complementarity at the interfaces of tasks between the relevant Agencies, cooperation agreements are updated on an annual basis and where relevant actions agreed and monitored.*

*Similar tasks in relation to administration and support are coordinated and expertise is shared mainly via the Agencies' Network Shared Support Office (SSO) but also via bilateral contacts between the Agencies. The most recent initiative to be further developed is the sharing of expertise in evaluation and learning. Also, an agreement between Eurofound and the European Labour Authority (ELA) was signed for sharing of accounting officer services.*

5. To what extent has the working program of each agency been implemented and what are the most important achievements?

Reply:

*The programme delivery rate for 2019 was a very high 91% (target is 80%). This reflects the number of outputs delivered during the reporting year against the outputs originally planned (51 out of 56). Some of the most important achievements:*

- Completion of the Pilot project on the future of manufacturing. The findings were extensively cited in the *Employment and social developments in Europe 2019*, feeding into the EU priorities of a transition towards a low-carbon economy. In April 2019, the project and its findings were presented to the informal EMCO meeting under the Finnish Presidency of the EU.
- Eurofound's work on convergence was included in the *Assessment of the Europe 2020 strategy* by the Employment and Social Protection committees.
- Findings on employment, segmentation, platform work, pay transparency and minimum wages could be found in the *Joint employment report 2019* adopted by the EPSCO Council in March 2019 and the proposal for a *joint employment report 2020 from the Commission to the Council*.
- The publication of the report *Working conditions in a global perspective* prepared by Eurofound and the ILO in the context of their framework of cooperation.
- Fieldwork for the third Eurofound survey – the *European Company Survey (ECS)* – was finalised in August. This survey round has been implemented in cooperation with Cedefop, and with a push-to-web approach with the launch of the results in September 2020.



- The European Working Conditions Survey 2015 (sixth edition) overview report was referenced in nine key EU policy documents, being the most downloaded report in 2019 (5,830 in total) and with a very high number of scientific citations (147).
- The *Minimum wages in 2019 – Annual review* was the second most downloaded report (2,845) followed by the European Quality of Life 2016 overview report (1,890) that was also referenced in two key EU policy documents and in 17 peer-reviewed articles.

6. How many recommendations for improvement have been given by the internal audit service and how many of the recommendations from the previous year have been implemented?

Reply:

*Based on a risk assessment carried out in February 2019, the IAS issued a new Strategic Internal Audit Plan (SIAP) 2019–2021. Eurofound accepted the proposal for future audit topics in the area of HR management (including ethics) and procurement and contract management respectively.*

*The remaining actions following the recommendations of the 2018 IAS Audit on prioritisation of activities and allocation of resources (HR and financial) were all implemented during 2019 and positively verified early 2020.*

#### *Staff policy*

7. How did the Establishment Plan (officials and temporary agents) of each Agency evolve from 2018 to 2019, taking the data of 31.12.2019 compared with 31.12.2018? How many seconded national experts, contract staff, interim staff and consultants were working for each Agency in 2019, expressed in FTEs?

#### Number of staff

	Officials (posts filled)	Temporary agents (posts filled)
Establishment plan 31.12.2017-31.12.2018	11	80
Establishment plan 31.12.2018-31.12.2019	11	78

#### Other staff

	SNEs (FTE)	Contract agents (FTE)	Interim staff (FTE)	Consultants (FTE)
31.12.2019	1	11	5	0

8. Could each Agency present a gender and nationality breakdown of its senior and middle management positions and its management board, and of its staff overall, including as percentage of the total number for each category requested?

	Senior management Male	Senior management Female	Management board - Male	Management board - Female	Staff overall - Male	Staff overall - Female
Austria			1	2	1	2
Belgium			3	0	4	3
Bulgaria			2	1		1
Croatia			2	1		
Cyprus			1	2		
Czech Republic			1	2		
Denmark		1	2	1		1
Estonia			1	2		
Finland			1	2		1
France			3	0	2	7
Germany			3	0	3	4
Greece			3	0	1	2
Hungary			1	2		2
Ireland			1	2	13	16

Italy			1	2	2	4
Latvia			0	3		
Lithuania			1	2	1	
Luxembourg			1	2	1	
Malta			2	1		
Netherlands			3	0	4	3
Poland			3	0	1	3
Portugal			3	0	1	
Romania			2	1		1
Slovakia			2	1		1
Slovenia			1	2		
Spain	1		3	0	7	4
Sweden			2	1	2	1
United Kingdom			/	/		1
Norway			2	1		

Representation expressed as percentage

Answer	50%	50%	60%	40%	43%	57%

9. How many former MEPs, Commissioners or high-level officials (from AD 14) still receive money from the budget of your institution as advisors, contract agents or others? What are their tasks and their respective salaries?

Reply: None

10. What measures / activities were organised to improve on the well-being for staff in each agency? What were the costs in 2019 and how many staff members participated in these events?

Events/measures taken by the Agency

	Measures/Activities organised to improve on the well-being for staff	Cost of the activities	Number of staff that participated
	Well-being events (e.g. away days):		
	<i>Team Day I&amp;C Unit</i>	<i>1145 euro</i>	<i>23</i>
	<i>Team Day Research unit A</i>	<i>594 euro</i>	<i>19</i>
	<i>Team Day Resources unit / HR</i>	<i>0</i>	<i>6</i>

11. What measures do Agencies use to prevent and fight against harassment? What kind of efforts have the Agencies made to facilitate easy and confidential reporting of internal and external harassment towards their staff? Were there any harassment cases reported, investigated or taken before the court in 2019?

Measures taken by the Agency

	What measures does your Agency use to prevent and fight against harassment?	What measures does your Agency have in place to facilitate easy and confidential reporting of internal and external harassment towards your staff?	In 2019 how many harassment cases were reported/investigated/taken before court?
Reply	<p>Since 2013, we have a formal Dignity &amp; Respect Programme in place with currently 3 members of staff who received training as Confidential Counsellors as well as a Coordinator (member of the HR unit). Eurofound has a Policy on protecting the dignity and respect of the person and prevention of psychological harassment and sexual harassment (based on the Model Decision for agencies) which was adopted by the Governing Board in 2017.</p>	<p>Eurofound has Confidential Counsellors which are trained yearly. The Dignity &amp; Respect programme is brought to the attention of new staff and trainees and local temporary staff as part of their induction.</p> <p>Eurofound has organised workshops (with external trainer) for all staff on protecting the dignity and respect of the person and prevention of psychological harassment and sexual harassment.</p>	<p>The case reported and investigated in 2018 was brought to Court in 2019. Court case is still pending.</p>
Comment		<p>Confidential Counsellors deal with approximately 10 requests for assistance, on average per year, in total. Most requests concern difficulties in interpersonal relations, perceived bullying or work-related stress. Where the staff member and/or the Counsellor feel that an issue is too serious for them to manage, they refer back to the Coordinator of the Counsellors in the Human</p>	

		<p>Resources unit who can arrange for referral of a staff member to the occupational psychologist where appropriate.</p> <p>Cases are generally dealt with through first contact or through the informal procedure - typically in 3 or 4 meetings over one month (working schedule and missions permitting). There was 1 case in 2019, which was resolved through mediation.</p>	
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12. What was the average absence from work due to sick leave in 2019? How many working hours were lost as a consequence of burnouts or other work-related reasons?

Answer by the Agency

	Average absence from work due to sick leave (in days) in 2019.	Number of working hours lost as a consequence of burnouts or other work related reasons	Comments
Reply	2.6 days	450 hrs	There was one person on long-term sick leave for stress reasons.

13. Could the Network prepare a comprehensive list of staff-cuts implemented per individual Agency in accordance with the Commission's plan until 2019? How many of these staff-cuts were replaced by Contractual Agents or External experts?

Staff cuts 2013-2019

	Staff cuts per Agency	Contract agents employed	External experts employed	Comments
2013	2	9	-	
2014	2	13	-	
2015	0	13	-	
2016	2	14	-	
2017	3	10	-	
2018	1	11	-	Eurofound's 10% staff cut objective was achieved.
2019	0	10	-	

14. Is there any increase of the workload or new tasks designated to each agency and how does it manage to accommodate these to the available staff in 2019? Did your Agency face an increase in workload or new tasks assigned in 2019? How did you accommodate these with the staff available in 2019?

Reply:



*Eurofound did not get new tasks assigned during 2019. The inability to meet the external expectations and internal ambitions with current human resources is one of the risks in its corporate risk register. Eurofound is managing this risk with a tightly planned programme, and transparency in showing the consequences (delay, downgrading in importance) in response to emerging priorities. Opportunities for innovation and learning continue to be very limited.*

**Conflicts of interest and transparency**

15. Could each Agency confirm whether the declarations of conflicts of interest are in place (and public) for their: · management board members · senior management?

Declaration of Col

	Management board members	Senior management	Comments
Reply	Yes	yes	

16. Could each Agency confirm if they publish on their website the CVs of their: · management board members · management staff · external experts · in-house experts?

	Management board members	Management staff	External experts	In-house experts	Comments
Answer	yes	yes	yes	n/a	

17. What kind of mechanisms do the Agencies use to identify and avoid conflicts of interest, and were there any cases of conflicts of interest reported, investigated and concluded in 2019?

Reply:

*Eurofound recently updated its rules on the prevention and management of conflicts of interests (Col) (June 2020) based on the Commission's guidelines.*

*Following the submission of declarations of interests the 'Col review panel' composed of the Group coordinators in the Management Board and a Commission representative assess the documents submitted (in the case of external experts: this task is performed by the Executive Director).*

*In 2019 there were no cases of conflicts of interests reported. Also, there were no pending cases of the past that would have been investigated or concluded during 2019.*

18. For the Agencies that depend on fee collection: how many percent of the Agency's income consist of fees? How does the Agency view in this regard the danger of conflicts of interest for relying on fees from their clients? What kind of mechanism(s) to prevent conflict of interests do the agencies that collect fees from their clients have at their disposal? Would the Agency consider it an appropriate solution if the Commission would collect the fees, and the Agency would hence be fully funded from the EU budget?

Fee financed Agencies

*Not applicable to Eurofound*

	How many percent of your Agency's income consists of fees	Does the Agency see any potential danger of Col from relying on fees from its clients?	What kind of mechanisms does the Agency use to prevent Col stemming from the collection of fees	Would the Agency consider it an appropriate solution for the Commission to collect the fees and the Agency to be fully funded from the EU budget?
Reply	n/a			

19. Have all the Agencies set up and implemented internal rules or common guidelines on whistleblowing? Could the Agencies provide the number of open, closed and ongoing whistleblowing cases in 2018? Which actions were taken for each of these case and what were the results?

	Has your Agency implemented internal rules or common guidelines on whistleblowing?	Can the Agency provide the number of open/closed/on-going whistleblowing cases in 2019?	What actions were taken for each of these cases and what were the results?	Comments
Reply	Yes	0	-	-
Comment				

20. Are all meetings with lobbyists, in case such meetings were held: · registered · made public?

Meeting with lobbyists

Eurofound did not hold meetings with lobbyists.

	Were the meetings registered?	Were the meetings made public?	Comments
Agency meeting with lobbyists	n/a	n/a	

## Other comments

21. Which measures did the Agencies implement in 2019 in order to increase their public visibility and online presence? Could you please summarize shortly the actions taken in order to promote the work of the Agencies to EU citizens, and to make services available to the wider public, civil society and academia where appropriate?

Reply:

*With the adoption of the revised Foundation regulation, Eurofound also updated its communication strategy in 2019 with four distinct but interrelated aspects, which are (1) increased focus on policy, (2) partnerships and collaboration, (3) outreach to the national level and (4) the adoption of a digital 1st approach. This formal update had been underway for over a year, drawing on qualitative research, user survey feedback results, performance indicators and literature reviews. It also saw the dissemination and promotion approach refined and improved, wherein promotion campaigns are distinguished between output and feature campaigns. While the former is designed for all research outputs and ensures all target groups are informed of new Eurofound findings, the latter responds to key public debates and legislative initiatives and takes into account stakeholders' priorities, the EU agenda, specific (old and new) Eurofound expertise and strategic collaborations.*

*Eurofound's **events programme** - increasing the impact of Eurofound research on decision-makers as well as raising the agency's public visibility as part of the EU debate. Eurofound organised 9 own and 7 joint events, such as for example a webinar on Understanding trust in public institutions. In addition, colleagues contributed actively to 230 external events across the EU. Contributions to events reached Eurofound's key stakeholders such as EU institutions (e.g. EMCO, SPC or high-level presidency events) or national governments (e.g. the Irish Parliament's Joint Committee on European Union Affairs), civil society or academia.*

*Eurofound's **visits programme** - important multiplier and vehicle to increase the agency's public visibility. 25 visits took place with over 240 visitors ranging from, among others, national Ministers and Ambassadors, to universities and research institutes, to trade union representatives and students.*

***Blogs** have also contributed to the public visibility as well as online presence as these comment and analysis pieces are regularly posted not only on the Eurofound website but also external online magazines such as Social Europe Journal. A total of 18 blogs published in 2019 on topics as diverse as gender pay transparency, seniority entitlements or the future of manufacturing.*

*In order to reach stakeholders and audiences in their native language, Eurofound continued to provide executive summaries of research reports in 21 languages in line with its **multilingualism** policy. In 2019, all policy briefs were also fully translated into German, French and Spanish. Limited ad hoc, demand-driven translation requirements were facilitated as well. Specifically, following the introduction of the new Founding regulation, updates were made to the website (in 22 languages) and to the Management Board Extranet.*

Reaching the public through uptake of Eurofound expertise in the media was strengthened in 2019. Particularly, the **outreach at national** level with national level data proved effective. Additionally, national days are used as opportunities to reach out to and engage with the European Commission and the European Parliament to pinpoint issues high in the public debate which Eurofound can contribute to. In close collaboration, a tailor-made news story highlighting Eurofound's comparative data and findings is communicated to all relevant national level audiences by email and social media channels.

The lines between print and online presence have blurred more and more. Many Eurofound publications receive a print as well as online treatment. The popular Living and Working in Europe (LWE) report took a four-year perspective broadly covering the mandate of the (then) outgoing European Commission and Parliament, 2015-2018, and explored Eurofound work of that period. A dedicated and interactive web page featured key statistics of each chapter and formed a crucial part of the media outreach and a coordinated social media campaign.

**Flagship reports**, a new publication format that was developed and introduced, aim to document Eurofound research carried out in the six strategic area. The first one of the multiannual series was called Challenges and prospects in the EU: Quality of life and public services and published alongside an electronic Flipbook.

Specifically, in terms of online presence, Eurofound has made several updates to its **website**, such as the option for users to subscribe to a publication notification and the social media sharing functionality, which are now fully GDPR-proof.

The **platform economy repository database** was updated with over 400 new records. The European Jobs Monitor (EJM) data visualisation was updated with 2016–2018 data and new visualisations for EJM regional shifts were deployed alongside the report launch.

Eurofound's **corporate monthly newsletter** continues to be very efficient in keeping target audiences informed about the Agency's work. Metrics on email marketing show that this channel continues to grow and expand as the primary promotions vehicle contributing to public visibility, online presence and brand recognition.

22. Which measures did the Agencies implement in 2019 in order to increase their cyber security and protection of the digital records in its possession? Does the Agency have such a policy in place / in a making?

Reply:

Eurofound is a constituent of the CERT-EU (inter-institutional Computer Emergency Response) body. CERT-EU is providing Eurofound with real time monitoring service for our critical ICT infrastructure along with support and information exchange for incident prevention, detection and expertise in the area of Cyber threat security information. Eurofound benefitted from advisories and various security briefings during 2019. In addition, in 2018 Eurofound signed an MoU with the European Union Intellectual Property Office (EUIPO) for the provision of backup and disaster recovery services.

Furthermore, Eurofound has a documented ICT Security Policy which is reviewed and updated on an annual basis.

Finally, as part of its membership of the ICTAC network, Eurofound will take part in a cyber security exercise during Oct 2020.

23. Could the Agencies provide a list of their internal measures in place to: · put in place a comprehensive strategy for sustainable development, including steps to reduce or offset CO<sup>2</sup> emissions? · ensure a cost-effective and environment-friendly working place?

Internal measures in place

	Ensuring cost-effective and environment-friendly working place	Comprehensive strategy for sustainable development, including steps to reduce or offset CO2 emissions?
Answer	<p>Waste separation: Very small percentage (&lt;10%) of waste goes to landfill. Other waste goes to compost on site and recycling.</p> <p>Support of staff to use bicycles for commuting.</p> <p>Charging facilities for e-cars.</p> <p>Eurofound's premises are a habitat for wildlife and plants within an otherwise urban setting. Reduced grass-cutting helps wildflowers and insects.</p>	<p>Eurofound is a member of the Institutions' Greening Network</p> <p><i>Carbon footprint of Eurofound missions</i></p> <p>A methodology to measure this metric was developed and piloted with data from 2017 and 2018. Some further development is required before setting a baseline.</p> <p><i>Numbers of pages printed</i></p> <p>Over the course of the last 4-year printing services contract (2016–2019): printed over 1.9 million sheets of paper. This will serve as a baseline for the next period.</p> <p>Considerable efforts were put into individual improvement actions, such as upgrading of the lighting system, increased window insulation, a state-of-the-art video conferencing system, reduction of the number of missions, reduction of paper consumption, instalment of charging points for electrical cars, and many more. This will be consolidated in an overall strategy.</p> <p>From 2020 on, concrete steps will be taken to ensure an EMAS certification within 2–3 years. (in the context of EPMS 2021–2024). This will also include green procurement, which is building on and using the handbook, with toolkit and criteria for social and green public procurement available from the European Commission.</p>

*Budget and financial management and performance*

1. Could all Agencies illustrate the amounts of planned and unplanned carryovers and of carryover cancellations by budgetary title and the main reasons behind them?

**Planned carry-overs**

	Budgetary title	Amount	Justification
Title 1		€252,872	1.2% of the Title. The main items of carry overs refer to training and development for staff, consultancy, and recruitment expenditures and relate to 2018 costs which were only invoiced/reimbursed in 2019.
Title 2		€1,486,681	17.7 of the Title. The main items relate to building maintenance, cleaning, waste and utilities, ICT projects and consultancy, computer infrastructure and security costs, which were only invoiced in 2019.
Title 3		€2,975,136	33% of the Title. The main items relate to operational ICT projects and consultancy, computer infrastructure for operational work, operational meetings and EJM related costs.  The amount and ratios do not include differentiated appropriations (JIT grants).
Title 4		€0	-

**Unplanned carry-overs**

	Budgetary title	Amount	Justification
Title 1		0	
Title 2		0	
Title 3		0	
Title 4		0	

**Cancelled carry-overs**

	Budgetary title	Amount	Justification
Title 1		€ 18,830.21	7% of the amount carried over was cancelled. The main items related to an overestimation of expected reimbursements and payments for training and development of staff (€9.6k) and recruitment costs (€6.7k).
Title 2		€ 45,832.95	3% of the amount carried over was cancelled. The main items related to overestimation of maintenance, cleaning and utilities costs (€23.6k), computer infrastructure (€5.5k), ICT organisational projects (€4.6k) and telecommunications (€4.4k). Building related costs are based on estimations and are paid upon consumption and ICT projects are subject to a high level of variability.
Title 3		€ 160,571.87	5% of the amount carried over was cancelled. The main items related to an overestimation of operational coordination meetings costs (€71.9k) (which are based on an estimation and invoiced only the following year); and ICT operational projects (€44.7k) which are subject to a high level of variability.  This amount and ratios do not include differentiated appropriations (JIT grants
Title 4			0

**2. What are the key performance indicators (outcome/impact) used by the Agencies for measuring the added value provided by their activities, and for enhancing their budget management in this regard? Which KPIs were added/deleted in 2019? Do the Agencies use or plan to introduce other instruments to measure performance?**

**Performance indicators:**

Eurojust's internal monitoring and evaluation framework is built upon three levels of KPIs:

- the multi-annual organisational KPIs linked to the agency's Multi-Annual Strategy (MAS);
- the annual organisational KPIs linked to the Annual Work Programme (AWP) of a specific year; and



- the annual unit KPIs linked to the yearly work plans of the specific organisational entities.

Eurojust's 2018 AWP included 118 KPIs of which 2 (1.7%) and 55 (47%) aimed to measure respectively the impact and results/outcomes of the agency:

- The 2 impact KPIs, of which both the target was exceeded, concerned the:
  - *"Eurojust references in EU legislation or in EU policy documents"*; and
  - *"Proportion of Eurojust opinions, advice and documents used by stakeholders (Commission, Council, EP, MS) with regard to the Eurojust and EPPO Regulations"*.
- The 55 result KPIs related to a wide range of Eurojust's operational and administrative activities. However, 13 of these were deemed as not relevant, measurable or possible to assess, while for 15 the target was not met.

Specifically concerning budget management, Eurojust used the following 6 KPIs in 2018:

- *"Budget implementation"* (output KPI, with target exceeded);
- *"Decrease in C8 cancellations year on year"* (output KPI, with target met);
- *"Decrease in carry forwards cf 2017 year on year"* (result KPI, with target not met);
- *"#/value of transfers year on year"* (result KPI, with target met);
- *"Percentage of budget transferred between Titles, above the threshold of 10%"* (result KPI, with target met); and
- *"Deviation in resource utilisation from ABB plan (including any mitigation)"* (result KPI, with target not possible to measure/assess).

Aiming to improve its KPI framework, in 2018 Eurojust performed a review and streamlining of the 2019 KPIs. As a result, the AWP 2019 contained 90 KPIs in total (i.e. 24% less than the AWP 2018), of which only 42 were the same as in 2018 (i.e. 36% of the 2018 KPIs retained).

The 2019 KPIs included 2 (2.2%) impact KPIs and 15 (17%) result ones:

- The 2 impact KPIs concerned the:
  - *"Increase in the number of references to Eurojust in EU documents"* (same KPI as in 2018); and
  - *"Percentage of written formal and informal contributions to EU draft legislation accepted by the EU institutions"* (new KPI).
- The 15 result KPIs partly were based on the 2018 KPIs (8 retained) and partly were new ones (7 new).

Specifically concerning the budget management KPIs, these were reduced to one only in 2019 (“*Budget implementation*” KPI retained from the AWP 2018).

As of 2019, Eurojust is also monitoring the 9 multi-annual KPIs linked to the MAS 2019-2021. These include 2 KPIs that aim to measure impact (“*Strategic Eurojust messages taken up by the main media outlets (on-line, print, AV channels)*”) or results (“*Maintain and/or improve the satisfaction level of the Eurojust support to coordination meetings*”).

In 2019, as follow up to the audit and discharge processes, Eurojust conducted a further and more substantive review of its KPI framework and took specific initiatives to improve it.

Most notably, these included:

- the introduction of a new process to review and reconfirm the annual KPIs prior to the final budget and AWP adoption and thereby ensure that all remain Relevant, Accepted, Credible, Easy (to measure and monitor) and Robust (RACER);
- refocusing the KPI setting process from simpler indicators based mainly on outputs to more advanced ones related to results and further encompassing the KPIs recommended by the Commission for measuring the performance of the agencies’ directors; and
- improvements in collecting and presenting KPI data through interim reports to facilitate ABM and prioritisation decisions.

**4. Have the Agencies identified and evaluated the possibility to coordinate and share resources on overlapping tasks with other Agencies with similar activities?**

**Reply:**

Eurojust did not have in 2019 tasks overlapping with other Agencies but rather tasks which are complementary to those of other JHA partners in the fight against serious cross-border crime.

In line with the call for agencies to promote the use of shared services, Eurojust took the following steps:

- Conclusion of a MoU on the new Europol satellite building
- Discussion on the future sharing of medical services with Europol
- Joint procurements as follows:
  - 2018/EJ/10/PO - Conference and promotional materials (Eurojust and EMA)
  - 2019/EJ/03/PO - Internet and landline (Eurojust, JRC Petten, EMA and Europol)
  - 2019/EJ/07/PO - Leasing of vehicles (Eurojust and Europol)
  - EMA/2018/05/ST - Temporary Agency Workers (EMA)

**5. To what extent has the working program of each agency been implemented and what are the most important achievements?**

**Reply:**

Eurojust achieved 71% of the 2019 KPIs and made a steady progress towards achieving its multiannual KPIs.

Eurojust's position as the EU centre for operational judicial cooperation and coordination was maintained and strengthened by the 17% increase in the number of cases (19% increase in 2018), the 19% increase in the number of coordination meetings (15% increase in 2018) and the further development of judicial cooperation tools. Eurojust supported 270 Joint Investigation Teams vs 235 in 2018. In addition, when compared to 2018, Eurojust almost doubled the facilitation of the execution of European Arrest Warrants (1277 EAW in 2019 vs 700 in 2018) and the use of European Investigation Orders (2146 EIO in 2019 vs 1000 in 2018). Eurojust reinforced its operational cooperation with its partners and third States through a 15% increase in the number of common cases and by concluding cooperation agreements with Georgia and Serbia. In addition, the network of Eurojust Contact Points increased from 47 to 52 countries, following the participation of Armenia, Belarus, China, Uruguay and San Marino.

As in 2018, Eurojust continued its active participation in the Standing Committee on Operational Cooperation on Internal Security meetings and related activities and through its deliverables in all crime priority areas. Eurojust enhanced its strategic cooperation with partners in the Area of Freedom, Security and Justice through a strong collaboration with all the Justice and Home Affairs (JHA) agencies and continued to explore synergies with judicial networks. Eurojust promoted the added value of the judicial response in the fight against serious cross-border crime by participating in the European Multidisciplinary Platforms against Criminal Threats activities.

Eurojust continued its efforts to remain a dynamic and effective organisation by implementing a new organisational structure designed during 2018 and continuing the development of strategic workforce planning to ensure that Eurojust has the right workforce to achieve its mandate. Through an audit and categorisation of all Eurojust activities in 2018 and 2019, Eurojust achieved clarity and transparency on the allocation of human resources across all activities. This supports the forecasting of the future staffing needs and serves as the foundations for a new staffing strategy. Eurojust continued to apply the principles of Activity Based Management (ABM) by improving its planning tools and enhancing the setting and monitoring of KPIs.

The College of Eurojust approved the Action Plan on External Communication for 2019 in October 2018. Eurojust strengthened its external communication capabilities resulting in the publication of 120 press releases and news items, the organisation of three press events and a press conference on the launch of the Counter Terrorism register.

In 2019, Eurojust achieved a 99.88% budget execution, over a EUR 38.91 M budget.

**6. How many recommendations for improvement have been given by the internal audit service and how many of the recommendations from the previous year have been implemented?**

**Reply:**

Eurojust had at the beginning of 2020 nine open recommendations issued by the Internal Audit Service (IAS), two related to the improvement of Activity Based Management (ABM), and seven resulting from the audit on the cooperation with Europol, carried out in Q1 2019. Further to the latest quarterly monitoring of the Action Plans to implement the IAS Recommendations, carried out in June-July 2020, Eurojust has submitted updated input on the progress achieved through the IAS database, marking 8 out of the 9 outstanding

Recommendations as “Ready for review” (equivalent to considering the Recommendation as implemented), subject to the IAS assessment and final marking by end 2020.

*Staff policy*

7. How did the Establishment Plan (officials and temporary agents) of each Agency evolve from 2018 to 2019, taking the data of 31.12.2019 compared with 31.12.2018? How many seconded national experts, contract staff, interim staff and consultants were working for each Agency in 2019, expressed in FTEs?

**Number of staff**

	Officials (posts filled)	Temporary agents (posts filled)
Establishment plan 31.12.2017-31.12.2018	N/A	207
Establishment plan 31.12.2018-31.12.2019	N/A	204

**Other staff**

	SNEs (FTE)	Contract agents (FTE)	Interim staff (FTE)	Consultants (FTE)
31.12.2019	16.5	16.2	N/A	24.95

**8. Could each Agency present a gender and nationality breakdown of its senior and middle management positions and its management board, and of its staff overall, including as percentage of the total number for each category requested?**

	Senior Management Male	Senior Management Female	Management board - Male	Management board - Female	Staff Overall <sup>8</sup> - Male	Staff Overall <sup>9</sup> - Female
Austria			1		1	2
Belgium				1	3	7
Bulgaria				1	1	9
Croatia			1			2
Cyprus				1		
Czech Republic			1			4
Denmark <sup>10</sup>					1	1
Estonia				1	3	2
Finland				1	3	5
France			1		4	5
Germany			1		4	7
Greece	1		1		6	5

<sup>8</sup> TA and CA staff at 31.12.2019

<sup>9</sup> TA and CA staff at 31.12.2019

<sup>10</sup> As of 12.12.2019, by virtue of Protocol No 22, Denmark is no longer bound by the Eurojust Regulation.

Hungary			1		1	3
Ireland			1		1	1
Italy			1		5	15
Latvia				1	1	5
Lithuania				1		5
Luxembourg			1			
Malta			1			1
Netherlands			1		15	22
Poland			1		1	4
Portugal			1			4
Romania				1	6	14
Slovakia			1			4
Slovenia			1		2	5
Spain			1		4	16
Sweden				1	2	4
United Kingdom				1	2	2
Norway						

**Representation expressed as percentage**

Answer	100%	0%	63%	37%	30%	70%

**9. How many former MEPs, Commissioners or high-level officials (from AD 14) still receive money from the budget of your institution as advisors, contract agents or others? What are their tasks and their respective salaries?**

Reply: N/A

**10. What measures / activities were organised to improve on the well-being for staff in each agency? What were the costs in 2019 and how many staff members participated in these events?**

**Events/measures taken by the Agency**

	Measures/Activities organised to improve on the well-being for staff	Cost of the activities	Number of staff that participated
	Assertiveness - Training	€ 3,380.00	17
	Networking skills - Training	€ 3,380.00	13
	Building engaged teams - Team event	€ 1,460.29	12
	Firefighting refresher - Training	€ 7,725.00	28
	First aid - Training	€ 6,195.00	44
	Gender equality and gender aspect of sexual harassment – Lunch time presentation	€ 0 Delivered free of charge	38
	Team coaching – Team event	€ 13,428.72	20
	Unconscious Bias - Training	€ 5,288.08	34
	Conflict management - Training	€ 3,380.00	10
	Emotional intelligence - Training	€ 2,384.89	7



**11. What measures do Agencies use to prevent and fight against harassment? What kind of efforts have the Agencies made to facilitate easy and confidential reporting of internal and external harassment towards their staff? Were there any harassment cases reported, investigated or taken before the court in 2019?**

**Measures taken by the Agency**

	<b>What measures does your Agency use to prevent and fight against harassment?</b>	<b>What measures does your Agency have in place to facilitate easy and confidential reporting of internal and external harassment towards your staff?</b>	<b>In 2019 how many harassment cases were reported/investigated/taken before court?</b>
Reply	<p>Eurojust has had an anti-harassment policy since 2012, which outlines all the measures in place to prevent and fight harassment. Eurojust also has a Guide on Ethics and Conduct and internal rules concerning disclosure in the public interest ('whistle-blowing').</p> <p>In 2019, refresher training on psychological and sexual harassment was offered for all staff and additional training on conflict management and resolution was provided to the confidential counsellors and managers.</p>	<p>Upon joining the agency, post-holders are informed about the anti-harassment policy and the role of the confidential counsellors. Relevant information is made available on the intranet.</p> <p>Eurojust has 3 confidential counsellors to assist staff member who perceive signs of harassment. Staff members who feel that they might be a victim of psychological or sexual harassment can contact, in full confidentiality, a confidential counsellor of their choice.</p> <p>In addition, post-holders may address the Employee Relations Officer, the Eurojust doctor or the HR Unit who will support the person in identifying a suitable confidential counsellor. These professionals have been trained in accordance with the anti-harassment policy. The confidential counsellors are bound to confidentiality and have signed a confidentiality and data protection declaration. Unless the post-holder decides to initiate an informal procedure, only anonymous data is kept for statistical purposes.</p>	<p>In the course of 2019, 12 staff members approached a confidential counsellor for advice. From these 12 contacts, two informal procedures were initiated. None of the contacts with the confidential counsellors resulted in a formal procedure.</p> <p>Two alleged harassment cases were reported in 2019, without prior involvement of the confidential counsellors. Following the request for assistance under Art. 24 SR, an inquiry was opened and will be concluded in 2020.</p>

Comments			
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**12. What was the average absence from work due to sick leave in 2019? How many working hours were lost as a consequence of burnouts or other work-related reasons?**

**Answer by the Agency**

	Average absence from work due to sick leave (in days) in 2019.	Number of working hours lost as a consequence of burnouts or other work related reasons	Comments
Reply	5.76 (average sick leave days per staff member)	1196 hours <sup>11</sup>	

**13. Could the Network prepare a comprehensive list of staff-cuts implemented per individual Agency in accordance with the Commission's plan until 2019? How many of these staff-cuts were replaced by Contractual Agents or External experts?**

**Staff cuts 2013-2019**

	Staff cuts per Agency	Contract agents employed	External experts employed	Comments
2013	0	0	0	
2014	-4	0	0	Eurojust cut 11 posts (5% of the EP as per the target agreed by the budgetary authority) during the period 2014-2016, according to the post-reduction strategy and only on vacant posts.
2015	-4	0	0	
2016	-5	0	0	
2017	-5	0	0	(FTE on 31.12. 2016) Eurojust cut an extra 11 posts (5% of the EP for the agencies redeployment pool) during the period 2016-2018, according to the post-
2018	-4	0	0	

<sup>11</sup> The hours refer to 6 staff members

				reduction strategy and only on vacant posts.
2019	-1	0	0	The Commission cut 6 AST posts for the EPPO and the Budgetary Authority granted 5 new AD posts

**14. Is there any increase of the workload or new tasks designated to each agency and how does it manage to accommodate these to the available staff in 2019? Did your Agency face an increase in workload or new tasks assigned in 2019? How did you accommodate these with the staff available in 2019?**

**Reply:**

Eurojust’s casework has significantly increased over the years, not only in numbers, but also in complexity. This trend is expected to continue in the coming years due to, *inter alia*, the increasing demand of third States for the support offered by Eurojust, the legal challenges caused by Brexit in the field of judicial cooperation, and the increased cooperation and data exchange with Frontex, Europol, OLAF and the EPPO required by the Eurojust Regulation. Eurojust will need additional funds to effectively implement the requirements derived from the entry into force of the new Eurojust Regulation and to be in a position to cover the rapidly increasing operational needs of JITs practitioners.

Improving efficiency and flexibility in the deployment of human and financial resources is a core part of Eurojust’s strategy. In 2019, Eurojust exploited internal efficiency gains through the recent reorganisation of its structure and a zero-based budgeting approach. Eurojust continued its review of internal processes to increase efficiency, optimise service quality, cut costs, reduce the overall FTE effort and ultimately reinforce the resources assigned to operational priorities. Nonetheless, a number of new posts is essential to effectively support the National Desks and to respond to the increase in operational casework in the areas of cybercrime, migrant smuggling and returning of foreign fighters, and core international crimes.

Eurojust is undertaking a number of projects in the area of Digital Criminal Justice and exploring external funding sources and grants. These initiatives will lead to an additional need for staff, which is currently being assessed.

*Conflicts of interest and transparency*

**15. Could each Agency confirm whether the declarations of conflicts of interest are in place (and public) for their: · management board members · senior management?**

**Declaration of Col**

	Management board members	Senior management	Comments
Reply	Yes	Yes	<p>Eurojust adopted the College Decision 2016-2 of 26 January 2016 on the 'Guidelines on the prevention and management of conflicts of interest addressed to National Members, their Deputies and Assistants'.</p> <p>In June 2018, the College of Eurojust updated the template for the declaration of absence of conflict of interest of its members including their consent for publication of the declarations on the website of Eurojust. All declarations of absence of conflict of interests of the National Members have been published on the Eurojust website. The register of the original declarations of absence of conflict of interest is kept in the Governance Secretariat. In addition, the College decided to also request that the Deputy National Members and Assistants to the National Members sign the same declaration. These declarations of Deputy National Members and Assistants to the National Members are not published but they are kept by the Governance Secretariat in the same register as the ones of the National Members.</p> <p>Regarding senior management, the Administrative Director signed a declaration of absence of conflict of interest, which is published on the Eurojust website.</p> <p>In accordance with Article 5((2)(i) of the Eurojust Regulation applicable as of 12 December 2019, the College of Eurojust shall adopt rules for the prevention and management of conflicts of interest in respect to its members, including in relation to their declarations of interest.</p> <p>A draft "Code of Ethics for the members of the College and the Executive Board of Eurojust" has been already considered by the Executive Board on 17 February and 9 March 2020 and is due to be adopted by the College at the earliest opportunity,</p>

			<p>taking into account the current COVID 19 pandemic. The Annex to this draft Code of Ethics is a form for the declaration of interests by the members of the College and the Executive Board.</p> <p>Eurojust has also adopted on 26 June 2018 a Standard Operating Procedure (SOP) on the management of conflicts of interests applicable to staff members including senior management. This SOP lays down the procedure for a consistent identification and management of conflicts of interests.</p>
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**16. Could each Agency confirm if they publish on their website the CVs of their: · management board members · management staff · external experts · in-house experts?**

	Management board members	Management staff	External experts	In-house experts	Comments
Answer	Yes	Yes for the Administrative Director only	No	No	

**17. What kind of mechanisms do the Agencies use to identify and avoid conflicts of interest, and were there any cases of conflicts of interest reported, investigated and concluded in 2019?**

**Reply:**

The Executive Board Decision 2020-07 of 15 June 2020 adopting the updated Eurojust’s anti-fraud strategy, refers to concrete measures to maintain the highest level of ethics and integrity at Eurojust. The anti-fraud strategy underlines the need to raise awareness on the internal rules at Eurojust on ethics and, in particular, on conflicts of interest and promotes refreshment training for staff and induction training for new comers. These internal rules include the implementation of the Standard Operating Procedure (SOP) on the management of conflicts of interests applicable to staff members. This SOP establish the processes to manage, inter alia, conflicts of interests or potential conflicts of interests declared while being recruited, in the performance of duty, in selection procedures and procurement procedures.

**18. For the Agencies that depend on fee collection: how many percent of the Agency’s income consist of fees? How does the Agency view in this regard the danger of conflicts of interest for relying on fees from their clients? What kind of mechanism(s) to prevent conflict of interests do the agencies that collect fees from their clients have at their disposal? Would the Agency consider it an appropriate solution if the Commission would collect the fees, and the Agency would hence be fully funded from the EU budget?**

**Fee financed Agencies**

	How many percent of your Agency’s income consists of fees?	Does the Agency see any potential danger of conflict of interest from relying on fees from clients?	What kind of mechanisms does the Agency use to prevent conflict of interest stemming from the collection of fees?	Would the Agency consider it an appropriate solution for the Commission to collect the fees and the Agency to be fully funded from the EU budget?
Reply				

**Reply:**

N/A to Eurojust

**19. Have all the Agencies set up and implemented internal rules or common guidelines on whistleblowing? Could the Agencies provide the number of open, closed and ongoing whistleblowing cases in 2018? Which actions were taken for each of these case and what were the results?**

	Has your Agency implemented internal rules or common guidelines on whistleblowing?	Can the Agency provide the number of open/closed/on-going whistleblowing cases in 2019?	What actions were taken for each of these cases and what were the results?	Comments
Reply	In June 2018, Eurojust adopted its internal rules concerning disclosure in the public interest ('whistle-blowing'), based on the Commission's model rules for agencies and appointed a whistle-blowing contact-point. The Eurojust Guidelines on whistle-blowing were amended in January 2019, in line with the Commission model decision.	N/A	N/A	
Comment				

**20. Are all meetings with lobbyists, in case such meetings were held: - registered - made public?**

**Meeting with lobbyists**

	Were the meetings registered?	Were the meetings made public?	Comments
Agency meeting with lobbyists	No	No	Eurojust did not hold meetings with lobbyists



## *Other comments*

**21. Which measures did the Agencies implement in 2019 in order to increase their public visibility and online presence? Could you please summarize shortly the actions taken in order to promote the work of the Agencies to EU citizens, and to make services available to the wider public, civil society and academia where appropriate?**

### **Reply:**

Since 2019, Eurojust adopts and acts on yearly action plans for external communication, based on an external communication strategy developed in 2018. Eurojust launched a LinkedIn and Twitter channel in 2018 and continued to use these in 2019. Throughout the year, Eurojust was developing its new website, targeted both to the public and judicial experts, to be launched in 2020.

To ensure targeted communication about the results of operational work and strategic research, Eurojust started a quarterly newsletter in 2019.

As before, Eurojust also pursued active media relations, held several press conferences, which resulted in a growing number of media and social media mentions in 2019.

Eurojust also participated in public events such as the EU Open Days in Brussels and the Open Day of the International Institutions in The Hague.

In addition to using the tools above, Eurojust also maintains relations with the Publications Office and uses their services to allow for wider distribution of its publications and reports. Since the start of application of the new Eurojust Regulation, Eurojust produces executive summaries of all reports, translated to all official languages.

**22. Which measures did the Agencies implement in 2019 in order to increase their cyber security and protection of the digital records in its possession? Does the Agency have such a policy in place / in a making?**

### **Reply:**

In order to maintain and improve the cyber security levels, Eurojust carried out the following measures in 2019:

- Carried out several penetration and vulnerability tests on several systems
- Organised awareness-raising sessions
- Upgraded the end user devices to run on Windows 10 configured to follow security best practices and confirmed to be secured through various tests
- Initiated work on a Public Key Infrastructure
- Introduced 'follow-me' printing on Eurojust multi-functional printers

Eurojust has a policy on the protection of EU classified information and several policies and best practices on the processing of non-classified information and equipment processing such information.

**23. Could the Agencies provide a list of their internal measures in place to: · put in place a comprehensive strategy for sustainable development, including steps to reduce or offset CO<sup>2</sup> emissions? · ensure a cost-effective and environment-friendly working place?**

**Internal measures in place**

	Ensuring cost-effective and environment-friendly working place	Comprehensive strategy for sustainable development, including steps to reduce or offset CO2 emissions?
Answer	<p>Eurojust aims to become an ISO 14001/EMAS<sub>36</sub> certified organisation. With this certification, it will be able to calculate its carbon footprint and CO<sub>2</sub> emissions and take corresponding measures to reduce them.</p> <p>Eurojust is part of the EU Greening Network that discusses issues related to the EMAS certification and environmental management in EU organisations.</p> <p>Eurojust aims to embrace green procurement in all its tender procedures while trying to find a balance between “sustainable” contracts and their cost consequences, by taking measures such as increasing use of sustainable products in cleaning and catering contracts.</p> <p>The Eurojust building received the sustainability label “very good”, based on:</p> <ul style="list-style-type: none"> <li>-Sustainable demolition of the previous building on the site of its new premises;</li> <li>-Use of ground water for cooling and heating the building;</li> <li>-Maximum insulation of the building’s shell in order to optimise climate control;</li> <li>-Use of recycled materials for construction purposes;</li> <li>-Promotion of public transport for business travel and commuting;</li> <li>and</li> <li>-Installation of videoconferencing</li> </ul>	

	<p>with the aim of reducing business travel.</p> <p>Eurojust monitors the energy and water consumption trends with the aim to adjust practices and reduce consumption. Furthermore, the agency strives to reduce the amount of the waste it generates by using recycled and reusable items; and promoting the use of electronic alternatives to paper. In 2019, Eurojust started using recycled paper for copying and printing and ensured that all office supplies are manufactured from recycled products.</p>	
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## EUROPOL

### *Budget and financial management and performance*

1. Could all Agencies illustrate the amounts of planned and unplanned carryovers and of carryover cancellations by budgetary title and the main reasons behind them?

#### Planned carry-overs

	Budgetary title	Amount	Justification
Title 1	Staff	806,645	An amount of € 807.000 was carried forward, mainly for staff related expenditure (e.g. recruitments, medical and training expenses) and expenditure relating to facilities (e.g. catering, removal services, audio-visual support and consultancy services).
Title 2	Other Administrative Expenditure	3,018,077	An amount of € 3.02 million (rounded) was carried forward for on-going running expenditure (facilities, network and telecommunication, software maintenance and consultancy services, governance and statutory expenditure).
Title 3	Operational Activities	13,169,443	An amount of € 13.2 million (rounded) was carried forward, 38% relates to Europol's decryption platform, 47.2% to the operational information and telecommunication costs and the remaining 14.8% to other operational activities.
Total	-	<b>16,994,165</b>	The carry forward to 2019 came to a total of € 17 million (rounded) to cover existing commitments (including € 5 million for the decryption platform). A total of € 1.56 million (rounded), or 9.1% of the carry-forward was not used and was thus incorporated in the final budget result.

#### Unplanned carry-overs

	Budgetary title	Amount	Justification
Title 1	Staff	0	Not applicable
Title 2	Other Administrative Expenditure	0	Not applicable
Title 3	Operational Activities	0	Not applicable
Total	Not applicable	0	Not applicable

#### Cancelled carry-overs

	Budgetary title	Amount	Justification
Title 1	Staff	117,020	The unused funds were for staff expenditure (e.g. trainings and recruitment) and external services (e.g. move and hospitality services).
Title 2	Other Administrative Expenditure	231,350	The unused funds were for building related expenditure, administrative telecommunication costs and statutory expenditure.
Title 3	Operational Activities	1,208,857	The unused funds were mainly coming for operational grants from Europol, missions, ICT expenditure and meetings. The non-automatic carry forward of € 5 million for the decryption platform was implemented for 97.5% and the remaining amount (€ 123,000) lapsed.
Title 4		<b>1,557,227</b>	See above

2. What are the key performance indicators (outcome/impact) used by the Agencies for measuring the added value provided by their activities, and for enhancing their budget management in this regard? Which KPIs were added / deleted in 2019? Do the Agencies use or plan to introduce other instruments to measure performance?

Performance indicators:

Europol regularly measured, monitored and reported the following indicators during 2018:

- Commitment rate – 99.9% achieved (95% target).

- Payment rate – 86.9% achieved (90% target).
- Budget outturn rate – 0.8% achieved (ceiling 2%).
- Work Programme Objectives implementation rate – 79% achieved (target 80%).

Additionally to these, Europol used the following indicators to monitor the satisfaction with the products and services delivered by the Agency – together with its image:

- Satisfaction with operational support in the area of Serious and Organised Crime (SOC), 8.9/10 achieved, target 8.5/10.
- Satisfaction with operational support in the area of Cybercrime (EC3), 9.0/10 achieved, target 8.5/10.
- Satisfaction with operational support in the area of Counter-Terrorism (ECTC), 8.0/10 achieved, target 8.5/10.
- Satisfaction with operational support in the area of Financial Intelligence, 8.6/10 achieved, target 8.5/10.
- Satisfaction with Europol's Image (via User Survey), 81.0% achieved, target 77.8%

All these indicators were also monitored in 2019. In 2019, Europol monitored, in total, 95 performance indicators with individual targets set for each of them. The broader category of corporate performance Indicators provided a consolidated overview of the results achieved at activity level in relation to the objectives deriving from Europol's strategy and the actions set in the Work Programme 2019, and allowed for a consistent impact assessment of Europol's performance in several areas.

4. Have the Agencies identified and evaluated the possibility to coordinate and share resources on overlapping tasks with other Agencies with similar activities?

Reply:

From Europol's perspective, while there is a complementary overlap responsibilities with other Agencies, close cooperation, in particular with the other Justice and Home Affairs (JHA) agencies, seeks to maximise the benefits for realising the security interests of EU citizen. A good example is the recent joint operational success with Eurojust on the dismantling of an encrypted communication network largely used by organised crime (<https://www.europol.europa.eu/newsroom/news/dismantling-of-encrypted-network-sends-shockwaves-through-organised-crime-groups-across-europe>).

In addition, with Eurojust, beyond close operational cooperation, facility arrangements (e.g. meeting space, canteen, joint procurement or training) are shared. Europol's Temporary Satellite Building (TSB) is located within the same building perimeter of Eurojust. Europol is also preparing to share its medical services with Eurojust (at the request of Eurojust).

From an overall perspective., Europol has widened its participation in several inter-institutional procurement procedures with the European Commission and other EU agencies as follows:

- In 2018, Europol organised, as leading contracting authority, 2 procurement procedures on interinstitutional basis and joined, as participant, 9 other inter-institutional procurement procedures (in the areas of ICT, HR, communications).

- In 2019, Europol joined, as participant, 21 inter-institutional procurement procedures (in the areas of ICT, facilities, HR).

5. To what extent has the working program of each agency been implemented and what are the most important achievements?

Reply:

As per the answer to Q2, Europol reports on the implementation rate of its annual work programme in the Consolidated Annual Activity Report (CAAR), being one of its work programme Indicators. It was assessed that Europol had implemented 79% of its 2019 work programme objectives, slightly below the ambitious target of 80%. For ease of reference, the most relevant achievements can be found in the Executive Summary of the CAAR 2019 (pages 8-10):

[https://www.europol.europa.eu/sites/default/files/documents/consolidated\\_annual\\_activity\\_report\\_2019.pdf](https://www.europol.europa.eu/sites/default/files/documents/consolidated_annual_activity_report_2019.pdf)

6. How many recommendations for improvement have been given by the internal audit service and how many of the recommendations from the previous year have been implemented?

Reply:

In 2019, the Internal Audit Capability (IAC) of Europol issued 41 audit recommendations and 1 opportunity for improvement. In 2019, Europol implemented 95% of critical and very important recommendations (issued by the IAC) that were envisaged for implementation in 2019. In total, Europol implemented 45 audit recommendations in 2019, including recommendations graded as 'important' and 'desirable'. The Internal Audit Service (IAS) of the European Commission (IAS) issued three recommendations (graded as 'important') in 2019, as part of the audit on HR Management and Ethics, concerning which Europol regards two recommendations as completed (the pending action concerning the single open recommendation relates to the update of the Administrative Inquiry (AI) and Disciplinary procedure process description, will be done once the new model decision for Agencies is in place). The two remaining audit recommendations stemming from the audit on stakeholder management from 2018 were implemented in 2019 by Europol.

### *Staff policy*

7. How did the Establishment Plan (officials and temporary agents) of each Agency evolve from 2018 to 2019, taking the data of 31.12.2019 compared with 31.12.2018? How many seconded national experts, contract staff, interim staff and consultants were working for each Agency in 2019, expressed in FTEs?

Number of staff

	Officials (posts filled)	Temporary agents (posts filled)
Establishment plan 31.12.2017-31.12.2018	0	573
Establishment plan 31.12.2018-31.12.2019	0	570

Other staff

	SNEs (FTE)	Contract agents (FTE)	Interim staff (FTE)	Consultants (FTE)
31.12.201	82.2	191.52	0	39.7



8. Could each Agency present a gender and nationality breakdown of its senior and middle management positions and its management board, and of its staff overall, including as percentage of the total number for each category requested?

	Senior management Male	Senior management Female	Management board - Male	Management board - Female	Staff overall - Male	Staff overall - Female
Austria	2	0	1 (50%)	1 (50%)	5	0
Belgium	7	4	2 (100%)	0	23	6
Bulgaria	0	2	2 (100%)	0	5	11
Croatia	1	0	2 (100%)	0	9	3
Cyprus	0	1	2 (100%)		1	2
Czech Republic	0	1	1 (50%)	1 (50%)	5	6
Denmark	1		1 <sup>12</sup> (100%)	0	1	0
Estonia	1	1	2 (100%)	0	2	3
Finland	3	0	0	2 (100%)	9	2
France	12	3	2 (100%)	0	25	10
Germany	13	3	1 (50%)	1 (50%)	32	12
Greece	13	1	2 (100%)	0	36	9
Hungary	2	1	2 (100%)	0	8	3
Ireland	1	0	0	2 (100%)	5	3
Italy	16	2	2 (100%)	0	34	8
Latvia	1	0	2 (100%)	0	2	2

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<sup>12</sup> Observer status

Lithuania	2	0	2 (100%)	0	9	1
Luxembourg	0	0	1 (50%)	1 (50%)	0	0
Malta	1	0	2 (100%)	0	1	1
Netherlands	15	2	1 (50%)	1 (50%)	32	14
Poland	3	0	1 (50%)	1 (50%)	13	11
Portugal	6	0	2 (100%)	0	14	8
Romania	6	1	2 (100%)	0	45	8
Slovakia	1	0	2 (100%)	0	3	4
Slovenia	2	0	2 (100%)	0	9	3
Spain	22	1	2 (100%)	0	51	11
Sweden	0	0	2 (100%)	0	3	3
United Kingdom	8	5	0	0	11	12
Norway	0	0	0	0	0	0

#### Representation expressed as percentage

	% of males in the overall management staff	% of females in the overall management staff	% of males in the overall management board staff	% of females in the overall management board staff	% of males in the overall staff	% of females in the overall staff
Answer	83	17	79.6 <sup>13</sup>	20.4 <sup>14</sup>	72 <sup>15</sup>	28 <sup>16</sup>

<sup>13</sup> 81% considering only Member States (and not the Chair and the European Commission)

<sup>14</sup> 19% considering only Member States (and not the Chair and the European Commission)

<sup>15</sup> 72% in establishment plan posts, 67% when considering all staff working for Europol

<sup>16</sup> 28% in establishment plan posts, 33% when considering all staff working for Europol

For this table, not only senior management positions (Head of Unit and equivalent and above) are included, but also senior specialist positions, as per previous answers provided to European Parliament questionnaires.

9. How many former MEPs, Commissioners or high-level officials (from AD 14) still receive money from the budget of your institution as advisors, contract agents or others? What are their tasks and their respective salaries?

Reply: None – Not applicable to Europol

10. What measures / activities were organised to improve on the well-being for staff in each agency? What were the costs in 2019 and how many staff members participated in these events?

Events/measures taken by the Agency

	Measures/Activities organised to improve on the well-being for staff	Cost of the activities	Number of staff that participated
	Two Workshops in the Leadership Management Development (LMD) programme: Health & Well-being at Work I & II	0	Part I: 20 Part II: 15

11. What measures do Agencies use to prevent and fight against harassment? What kind of efforts have the Agencies made to facilitate easy and confidential reporting of internal and external harassment towards their staff? Were there any harassment cases reported, investigated or taken before the court in 2019?

Measures taken by the Agency

	What measures does your Agency use to prevent and fight against harassment?	What measures does your Agency have in place to facilitate easy and confidential reporting of internal and external harassment towards your staff?	In 2019 how many harassment cases were reported/investigated/taken before court?
Reply	<p>Europol has had a 'Bullying &amp; Harassment Policy' in place since 2004. Since its adoption by the Europol Management Board (MB) in 2011 (updated in 2018), Europol has a Policy on protecting the dignity of the person and preventing psychological harassment and sexual harassment.</p> <p>In line with the Policy, anyone who considers him-/herself a victim of harassment has the option to initiate either an informal or a formal procedure. The informal procedure may lead to an amicable settlement and the formal procedure may lead to a request for assistance or complaint pursuant to Articles 24, 90 of the EU Staff Regulations (EUSR), next to an administrative inquiry/internal investigation, given that Europol has established an Internal Investigation Service (IIS) which closely cooperates with OLAF on all related matters.</p> <p>In line with the abovementioned Policy, Europol introduced a network of confidential counsellors in 2012. The confidential counsellors provide support in various ways to the persons seeking their assistance and may play an active role in finding an amicable</p>	<p>Europol has published a list of confidential counsellors, who may be approached directly by the person seeking assistance. Confidential counsellors are bound by confidentiality whenever their services are called upon. Europol's whistle-blowing procedures promote the confidential reporting of suspected misconduct, including measures to protect the identity of the person who intends to report suspected misconduct.</p>	<p>In 2019, 2 cases of alleged psychological harassment and related inappropriate behaviour were reported and subsequently investigated by means of a formal administrative inquiry. The decision-making on the results is performed in 2020.</p>

	<p>solution to the situation, should the affected person desire this.</p> <p>A manual of procedure for the implementation of the Decision of the Management Board of Europol on the Policy on protecting the dignity of the person and preventing psychological harassment and sexual harassment is available, providing further guidance and detail on the processes involved.</p> <p>Europol's Code of Conduct sets out the expected behaviour and standards of integrity and of personal and professional conduct that staff (and all other persons working for or at Europol) are expected to meet in discharging their responsibilities. The Code of Conduct specifies that zero tolerance shall be exerted in relation to psychological or sexual harassment, and that any sort of physical and verbal violence shall not be accepted.</p> <p>Europol organises regular training/awareness sessions to prevent and address harassment (for management, staff and confidential counsellors).</p>		
Comments	-/-	-/-	-/-

12. What was the average absence from work due to sick leave in 2019? How many working hours were lost as a consequence of burnouts or other work-related reasons?

Answer by the Agency

	Average absence from work due to sick leave (in days) in 2019.	Number of working hours lost as a consequence of burnouts or other work related reasons	Comments
Reply	Europol could not monitor sick leave due to the technical limitations in the system managed by the external contractor. It is expected that with the insourcing of the medical service at Europol in 2020, respective sick leave reporting will be available for the year 2020 onwards.	Not applicable	-/-

13. Could the Network prepare a comprehensive list of staff-cuts implemented per individual Agency in accordance with the Commission's plan until 2019? How many of these staff-cuts were replaced by Contractual Agents or External experts?

Staff cuts 2013-2019

	Staff cuts per Agency	Contract agents employed	External experts employed	Comments
2013	0	94	116	457 Temporary Agents (TAs), 98 Contract Agents (CAs) in the final budget – The request by the Management Board (MB) was 457 TAs and 98 CAs (overall: +/- 0 TAs and +/- 0 CAs compared to initial estimate and request).
2014	-24	103	121	450 Temporary Agents (TAs), 111 Contract Agents (CAs) in the final budget – The request by the Management Board (MB) was 464 TAs and 96 CAs. Following budget conciliation, the overall result was: - 15 TAs and + 5 CAs compared to the final resource estimate: Main reasoning: Establishment of EC3 and related tasks. The resource request of the MB included a mandatory reduction of 9 TAs as per the inter-institutional agreement of the discharge authority and the European Commission (for Europol, this resulted in – on average – a reduction of 9 TAs in the years 2014-2018 – 45 TAs in total).

	Staff cuts per Agency	Contract agents employed	External experts employed	Comments
2015	+29	131	99	483 Temporary Agents (TAs), 125 Contract Agents (CAs) in the final budget (initial budget 450 TAs, + 33 TAs in an amending budget for the migration crisis) – The request by the Management Board (MB) was 445 TAs and 110 CAs (overall: + 38 TAs and + 15 CAs compared to initial estimate and request: Main reasoning: Establishment of European Migrant Smuggling Centre (EMSC) and response to terrorism: EU Internet Referral Unit (IRU) – Paris Charlie Hebdo attack in January 2015. The resource request of the MB included a mandatory reduction of 9 TAs as per the inter-institutional agreement of the discharge authority and the European Commission (for Europol, this resulted in – on average – a reduction of 9 TAs in the years 2014-2018 – 45 TAs in total).
2016	+16	150	128	505 TAs, 135 Contract Agents (CAs) in the final budget (initial budget 480 TAs, +25 TAs in an amending budget for the establishment of the European Counter Terrorism Centre (ECTC) – The request by the Management Board (MB) was 480 TAs and 125 CAs (overall: + 25 TAs and + 10 CAs compared to initial estimate and request: Main reasoning: Response to terrorism – Establishment of the ECTC at Europol (Paris attacks in November 2015, Brussels attacks in March 2016, etc.), the secondment of ‘guest officers’ in so-called migration hotspots was realised through separate grant funding. The resource request of the MB included a mandatory reduction of 9 TAs as per the inter-institutional agreement of the discharge authority and the European Commission (for Europol, this resulted in – on average – a reduction of 9 TAs in the years 2014-2018 – 45 TAs in total).
2017	-8	160	147	550 TAs, 165 Contract Agents (CAs) in the final budget – The request by the Management Board (MB) was 551 TAs and 130 CAs (overall: + 1 TAs and + 35 CA compared to initial estimate and request: Main reasoning: Increase of security threats including terrorism (secondment of ‘guest officers’ in so-called migration hotspots was realised through separate grant funding), need for increase of staff in ICT and other infrastructure areas. The resource request of the MB included a mandatory reduction of 9 TAs as per the inter-institutional agreement of the discharge authority and the European Commission (for Europol, this resulted in – on average – a

	Staff cuts per Agency	Contract agents employed	External experts employed	Comments
				reduction of 9 TAs in the years 2014-2018 – 45 TAs in total).
2018	-44	201	114	576 TAs, 212 Contract Agents (CAs) in the final budget – The request by the Management Board (MB) was 611 TAs and 174 CAs (overall: - 35 TAs and + 38 CAs compared to initial estimate and request: Main reasoning: Increase of security threats including terrorism, need for increase of staff in ICT and other infrastructure areas (compensated with additional CAs instead of the requested TAs). The resource request of the MB included a mandatory reduction of 9 TAs as per the inter-institutional agreement of the discharge authority and the European Commission (for Europol, this resulted in – on average – a reduction of 9 TAs in the years 2014-2018 – 45 TAs in total).
2019	-28	207	140	591 TAs, 232 Contract Agents (CAs) in the final budget – The request by the Management Board (MB) was 619 TAs and 209 CAs (overall: - 28 TAs and + 22 CAs compared to initial estimate and request: Main reasoning: Increase of security threats including terrorism, need for increase of staff in ICT and other infrastructure areas (compensated with additional CAs instead of the requested TAs). In 2019, the European Commission requested (in the proposal for the budget 2020) a significant reduction of CAs, to 211 CAs by the end of 2019, and 188 by the end of 2020. Accordingly, despite the higher level of 232 CAs adopted by the MB for 2019, Europol did not reach the level of 232 CAs, but employed <del>196</del> 207 CAs by the end of 2019 (including 11 funded by grants).
2020	-42	193 (by end of August 2020)	129 (by end of August 2020)	615 TAs, 235 Contract Agents (CAs) in the final budget – The request by the Management Board (MB) was 657 TAs and 235 CAs (overall: - 42 TAs and + 0 CAs compared to initial estimate and request; Main reasoning: Increase of security threats including the establishment of the European Financial and Economic Crime Centre (EFECC), need for increase of staff in ICT and other infrastructure areas. In 2020, the European Commission confirmed (in the proposal for the budget 2021) the reduction of CAs to a steady level of 191 CAs by the end of 2021. A final decision by the Europol MB on the levels of CAs is outstanding.
Overall	-101	-/-		Figures referring to external contractors at year end (not Full Time Equivalents – FTEs)



14. Is there any increase of the workload or new tasks designated to each agency and how does it manage to accommodate these to the available staff in 2019? Did your Agency face an increase in workload or new tasks assigned in 2019? How did you accommodate these with the staff available in 2019?

Reply:

See answer to Question 13: Europol's establishment plan posts increased by **158 Temporary Agents (TAs), from 457 TAs in 2013 to 615 TAs by 2020** (increase by **134 TAs by the end of 2019**) to cover the establishment of the **European Cyber Crime Centre (EC3)**, the **European Counter Terrorism Centre (ECTC)** including the **Internet Referral Unit (IRU)**, the **European Migrant Smuggling Centre (EMSC)** and the **European Financial and Economic Crime Centre (EFECC) and the Innovation Lab which were subsequently established in 2020**. Since 2013 until the current budget year 2020, **Europol however has faced a net 'loss' of 101 TAs (59 TAs by the end of 2019)**, when comparing the final budgets and establishment plans with the respective annual resource requests, and considering the mandatory staff cuts of 45 TAs in the period of 2014-2018. At the same time, the number of CAs increased (from 98 in 2013) by 93 to 191 CAs (which the European Commission has proposed to be employed by year-end 2021). It must be noted that Europol did increase its number of external consultancy staff (in particular for ICT and infrastructure services), but this increase did not replace the net 'loss' of 101 TAs, as it was based on the additional tasks of Europol and related support activities for the growth of the Agency overall).

Apart from completely new areas of tasks, as highlighted above, the workload of the Agency has been consistently increasing. For example, in 2019,

- Europol delivered more than 8,000 operational reports, supported more than 1,800 operations and coordinated about 250 Joint Action Days with significant operational results.
- The number of operational messages reached more than 1.2 million messages in 2019. Since 2010, the number of messages has more than quadrupled. The use of the Europol Information System (EIS) increased exponentially in the last five years – from nearly 634,000 searches in 2015 to more than 5,300,000 searches in 2019. During the same period, the total number of EIS objects more than tripled, surpassing 1,400,000 objects in 2019.
- Europol's European Counter Terrorism Centre (ECTC) supported 632 prioritised operations and produced almost 1900 operational reports;
- Europol's EU Internet Referral Unit (IRU) assessed more than 25,000 instances of online content related to terrorism and violent extremism.
- Europol has been aiming at optimising the use of its resources. This has included but was not limited to, modernising processes, re-organising resources and workload with a view to achieving synergies, de-prioritisation (if/where possible) of tasks and efforts of re-directing establishment plan resources to the Operational tasks of the agency.

### *Conflicts of interest and transparency*

15. Could each Agency confirm whether the declarations of conflicts of interest are in place (and public) for their: · management board members · senior management?

Declaration of Col

	Management board members	Senior management	Comments
Reply	Yes	Yes	This concerns declarations of interest as called upon by the European Parliament in the discharge decision for the financial year 2016. These declarations are published on the Europol website.

16. Could each Agency confirm if they publish on their website the CVs of their: · management board members · management staff · external experts · in-house experts?

	Management board members	Management staff	External experts	In-house experts	Comments
Answer	Yes	Yes	Not applicable	Not applicable	-/-

17. What kind of mechanisms do the Agencies use to identify and avoid conflicts of interest, and were there any cases of conflicts of interest reported, investigated and concluded in 2019?

Reply:

Europol has an ethics framework in place which, beyond the Europol Code of Conduct underlining the Europol Values of Integrity and Accountability, also consists of guidance to all Europol staff and so called Seconded National Experts (SNEs) on conflict of interest management (published on the website of Europol). Rules for the prevention and management of conflicts of interest are also in place for members of the Management Board (MB).

In addition, there are detailed procedures in place for the identification and management of conflict of interest situations with regard to procurement, recruitment, grant management as well as the cross-organisational financial delegations in relation to the expenditure of Europol.

In 2019, In the area of procurement, Europol has amended its internal documentation for the initiation and the evaluation of procurement procedures. The staff in charge of the drafting the technical requirements as well as the staff to be appointed as member of the opening or evaluation committee are required to sign a declaration on reporting conflicts of interest and maintaining confidentiality. No conflict of interest cases were identified in the course of 2019.

18. For the Agencies that depend on fee collection: how many percent of the Agency's income consist of fees? How does the Agency view in this regard the danger of conflicts of interest for relying on fees from their clients? What kind of mechanism(s) to prevent conflict of interests do the agencies that collect fees from their clients have at their disposal? Would the Agency consider it an appropriate solution if the Commission would collect the fees, and the Agency would hence be fully funded from the EU budget?

Fee financed Agencies

	How many percent of your Agency's income consists of fees?	Does the Agency see any potential danger of Col from relying on fees from its clients?	What kind of mechanisms does the Agency use to prevent Col stemming from the collection of fees?	Would the Agency consider it an appropriate solution for the Commission to collect the fees and the Agency to be fully funded from the EU budget?
Reply	Not applicable	Not applicable	Not applicable	Not applicable

19. Have all the Agencies set up and implemented internal rules or common guidelines on whistleblowing? Could the Agencies provide the number of open, closed and ongoing whistleblowing cases in 2018? Which actions were taken for each of these case and what were the results?

	Has your Agency implemented internal rules or common guidelines on whistleblowing?	Can the Agency provide the number of open/closed/on-going whistleblowing cases in 2019?	What actions were taken for each of these cases and what were the results?	Comments
Reply	On 24 October 2017, the Guidance to Europol staff on Whistle-blowing arrangements entered into force.	0 - No whistleblowing cases in 2019	Not applicable	Not applicable
Comment	-/-	-/-	-/-	-/-

20. Are all meetings with lobbyists, in case such meetings were held: · registered · made public?

#### Meeting with lobbyists

	Were the meetings registered?	Were the meetings made public?	Comments
Agency meeting with lobbyists	Not applicable	Not applicable	-/-

Europol's mandate is defined in the Europol Regulation (ER), the core business of Europol as an EU agency is to support EU Member States' law enforcement authorities in the fight against terrorism, serious organised and cybercrime. Europol does not hold legislative or related policy setting powers which expose the organisation as a direct target of lobbyist activities.

Europol follows the developments on the establishment of a new, mandatory transparency register at EU level and will implement additional measures on the basis of the outcome of the negotiations between the institutions.

## Other comments

21. Which measures did the Agencies implement in 2019 in order to increase their public visibility and online presence? Could you please summarize shortly the actions taken in order to promote the work of the Agencies to EU citizens, and to make services available to the wider public, civil society and academia where appropriate?

Reply:

Europol was featured in **82.000 media articles** using media relations as the main tool to increase the agency's public visibility. At the end of 2019, Europol had reached **92.000 followers on twitter**, promoting the Agency's operational successes, and prevention advise, mostly aimed at the general public. Europol's Corporate Communications also had public information campaigns successfully running that are involving the general public, such as the "EU Most Wanted Criminals" Campaign and the "Trace an Object" Campaign.

Europol continuously reports about its operational activities to the make EU citizens aware about the contribution made by Europol: 2 good examples are: The recent joint operational success with Eurojust on the **dismantling of an encrypted communication network largely used by organised crime** (<https://www.europol.europa.eu/newsroom/news/dismantling-of-encrypted-network-sends-shockwaves-through-organised-crime-groups-across-europe>) and **the crackdown of a drug trafficking network with over 8 million of euros worth of criminal assets have been seized** (<https://www.europol.europa.eu/newsroom/news/drug-crackdown-in-spain-sees-millions-of-euros%E2%80%99-worth-of-criminal-assets-seized-help-of-europol>).

22. Which measures did the Agencies implement in 2019 in order to increase their cyber security and protection of the digital records in its possession? Does the Agency have such a policy in place / in a making?

Reply:

Europol has a 24/7 cyber security capability and related policy and procedures in place, supported by business continuity arrangements. Europol's operational data are processed and the related systems are located on a dedicated separate ICT infrastructure, with a view to upholding highest standards of data security and resilience. Details of these arrangements are not released to the general public.

23. Could the Agencies provide a list of their internal measures in place to: · put in place a comprehensive strategy for sustainable development, including steps to reduce or offset CO<sup>2</sup> emissions? · ensure a cost-effective and environment-friendly working place?

Internal measures in place

	Ensuring cost-effective and environment-friendly working place	Comprehensive strategy for sustainable development, including steps to reduce or offset CO2 emissions?
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<p>Answer</p>	<p>Europol's Strategic Housing Roadmap (SHR) Programme aims to optimise the usage of workplaces in the Europol premises and to align with the organisational growth and new working methods (e.g. workplace ratio, videoconferencing solutions). Sustainable measures are continuously implemented in accordance with the environmental regulations and standards of Europol's Host State. The Building Automation System (BAS) is extended with an intelligent energy management efficiency module, to collect and analyse data from the building systems (e.g. lighting, elevators, data centres, etc.), with a view to aligning these systems with the occupation and usage of the organisation, for the purpose of saving energy consumption.</p>	<p>The Eco-Management and Audit Scheme (EMAS) certification process foreseen in 2020 is postponed till 2021, due to the COVID-19 pandemic. The organisational Environmental Policy is in place, including dedicated objectives up to 2022 was completed. The Environmental Management System (EMS), to collect and analyse data about the organisational carbon footprint (CO2 Emission) is established. The preparation of the EMAS process descriptions and updating the documentation of the Environmental Management System (EMS) are in progress.</p> <p>In addition:</p> <ul style="list-style-type: none"> <li>• Monitoring of impact on performance on actions on paper and water consumption are implemented. A pilot for waste separation was implemented in parts of Europol's premises in 2019, for full implementation in 2020.</li> <li>• A dedicated teleworking regime (enhanced during the COVID-19 pandemic) and increased use of videoconferencing directly supports Europol's EMAS goals and improves the environmental performance of the organisation.</li> </ul>
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***Budget and financial management and performance***

1. Could all Agencies illustrate the amounts of planned and unplanned carryovers and of carryover cancellations by budgetary title and the main reasons behind them?

## Planned carry-overs

	Budgetary title	Amount	Justification
Title 1	Staff Expenditure	-	From 2012 till 2018 the Agency was following the planned carryovers using the MATRIX I application. However, in 2019 the application could no longer sustain the high amount of data and therefore the Agency started the development of a new monitoring computer software, which has been completed in 2020. Following its completion the Agency will be able to estimate its carry-overs. Therefore, no planned carry-overs can be reported for 2019.  However the Agency had a close monitoring of the potential carryovers by decreasing the number from 5.062.739 in 2018 for 2019 to 4.780.176 in 2019 for 2020.
Title 2	Infrastructure and operating expenditure	-	-
Title 3	Operational expenditure	-	-
Title 4	Other operational expenditure	-	-

## Unplanned carry-overs

	Budgetary title	Amount	Justification
Title 1	Staff Expenditure	-	See above
Title 2	Infrastructure and operating expenditure	-	-

Title 3	Operational expenditure	-	-
Title 4	Other operational expenditure	-	-

#### Cancelled carry-overs

	Budgetary title	Amount	Justification
Title 1	Staff Expenditure	€16,190	The cancelled C8s represent 2.4% of the total amount carried over to 2019. These cancellations mainly related to provisional commitments where actual payments were lower compared to estimations.  Despite that FRA did not have a planned carryover for 2019 to 2020 due to technical constrains explained above, the Agency managed to have a close monitoring of the budget with a better result than 2018 (cancelled C8s were 3.4% of the total amount carried over from 2017 to 2018)
Title 2	Infrastructure and operating expenditure	€7,300	See above
Title 3	Operational expenditure	€103,276	See above
Title 4	Other operational expenditure	€0	N/A for title 4

2. What are the key performance indicators (outcome/impact) used by the Agencies for measuring the added value provided by their activities, and for enhancing their budget management in this regard? Which KPIs were added / deleted in 2019? Do the Agencies use or plan to introduce other instruments to measure performance?

Performance indicators:

FRA is using since 2011 a Performance Measurement Framework (PMF) to assess the impact of its activities. The framework is based on an intervention logic. The intervention logic outlines a framework of objectives linked to the entire range of FRA activities. An objective



is what an activity or a set of activities is aiming to achieve and the logic of intervention identifies four levels of objectives.

The PMF contains a range of indicators for assessing the results and achievements of FRA's activities. These indicators are differentiated by level of achievements (i.e. output, short term impacts, long term impacts and aspirational impacts) following the levels of intervention of the intervention logic. The framework includes 31 indicators, of which:

- 11 Output indicators;
- 9 Short Term impact indicators;
- 5 Long Term impact indicators; and
- 6 Aspirational impact indicators.

No new indicators have been introduced or deleted in 2019: however, a reform of the PMF will be finalised in 2020 including a simplified and streamlined framework of indicators to assess the impact of the Agency at both strategic and operational level.

In terms of other instruments to measure performance FRA implements on a yearly basis ex-post evaluations of projects and activities. These evaluations are implemented to specifically assess the short-term impact of operational activities and to measure the extent to which initially planned results have been attained. Ex-post evaluations are complementary to other evaluations done at FRA such as ex-ante and interim evaluations.

It should be noted that, at the strategic level, FRA is mid-term assessing the implementation of its multi-annual priorities and objectives through the implementation of a mid-term review of its 5 years strategy. The next mid-term review is planned by 2020 to assess the implementation of FRA strategy 2018-2022.

Both projects' and strategy's evaluations are based on the above mentioned PMF and KPIs. Core business statistics and results from the evaluations are made public and summarised in the Annual Activity Report.

It should be mentioned that FRA extensively involves all stakeholder groups such as EU intuitions, National Liaison Officers or Fundamental Rights Platform, etc. into the planning and implementation of its activities.

The systematic consultation process provide important information to FRA on whether is achieving the desired results and ensure learning to adapt planning and improve implementation and better determine pathways of results.

The Agency is using the following KPIs:

1. Budgetary execution in committed appropriations; target  $\geq 95\%$ ; 2019 result 100%.
2. Cancellation of C8s; target  $\leq 5\%$ ; 2019 result 2,38%.
3. Outturn (for the EU subsidy); target  $\geq 95\%$ ; 2019 result 99,43%.
4. Number of budgetary transfers; target  $\leq 18$  (average three transfers every two months); 2019 result 9.
5. Percentage of unplanned C8s; target  $\leq 10\%$  of the annual budget; for 2019 this indicator was temporary not applicable.

4. Have the Agencies identified and evaluated the possibility to coordinate and share resources on overlapping tasks with other Agencies with similar activities?

Reply:

There are no overlapping tasks between FRA and other agencies, but rather a scope for a close cooperation in attainment of common policy objectives. FRA has a unique mandate to provide EU institutions, bodies and agencies as well as EU Member States with fundamental rights expertise when implementing EU law. Agencies regularly seek FRA's fundamental rights expertise to carry out their activities.

To allow for structured cooperation and avoid duplication, FRA has concluded cooperation arrangements with various Agencies, including Eurofound (2009), European Border and Coast Guards Agency (Frontex, 2010), the European Institute for Gender Equality (EIGE, 2010), the European Asylum Support Office (EASO, 2013), Eurojust (2014) and eu-LISA (2016). In addition, FRA is regularly supporting other EU agencies, for example CEPOL and Europol, to reflect requirements stemming from the EU Charter of Fundamental Rights in their work.

FRA coordinates its activities and work with other EU Agencies, by actively participating in relevant EU Agencies' network:

- In the field of Justice and Home Affairs, FRA regularly exchanges information and coordinates its work with other EU Agencies as an active member of the Justice and Home Affairs Agencies network (comprising of EBCG/Frontex, Europol, EMCDDA, EIGE, Eurojust, Cefop, EASO, eu-LISA). In this framework, FRA informs other agencies about ongoing activities, explore common synergies and discuss cooperation. Furthermore, it exchanges on common topics of interest. For example, in 2019 the network discussed interoperability of EU IT systems and contribution of all Agencies, among other themes. In 2019, the JHA Agencies joined up efforts to promote the EU Charter of Fundamental Rights. As a result, the Heads of the JHA Agencies endorsed [a joint statement to](#) mark the Charter tenth anniversary. The statement foresees an annual exchange among JHA Agencies on best practices regarding the implementation of the Charter. In 2020, through the network, FRA has coordinated its activities with other JHA Agencies in response to the COVID-19 crisis. A [joint paper](#) was produced, showing synergies and complementarity of work.
- FRA is a member of the specialised [EU Agencies Network on Scientific Advice \(EU-ANSA\)](#) which operates under the Heads of EU agencies network and brings together 15 EU Agencies with a strong scientific component with the aim to promote the cooperation between agencies on issues of common interest related to the provision of scientific and technical advice. In 2019, FRA held the EU-ANSA's chairmanship. As part of the specific research cluster set up within this network in November 2017, namely the quantitative surveys cluster, FRA has extended cooperation with those agencies that collect primary data via EU-wide surveys, namely Eurofound, EMCDDA, Cedefop, OSHA and ECDC. In the context of the work under this cluster, these Agencies exchange information regularly in order to promote development of methodological expertise, to benefit from synergies with respect to the surveys they undertake, and to enhance the impact of primary data collected.

Moreover, to enhance cooperation and synergies with individual EU agencies, FRA has also:

- Dedicated contact points responsible for regularly liaising with each JHA Agency and Eurofound.
- Yearly consultations with more closely related EU Agencies on their Work Programme (e.g. JHA Agencies, Eurofound, EU-OSHA and ECDC). FRA duly takes into account their inputs. Similarly, FRA comments on their annual Work Programmes.

Coordination with other EU Agencies is also ensured on thematic issues by participation in various working groups and other formations at the EU level. For example, FRA has contributed to the High-level Commission Expert Group on information systems and interoperability (2016-2017); High-Level Commission Expert Group on Radicalisation (2017-2018); EU Agencies Contact Groups convened by the European Commission, on migrant smuggling and trafficking in human beings (ongoing).

Some concrete examples of FRA increased coordination and shared expertise with other EU Agencies are reported as follows:

- Following the adoption of the European Border and Coast Guard (Frontex) regulation, in November 2019 FRA signed a Service Level Agreement (SLA) with Frontex to provide support in establishing the Fundamental Rights Monitors envisaged in Article 110 of Regulation EU 2019/1896. The Regulation requires Frontex to recruit at least 40 Fundamental Rights Monitors and deploy them to operational activities by the end of 2020. In March 2020, FRA provided a first set of documents to Frontex, including draft terms of references for the recruitment of the monitors, draft guidelines, a set of checklists and a compilation of relevant resource materials. Beside its bilateral cooperation, with Frontex, FRA co-chairs (with UNHCR) the Frontex Consultative Forum on Fundamental Rights which is an advisory body composed of NGOs, international organisations and EASO. FRA holds regular coordination meetings and coordinates activities in the Consultative Forum.
- Regarding operational work at the Greek hotspots, in July 2019, FRA coordinated a meeting at its Headquarters in Vienna, where EASO and FRONTEX participated. The focus was to discuss joint cooperation, synergies and priorities for the work in Greece.
- Regular coordination meetings with EIGE: in the first half of 2020 three (online) meetings took place between FRA and EIGE to discuss the content and plans for each agency's projects and respective stakeholders' activities. On top of this, EIGE is also present in the FRA's Management Board having the role of observer.
- With Eurofound, FRA develops an annual action plan to identify the areas of regular exchange and thematic areas for potential cooperation. Further FRA and Eurofound exchange their annual work programmes for feedback. FRA has a long standing exchange with Eurofound on its survey programmes.
- FRA is finalising a cooperation plan with eu-LISA for the period 2020-2022. While the 2016 Working Arrangement between FRA and eu-LISA remains the overarching framework for the Agencies cooperation, the Cooperation Plan aims to elaborate in more detail on specific actions, like: sharing best practices and respective experience in IT security and business continuity in the area of ICT, and share expertise and best

practices in areas such as human resources, finance and procurement, corporate services and administrative matters.

- With CEPOL, FRA coordinates every year its participation in CEPOL's webinars and provides feedbacks on the issues covered.

This coordination fosters cooperation on numerous specific projects and activities. Some selected examples (non-exhaustive) from 2019-2020 are listed below:

- With Frontex and EASO there is intensive cooperation in a number of fields. For example, FRA provides expertise in the hotspots and other border areas, with a particular focus on the protection of children and vulnerable groups of people, including women/girls as victims of crime.
- Specific examples of cooperation with EASO include: FRA-EASO training video on fundamental rights for EASO deployed experts in the hotspots; FRA-EASO co-organised roundtable on age assessment (Madrid, Spain, February 2019); FRA's awareness raising sessions on fundamental rights at several reception facilities in Spain at request of the Spanish authorities (Campano, Rinconada, Melilla and Ceuta)– supported by EASO and UNHCR Spain; FRA's written inputs to a variety of EASO tools, training modules and guidance documents.
- Specific examples of cooperation with Frontex include: FRA co-chairs the Frontex Consultative Forum together with UNHCR since February 2020. FRA and the Frontex Fundamental Rights Officer are currently cooperating on the establishment of a framework for the operationalisation of the Frontex Fundamental Rights Monitors. Monitoring tools are developed, a training curriculum is set up and regular meetings with Frontex operational units take place.
- With CEPOL, FRA contributes to various CEPOL web- seminars: for example, in 2020: Protecting victims of labour exploitation (March 2020); Returning unaccompanied children and fundamental rights (March 2020); Identification of Vulnerable Persons & Victim Protection during Initial Registration (March 2020), Police stops and searches and profiling (May 2020). FRA will contribute to two other webinars.
- With EIGE, FRA issued a [joint statement](#) calling on the EU and Member States to bolster measures to protect victims, particularly in this time of crisis (29 April 2020).
- With Europol and Eurojust, both agencies provide valuable support to the preparation and implementation of FRA research project on the fundamental rights impact of the EU Terrorism Directive, conducted at the request of DG HOME, as well as other FRA projects and products. For example, Europol and Eurojust provided input to the FRA - EC Anti-trafficking Coordinator guide 'Children deprived of parental care found in an EU Member State other than their own: A practical guide to enhance protection and transnational cooperation for children who are or may become victims of trafficking'. Eurojust hosted the peer review meeting for the guide.
- With eu-LISA, FRA supports the implementation of the EU IT systems and their interoperability with targeted advice. For example, FRA participated in an online awareness raising session on the Entry- Exit systems and regular exchanges on the respective projects of interest.

5. To what extent has the working program of each agency been implemented and what are the most important achievements?

Reply:

In 2019 FRA focused on various fundamental rights challenges in the European Union (EU) and produced a high number of publications in English and other EU languages that contribute and feed into the work of different EU bodies. FRA published its research findings in an accessible and user-friendly way that included handbooks, reports, summaries, conference papers, checklists, an innovative 'Charter Box' and online publications.

FRA issued its annual Fundamental Rights Report 2019, which reviews major developments in the field, identifying both achievements and remaining areas of concern. This report presents FRA's opinions on the main developments in the thematic areas covered, and a synopsis of the evidence supporting these opinions.

In addition to that FRA launched the report on *Protecting migrant workers from exploitation in the EU: workers' perspectives describing the severe labour exploitation of third-country national workers with diverse legal status and of mobile EU nationals*. Additionally, FRA published a report on the *Integration of young refugees in the EU*. FRA also published a report on *Migrant women based on the results of the Second European Union Minorities and Discrimination survey*. Upon request by the European Commission, FRA published a report on *Rights in practice: access to a lawyer and procedural rights in criminal and European arrest warrant proceedings*, which was also issued as a Council document (12802/19). FRA finalised the *handbook Children deprived of parental care found in an EU Member State other than their own, a guide to enhance child protection with a focus on victims of trafficking*. FRA published a focus paper on *Data quality and artificial intelligence (AI)*, highlighting the awareness and avoidance of poor data quality.

FRA continued to inform the EU institutions' legislative work, by providing assistance and evidence-based advice to the EU institutions and Member States. Upon request by the European Parliament, FRA issued an opinion on the proposed revision of the Return Directive, which supported the co-legislators in identifying fundamental rights risks emerging from an implementation of the proposals. Additionally, FRA issued an opinion on the proposed regulation on terrorist content online. Upon request by the European Parliament, FRA issued an opinion on the proposed revision of the Return Directive, which supported the co-legislators in identifying fundamental rights risks emerging from an implementation of the proposals. Additionally, FRA issued an opinion on the proposed regulation on terrorist content online, responding to the request of the European Parliament for support on the specific legislative file in the field of internal security.

In terms of publications, FRA disseminated 99 941 print publications and it topped the 2019 ranking in terms of publication orders at the EU Publications Office among all EU Agencies with 9 232 copies orders. FRA published 238 publications in English and other EU languages,

including reports, papers, handbooks, easy-to-read and online publications, which were widely downloaded from FRA's website. From the top 10 FRA publications, there were 63 887 downloads. Due to the relevance of FRA's findings, publications in the area of justice, equality and privacy were downloaded the most (see Annex I). FRA maintained its presence on social media platforms with increased numbers of followers on Facebook (57 441), Twitter (50 998) and LinkedIn (21 778).

FRA continued to effectively communicate and promote fundamental rights and freedoms. In 2019, four communication priorities were set: celebrating the 10-year anniversary of the Charter, promoting the results of FRA research on severe forms of labour exploitation, highlighting evidence to fight antisemitism and fostering a fundamental rights compatible migration narrative. In this context, the European Commission, jointly with the Finnish Presidency of the Council of the EU and FRA, organised a major event in Brussels in December on the occasion of the 10th anniversary of the EU Charter of Fundamental Rights.

6. How many recommendations for improvement have been given by the internal audit service and how many of the recommendations from the previous year have been implemented?

Reply:

The Agency is currently discussing with IAS to validate the preliminary results of the audit in research performed in 2019. The advanced draft report is expected to be ready after the summer.

All the previous recommendations have been implemented.

### *Staff policy*

7. How did the Establishment Plan (officials and temporary agents) of each Agency evolve from 2018 to 2019, taking the data of 31.12.2019 compared with 31.12.2018? How many seconded national experts, contract staff, interim staff and consultants were working for each Agency in 2019, expressed in FTEs?

Number of staff

	Officials (posts filled)	Temporary agents (posts filled)
Establishment plan 31.12.2017-31.12.2018	none	72 authorized, 71 filled in
Establishment plan 31.12.2018-31.12.2019	none	72 authorized, 71 filled in

Other staff

	SNEs (FTE)	Contract agents (FTE)	Interim staff (FTE)	Consultants (FTE)
31.12.2019	31.12.2018 - 9 authorized, 8 filled in + 1 cost-free filled in 31.12.2019 - 9 authorized, 8 filled in+ 1 cost-free filled in	31.12.2018 - 32 authorized, 31 filled in [actual number of FTE 27.9] 31.12.2019 - 32 authorized, 30 filled in [actual number of FTE 27.8]	None	None

8. Could each Agency present a gender and nationality breakdown of its senior and middle management positions and its management board, and of its staff overall, including as percentage of the total number for each category requested?

	Senior management Male	Senior management Female	Management board - Male	Management board - Female	Staff overall - Male	Staff overall - Female
Austria	0	1	2	0	8	12
Belgium	0	0		2	3	0
Bulgaria	0	0	1	1	1	2
Croatia	0	0	1	1	0	0
Cyprus	0	0	1	1	0	0
Czech Republic	0	0	2	0	1	3
Denmark	0	0	1	1	0	0
Estonia	0	0	1	1	0	1
Finland	0	1	1	1	2	2
France	0	0	1	1	1	6
Germany	1	1	1	1	3	8
Greece	1	0	1	1	10	1
Hungary	0	0	2	0	2	0
Ireland	1	0	1	1	2	2
Italy	0	0	1	1	4	4



Latvia	0	0	2	0	1	0
Lithuania	0	0	2	0	0	1
Luxembourg	0	0	2	0	2	0
Malta	0	0	2	0	0	0
Netherlands	0	0	1	1	4	2
Poland	0	0	1	1	0	3
Portugal	0	0	1	1	1	0
Romania	0	0	0	0	1	0
Slovakia	0	0	2	0	2	2
Slovenia	0	0		2	0	0
Spain	0	0	1	0	4	4
Sweden	0	0	1	1	1	1
United Kingdom	0	0	1	0	2	1
Norway	0	0	0	0	0	0

Representation expressed as percentage

	<b>% of males in the overall management staff</b>	<b>% of females in the overall management staff</b>	<b>% of males in the overall management board staff</b>	<b>% of females in the overall management board staff</b>	<b>% of males in the overall staff</b>	<b>% of females in the overall staff</b>
Answer	50%	50%	62%	38%	50%	50%

9. How many former MEPs, Commissioners or high-level officials (from AD 14) still receive money from the budget of your institution as advisors, contract agents or others? What are their tasks and their respective salaries?

Reply:

None

10. What measures / activities were organised to improve on the well-being for staff in each agency? What were the costs in 2019 and how many staff members participated in these events?

Events/measures taken by the Agency

	Measures/Activities organised to improve on the well-being for staff	Cost of the activities	Number of staff that participated
1	Away day for FRA Staff event including communication and facilitation experts fees (2/10)	€24.224	90
2	FRA staff participation in Vienna Marathon under the theme of Running for Human Rights (7/4)	No costs occurred for FRA	40
3	FRA's MT Away Day – 25-26/3 & 4-5/10	€11000+€8000=€19000	10
4	Trainees day out in the part (16/6)	€100	15
5	Wellbeing and Mindfulness Training	€3600.00	15

11. What measures do Agencies use to prevent and fight against harassment? What kind of efforts have the Agencies made to facilitate easy and confidential reporting of internal and external harassment towards their staff? Were there any harassment cases reported, investigated or taken before the court in 2019?

Measures taken by the Agency

	What measures does your Agency use to prevent and fight against harassment?	What measures does your Agency have in place to facilitate easy and confidential reporting of internal and external harassment towards your staff?	In 2019 how many harassment cases were reported/investigated/taken before court?
Reply	<p>FRA’s policy on protecting on protecting the dignity of the person and preventing psychological harassment and sexual harassment” has been updated in 2019. Since 2009, when the first version of the policy was adopted, FRA has in place a Network of Confidential Counsellors. FRA provides continuous and compulsory training to all staff on its anti-harassment policy. One example is the training on Prevention of Psychological and Sexual Harassment which is obligatory for the new staff, including trainees.</p> <p>In 2018, on a request of the Director, an external law firm conducted a comprehensive review of FRA’s entire policy on the prevention of psychological and sexual harassment. One of the immediate outcome was the alignment of the Policy on protecting the dignity of the</p>	<p>FRA strengthened its anti-harassment policy by introducing continuous and compulsory training provided by external expert to the confidential counsellors and annual compulsory training courses for staff. All newcomers were required to participate in an induction training which had an introduction to the confidential counsellors’ network and to the policy of prevention of psychological and sexual harassment. An extensive compulsory anti-harassment information session for newcomers, and for those that would like to review their knowledge, is organised twice yearly.</p> <p>The Confidential Counsellors maintained a visible presence whilst management reminded all staff of the policy and the network at various times.</p> <p>The Director also reiterated on several occasions (e.g. staff meetings) to all staff FRA’s zero-tolerance policy for harassment.</p>	None

	person and preventing psychological harassment and sexual harassment with the Commission decision C(2016)6595 of 20 October 2016.		
Commen			

12. What was the average absence from work due to sick leave in 2019? How many working hours were lost as a consequence of burnouts or other work-related reasons?

Answer by the Agency

	Average absence from work due to sick leave (in days) in 2019.	Number of working hours lost as a consequence of burnouts or other work related reasons	Comments
Reply	3.94 days overall	Not available	FRA does not keep separated statistics on sick leaves as consequence of burnouts or other related reasons

13. Could the Network prepare a comprehensive list of staff-cuts implemented per individual Agency in accordance with the Commission's plan until 2019? How many of these staff-cuts were replaced by Contractual Agents or External experts?

Staff cuts 2013-2019

	Staff cuts per Agency	Contract agents employed	External experts employed	Comments
2013	1 AD 06 post from the 3 posts 2013 received – as of 01/01/2013 [*NO BUDGET WAS ASSOCIATED/GRANTED]	None	None	Figures includes the Redeployment pool figures Reduction of the posts (permanent and temporary staff) by 5+5% (2013-2017)
2014	1 AD 07 post as of 01/03/2014 1 AD 08 post as of 15/09/2013 1 AD 12 post as of 01/09/2014	None	None	None
2015	1 AST 06 post as of 01/08/2014 1 AD 07 post as of 01/03/2014	None	None	None
2016	1 AST 07 post as of 01/06/2016	None	None	None
2017	1 AST 05 post as of 01/07/2016 1 AD 10/12 post as of 01/12/2017	None	None	None

2018	N/A	None	None	None
2019	N/A	None	None	None

14. Is there any increase of the workload or new tasks designated to each agency and how does it manage to accommodate these to the available staff in 2019? Did your Agency face an increase in workload or new tasks assigned in 2019? How did you accommodate these with the staff available in 2019?

Reply:

In 2019 there was no new task assigned at Agency level.

However, the Agency faced an increase demand of requests for its tasks, mainly in the area of migration and asylum, but also for its surveys. The significantly increased size of European Boarder and Coast Guard Agency (i.e. Frontex) and its expanded mandate in area of migration, as well as specific role foreseen for FRA in EBCG founding regulation, has triggered more requests to FRA for support and need for even closer and more intensive cooperation. Therefore, in November 2019 FRA signed a Service Level Agreement (SLA) with Frontex to provide support in establishing the Fundamental Rights Monitors envisaged in Article 110 of Regulation EU 2019/1896.

FRA continued to release its quarterly overviews of migration-related fundamental rights challenges in 2019. Upon request by the European Parliament, FRA published in March an update of its November 2016 fundamental rights analysis of the situation in the hotspots.

During 2019, FRA has experienced an increased demand for its surveys, with the data collection of the second survey on LGBTI being carried online between May and July 2019. FRA has published in early 2019 a paper on Roma women, which addresses also the gender employment gap and early marriage among Roma. In fall 2019 a paper on migrant women has been published. Upon a request by the Commission, FRA commissioned a study on the perceptions and experiences of young Jews with respect to antisemitism based on FRA's second large-scale survey on experiences and perceptions of antisemitism. The report was prepared by the Jewish Policy Research Institute and published by FRA in July 2019.

The various requests for FRA opinions have been concretised by an opinion on the proposed regulation on terrorist content online and another one on the proposed revision of the Return Directive. These two opinions were released upon request by European Parliament.

Three months ahead of the 2019 European Parliament elections, and following a request from the European Commission, FRA published an update of its human rights indicator on the right to vote of people deprived of legal capacity. Also, responding the European Commission's request, FRA collected data regarding selected aspects of conditions of criminal detention. The on-line database including national standards, international jurisprudence and monitoring reports, and the accompanying report 'Criminal detention conditions in the European Union: rules and reality' were published in December 2019.

**Conflicts of interest and transparency**

15. Could each Agency confirm whether the declarations of conflicts of interest are in place (and public) for their: · management board members · senior management?

Declaration of Col

	Management board members	Senior management	Comments
Reply	Yes	Yes	In 2019 some members did not provide their DoI: AT alternate, BG alternate, CY member, MT alternate, PL alternate. As consequence, those members have had limited access to the documents related to MB proceedings.

16. Could each Agency confirm if they publish on their website the CVs of their: · management board members · management staff · external experts · in-house experts?

	Management board members	Management staff	External experts	In-house experts	Comments
Answer	Yes	Yes	No	Yes	In 2019 some members did not provide their CV: AT alternate, BG alternate, DK alternate, CY member, MT alternate, PL alternate, SI alternate. As consequence, those members have had limited access to the documents related to MB proceedings.

17. What kind of mechanisms do the Agencies use to identify and avoid conflicts of interest, and were there any cases of conflicts of interest reported, investigated and concluded in 2019?

Reply:

Since 2013 FRA has in place rules for prevention of conflict of interest concerning its Management Board and Scientific Committee. Declarations of conflict of interests and CVs of members of the MB and SC are checked annually by FRA services having as reference the data related to transactions and commitments available in ABAC, the period covered being five years preceding the year of exercise. The reports are presented to the Management Board. In cases of potential conflict of interest, necessary actions are taken to mitigate the risks.

In addition to the Staff Regulations, since 2014 FRA has also introduced for its staff a practical guide on management and prevention of conflict of interests, which offers wide-ranging information and advice on a variety of issues, ranging from behavioural tips to compliance with legal obligations. The guide is currently being revised taking into account the recent developments in the legal framework.

FRA provides compulsory training for staff on ethics and integrity, publishes the CVs and declarations of interests of all active members of the Management Board, Scientific Committee and the management team.

FRA developed, and its Management Board adopted in December 2018, an updated version of the anti-fraud strategy. The document was developed on the basis of a risk assessment, taking into account the OLAF guidelines and upon consultation with OLAF. A significant result in terms of awareness raising was achieved with an internal fraud prevention training prepared and delivered following the materials provided by OLAF. The implementation of the strategy has been followed by the appointed Ethical Officer throughout 2019, a special focus being on conducting info sessions on the provisions of FRA guidelines on whistleblowing.

In 2019 there were no cases of conflict of interest but a number of cases of potential and perceived conflict of interest were assessed and mitigated.

18. For the Agencies that depend on fee collection: how many percent of the Agency's income consist of fees? How does the Agency view in this regard the danger of conflicts of interest for relying on fees from their clients? What kind of mechanism(s) to prevent conflict of interests do the agencies that collect fees from their clients have at their disposal? Would the Agency consider it an appropriate solution if the Commission would collect the fees, and the Agency would hence be fully funded from the EU budget?



Fee financed Agencies

	How many percent of your Agency's income consists of fees	Does the Agency see any potential danger of Col from relying on fees from its clients?	What kind of mechanisms does the Agency use to prevent Col stemming from the collection of fees	Would the Agency consider it an appropriate solution for the Commission to collect the fees and the Agency to be fully funded from the EU budget?
Reply				

19. Have all the Agencies set up and implemented internal rules or common guidelines on whistleblowing? Could the Agencies provide the number of open, closed and ongoing whistleblowing cases in 2018? Which actions were taken for each of these case and what were the results?

	Has your Agency implemented internal rules or common guidelines on whistleblowing?	Can the Agency provide the number of open/closed/on-going whistleblowing cases in 2019?	What actions were taken for each of these cases and what were the results?	Comments
Reply	Yes	0	N/A	
Comment				

20. Are all meetings with lobbyists, in case such meetings were held: · registered · made public?

Meeting with lobbyists

	Were the meetings registered?	Were the meetings made public?	Comments
Agency meeting with lobbyists	See the comment	See the comment	The Agency has not developed any contact with lobbyists, and therefore no meeting has been conducted. However, the Director's Agenda is made public internally on a regular basis using the email. Most external engagement are also widely communicated via social media and/or FRA's website.

## *Other comments*

21. Which measures did the Agencies implement in 2019 in order to increase their public visibility and online presence? Could you please summarize shortly the actions taken in order to promote the work of the Agencies to EU citizens, and to make services available to the wider public, civil society and academia where appropriate?

Reply:

In 2019, four communication priorities were set: celebrating the 10-year anniversary of the Charter, promoting the results of FRA research on severe forms of labour exploitation, highlighting evidence to fight antisemitism and fostering a fundamental rights compatible migration narrative.

Leading up to the 10th anniversary of the Charter becoming legally binding in December 2019, FRA with key partners launched a campaign to promote the Charter. On 12 November 2019, the European Commission, jointly with the Finnish Presidency of the Council of the EU and FRA, organised a major event in Brussels on Making the EU Charter of Fundamental Rights a reality for all: 10th anniversary of the Charter becoming legally binding. The conference brought together a variety of organisations that use and could improve their use of the Charter. As part of the Charter's 10-year anniversary – a key communication priority in 2019 – FRA developed a 'Charter Box', comprising nine FRA tools in different EU languages for practitioners. Moreover, FRA supported the 10-year anniversary celebrations with a series of social media activities, including short videos.

To promote the results of FRA's report on Protecting migrant workers from exploitation in the EU: workers' perspectives, FRA together with the Romanian Presidency of the Council of the EU, the EEA and Norway Grants and the Council Secretariat, organised a conference in Brussels entitled 'From wrongs to rights – Ending severe labour exploitation' on 25 June 2019. To tell the stories of severely exploited migrant workers, FRA produced three social media videos – each of these building on rights holders' perspectives of severe labour exploitation and the report findings.

Based on its report 'Experiences and perceptions of antisemitism - Second survey on discrimination and hate crime against Jews in the EU', FRA hosted a roundtable discussion on fighting antisemitism in Austria on 30 April 2019. Representatives of national authorities, Jewish community organisations, civil society organisations, law enforcement and other stakeholders focused their discussions on the security needs of Jewish communities; rethinking Holocaust remembrance and education; and improving data collection on anti-Semitic incidents.

FRA released its e-media toolkit on migration in June 2019 to enhance quality journalism on this topic. It is an online platform for journalists to learn from and train on factual reporting examples from The Guardian, The Financial Times, the BBC, Le Monde, Radio France International, France TV and Agence France Press. By November 2019, almost 300 journalists across the EU and beyond have registered and used the toolkit; a substantial

number of journalists have also attended face-to-face training FRA organised, including one at Reuter's newsroom in London.

In line with FRA's work on mainstreaming child rights FRA produced a brochure to raise awareness about its work on child rights in Europe. The brochure guides stakeholders and target groups to relevant FRA reports and tools to support them when promoting and protecting the rights of children in the EU.

During the reporting period, FRA launched additional language versions – BG, DE, EL, ES, FR, HU, IT – of the 2018 edition of the 'Handbook on European data protection law' to allow practitioners at national level to use it. The Council of Europe also issued the handbook in Georgian. Other language versions – ET, HR, NL, PL, PT, RO – are being finalised. FRA presented the handbook at several stakeholder events. The handbook was widely distributed at key data protection conferences, such as the Spring Conference of Data Protection Authorities in May, RightsCon in June. In 2019, almost 40 000 copies of the handbook in different languages were downloaded, and almost 7 000 paper versions disseminated.

During 2019 FRA also intensified its cooperation with **academia**. Together with academic partners, FRA, in cooperation with the Court of Justice of the European Union organised an event on the application of the Charter nationally in each of the 28 EU Member States and by the Court of Justice of the European Union at Oxford University in March.

Aiming to support the work of practitioners, academia, partners, institutions and networks for a fundamental rights-based EU, during 2019 FRA launched the European Union Fundamental Rights Information System, which became operational and will continue to be improved and expanded.

With regard to the Human Rights Communicators' Network launched in September 2018 on Facebook, it now numbers more than 240 members, ranging from communication experts in marketing and PR, human rights advocates in civil society, EU institutions and bodies, national and international human rights bodies. Over 80 human rights communicators from the network convened in Vienna in October 2019 to share smart and impactful practices and strategies for effectively communicating rights. A series of inspiring videos and other materials focusing on strategy and tactics of effective grass roots communication were released on the FRA website and in the Human Rights Communicators' Cloud space of FRA.

The support for a stronger civil society continued, in particular through FRA's almost 800-organisations strong Fundamental Rights Platform (FRP). The FRP contributed to the work of FRA throughout the year, including by responding to a number of surveys and feeding into research (e.g. consultations on the awareness, use and implementation of the GDPR and of the Charter, on the cooperation with NHRIs etc.). Civil society organisations received targeted information about FRA's new research findings, tools and events, and contributed to specific projects and events of FRA in various forms. For instance, drawing on the FRP, FRA organised a two-day strategic litigation exchange workshop in May.

In addition, FRA intensified its work at national level with European human rights cities. FRA convened a meeting of human rights experts and city representatives in Brussels to discuss and conceptualise a ‘framework of commitments’ for European cities that are or aim to become human rights cities. The Director addressed for the first time the plenary of the EU’s Committee of the Regions on fundamental rights and EU values, illustrating how cities and regions contribute to protect fundamental rights in the EU.

With reference to the wider public, it is worthwhile to mention the agency’s cooperation with the Vienna-based international human rights film festival ‘This Human World’. During the third year of participation, FRA supported two film screenings followed by panel discussions, facilitated and moderated by FRA. These were attended by more than 280 people. Through this activity, FRA was able to engage in an unconventional way with the audience of the film festival (15,000 people) and promote fundamental rights and its work.

In November 2019 in cooperation with the Representation of the European Commission in Luxembourg, FRA Director participated to a Citizen’s dialogue having as topic “Are you human? Then you have rights, fundamental rights!”.

During 2019, FRA regularly received visitor groups and gave presentations about its work. The Agency welcomed 341 people, from 19 groups, including: delegations from the Association for Swedish speaking law students, the Austrian Association of Social Work, the Department of International Law at the University of Erfurt in Germany, the Diplomatic Academy Wien, young teachers under the programme in human rights education from Germany, students of the Executive Master in EU studies in Berlin, students of the young lawyers training programme on refugee and asylum law area in Munich, and citizens to raise awareness on human rights at local level.

In terms of publications, FRA disseminated 99 941 print publications and it topped the 2019 ranking in terms of publication orders at the EU Publications Office among all EU Agencies with 9 232 copies orders. FRA published 238 publications in English and other EU languages, including reports, papers, handbooks, easy-to-read and online publications, which were widely downloaded from FRA’s website.

From the top 10 FRA publications, there were 63 887 downloads. Due to the relevance of FRA’s findings, publications in the area of justice, equality and privacy were downloaded the most (see Annex I). They included ‘Violence against women survey - main results report’, ‘Second survey on discrimination and hate crime against Jews in the EU’ and the ‘Handbook on European data protection law – edition 2018’.

To increase its outreach to a wider audience, the Agency follows a monthly social media planning including postings every day a week, as well as regular Twitter postings on the Agency’s activities.

FRA maintained its presence on social media platforms with increased numbers of followers on Facebook (57 441), Twitter (50 998) and LinkedIn (21 778).

22. Which measures did the Agencies implement in 2019 in order to increase their cyber security and protection of the digital records in its possession? Does the Agency have such a policy in place / in a making?

Reply:

The Agency has implemented a number of security measures and with the upgrade to Windows 10 and Office 2016, which optimised its security protection with the utilisation of additional security measures also recommended by CERT-EU.

Also employed the use the secure email solution offered by the Commission (SECEM) to ensure secure transmission of sensitive not classified information.

The Agency is in the process of adopting M365 solution while ensuring all recommendations of CER-EU and EDPS are respected.

Furthermore, the Agency followed all security recommendations issued by DIGIT and CERT-EU relating to the use of DRUPAL, which is the technology utilised for its website.

The Agency increased its cybersecurity by:

- Ensuring that all latest recommended software upgrades are installed,
- Employing the Advanced Threat Analytics (ATA) of Microsoft
- Reviewed all its security policies and optimised the employed security profiles following recommendations of CERT-EU
- Continued and enhanced its service level agreement with CERT-EU and follows up closely CERT-EU and DIGIT cybersecurity recommendations

23. Could the Agencies provide a list of their internal measures in place to: · put in place a comprehensive strategy for sustainable development, including steps to reduce or offset CO<sup>2</sup> emissions? · ensure a cost-effective and environment-friendly working place?

Internal measures in place

	Ensuring cost-effective and environment-friendly working place	Comprehensive strategy for sustainable development, including steps to reduce or offset CO2 emissions?
Answer	The Agency continued to employ the already existing practices. Certain initiatives have already undertaken to improve the Agency's environmental performance by: reducing the heating costs: 30% reduction following the installation of new advanced heating controller; reducing electricity costs and improving energy efficiency.	The Agency is taking certain steps to reduce or offset CO2 emissions for example reducing the number of missions and further extend the use of modern videoconferencing technologies, providing adequate bicycle parking space and encourage staff to use bicycles and public transport when commuting to the office. It will further look into

	<p>In 2013 we saw a reduction of 10% following the awareness raising asking staff to turn off electric devices, and this trend has been kept during the following years too.</p> <p>In 2015 a new data centre cooling system is installed to replace the current traditional system. The new system is environmentally friendly as it uses the heat exchange from the outside temperature during the 2/3 of the year when temperatures are below 25 degrees Celsius.</p> <p>Promoting alternative ways for the employees to commute to work by providing bicycle parking spaces; by promoting and implementing Green Public Procurement in certain tendering procedures like ICT equipment acquisition and cleaning services.</p> <p>It currently looks to replace of lights with energy efficient ones.</p> <p>It should be noted that due to the building layout and available resources there are limitations when implementing environmental friendly measures.</p>	<p>employing additional measures to further reduce CO2 emissions.</p>
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## FRONTEX

### *Budget and financial management and performance*

1. Could all Agencies illustrate the amounts of planned and unplanned carryovers and of carryover cancellations by budgetary title and the main reasons behind them?

#### Planned carry-overs

	Budgetary title	Amount	Justification
Title 1	STAFF	973 717	Payments related to recruitment-related costs, administrative missions, sociomedical infrastructure and other staff related costs, to materialize in 2019.
Title 2	ADMINISTRATIVE EXPENDITURE	10 893 079	Building running and movable property related costs and infrastructure developments, ICT contracts where payments will only materialise in 2019.
Title 3	OPERATIONAL ACTIVITIES	90 208 232	Reimbursement of grants related to operational and return-related activities, payment of contracts feeding into EUROSUR, reimbursement of training activities of border guards, contracts for aerial surveillance.
Title 4			

#### Unplanned carry-overs

	Budgetary title	Amount	Justification
Title 1			
Title 2			
Title 3			
Title 4			

#### Cancelled carry-overs



	Budgetary title	Amount	Justification
Title 1	STAFF	843 235	Payments related to recruitment costs, administrative missions, training of staff, less than originally planned.
Title 2	ADMINISTRATIVE EXPENDITURE	9 858 345	Payments related to building running costs and infrastructure developments, ICT contracts, less than originally planned.
Title 3	OPERATIONAL ACTIVITIES	80 763 929	Lower reimbursements of grants related to operational and return-related activities, payments of contracts feeding into EUROSUR, reimbursement of training activities of border guards, contracts for aerial surveillance.
Title 4			

2. What are the key performance indicators (outcome/impact) used by the Agencies for measuring the added value provided by their activities, and for enhancing their budget management in this regard? Which KPIs were added / deleted in 2019? Do the Agencies use or plan to introduce other instruments to measure performance?

Performance indicators:

The Agency uses 15 KPI, out of them 6 are categorised as outputs and outcomes (direct or intermediate) namely:

10.Detection of illegal border crossings between BCPs (DIBC)

11.Refusals of entry (RoE)

12.Effective returns (per type) (ER)

13.Satisfaction Level (SL) Quality

14.Quality Level (QL) Usage

15. Usage / Implementation Level (U/IL)

These KPI's where not altered (added/deleted) in 2019.

The Agency initiated in 2019 quarterly reporting on those 15 indicators (which are further developed in the reports to include a set of sub-indicators) including an annual online survey amongst MS/SAC to measure qualitative aspects such as the perceived quality level of Frontex products and services, the level of use or implementation of the Agency products and services and the overall satisfaction perceived with regard to the performance of Frontex. This process is being further consolidated during 2020.

4. Have the Agencies identified and evaluated the possibility to coordinate and share resources on overlapping tasks with other Agencies with similar activities?

Reply: Frontex participates actively in the EU Agencies network of Procurement Officers (NAPO) assessing the offered inter-institutional tenders in terms of needs and financial resources. It has assigned resources to the specific Working Group developing common tools, methodologies and best practices in the area of market analysis to support the coordination and efficiency of the procurement activities among the Agencies.

In addition, during 2020, the Agency created Standard Operating Procedure for more efficient internal handling and coordination of the received proposals on the inter-institutional tenders.

During 2020, the Agency prepared two inter-institutional tenders as Leading Authority. Moreover, the Agency is in the final process of launching an inter-institutional procurement (approximately value 60 000 000 EUR) for a Framework Contract that will cover a wide scope of Personal Protective Equipment focusing on creating economies of scale for all the participating Authorities (more than 45 EU Agencies signed the MoU for participation).

The Agency through its Inspection and Control Office is participating in the performance developing network (PDN), what is a part of EUAN (European Union Agencies Network). One of the objectives of it is to share the best practice and experiences, as well as to evaluate the possibility for maximising the use of available shared services from the catalogue prepared and maintained by PDN. In this context the Agency bears in mind those available for use if necessity is identified.

Frontex has taken the lead in the initiative to establish a common office space in Brussels for Justice and Home Affairs agencies who would express interest. The purpose is to benefit from efficient use of resources, share facilities and services and foster the networking effect by grouping a few liaison offices in the same premises. In 2019 the project was joined by 3 other agencies; the project partners include CEPOL, EASO, eu-LISA and Frontex and an administrative arrangement with requirements related to the common office space and terms of cooperation among partners is being finalised. The next steps foreseen for 2020 and 2021 will be procuring, fitting out and eventually relocating to the new the premises.

5. To what extent has the working program of each agency been implemented and what are the most important achievements?

Reply: The Agency's annual work programme for 2019 was completed to its maximum possible extent. No caveats in this regard have been reported in the annual activity report.

The new European Border and Coast Guard Regulation – Regulation (EU) 2019/1896 was adopted on 4/12/2019, with extended mandate and resources including the creation of the standing corps with executive powers. To that end, the Agency worked intensively to adapt its internal structures to start delivering the outcomes envisioned, including the recruitment of the first batch of the SC members, (1,000 positions including ETIAS CU).

The first Technical and Operational European Integrated Border Management (IBM) Strategy was adopted in March 2019. In addition to this, the Management Board Decisions were adopted to cover:

- approval of the deployment of Frontex Liaison Officers to third countries in the Western Balkans
- laying down general implementing provisions on the procedure governing the engagement and use of temporary staff under Article 2(f) of the Conditions of Employment of Other Servants of the European Union
- on Working Time
- on the Frontex policy on protecting the dignity of the person and preventing psychological harassment and sexual harassment
- Frontex Guidelines on Whistleblowing
- Frontex Financial Regulation
- on priority regions in 2020 for the deployment of liaison officers to Third Countries
- the Common Vulnerability Assessment Methodology
- rules relating to technical equipment, including the MNITE( **Minimum Number of items of Technical Equipment**) as well as the Rapid Reaction Equipment Pool
- the model agreement for Technical Equipment
- **on definition of professional training of an equivalent level in recruitment procedures**
- on the composition of the Consultative Forum on Fundamental Rights.

Frontex took the necessary operational steps towards the implementation of the Regulation (EU) 2018/1240 of 12/09/2018 establishing a European Travel Information and Authorisation System (ETIAS) and the connection with the Schengen Information System (SIS) III,

In accordance to the Eurosur Regulation (EU) 1052/2013 and Copernicus Delegation Agreement Frontex provided 17 tailored close-to real-time and real time services including JORA 2 development finalised and rolled out to end users as well as the establishment of a central hub of Earth Observations Products and Geodata was completed.

In 2019, Frontex significantly enhanced the border control activities of the EU Member States and Schengen associated countries (SAC) by providing technical and operational support totalling over 433,137 operational days and 126,605 asset days. In 2019, Member States' and Schengen associated countries' border management activities required 11,519 asset days of heavy technical equipment. The number of patrolling hours performed by aerial and maritime means for surveillance purposes amounted to 53,475.

In the area of contributing to addressing serious crime with a cross-border dimension as part of Frontex mandate, in 2019, Frontex led, co-led and participated in 70 operational actions across various EMPACT priorities, gradually increasing not only the number of engagements, but also their quality and relevance. Furthermore, Frontex organised five joint action days (JADs), and supported or even co-led a number of others, coordinated by Europol or EU Member States.

In the framework of Frontex joint operations in 2019, the operational activities resulted in detection of 1,188 facilitators and human smugglers and a fight against a wide variety of other types of cross-border crimes, such as smuggling of illegal goods and substances: 23,483 litres of alcohol, 200,551 pieces of ammunition, 764 kilograms (kg) of cocaine, more than 124.4 tons of hashish and marijuana, 31 kg of heroin and approximately 218 kilograms of other types of drugs. Moreover, 390 stolen vehicles were detected and 581 cases were reported involving the detection of parts and pieces of stolen cars. Joint operations also provided a practical framework for implementing Frontex working arrangements with third country partners.

Interagency cooperation was strengthened following the annual strategical plan 2019 of the tripartite working arrangement (TWA) on coast guard functions EMSA, EFCA and Frontex. A common statement on the European multipurpose maritime activities concept was developed.

Maritime surveillance operations have significantly increased the search and rescue capacities of Member States. The vessels in maritime operations helped to rescue more than 28,670 migrants.

In the area of return around 139,000 migrants who were not granted refugee status or subsidiary protection were returned to their countries of origin. Frontex scheduled flights mechanism a pilot project became a permanent activity. In the context of IT in support of return activities, the Agency published and made available to all MS and SAC its model Return Case Management System (model-Recamas),

In the research and innovation field the Agency worked together with MS/SAC on the development of standards for maritime, terrestrial and aerial technical equipment to be acquired and/or deployed in the operational activities by the Agency. In 2019, the working groups established for this purpose finalised the document on standards for selected maritime assets.

### **Use of resources**

Budget implementation: 99.9% in commitments C1, 69% payments C1 and 93% payments C8 with only 9 budgetary transfers.

Recruitment: by end of 2019 a total 749 posts were filled (vacant rate 17.90%). During the year 2019, 65 new recruitment procedures were launched, filling of 218 vacant posts (TAs, CAs and SNEs), including 16 posts of Directors, Heads of Units, Heads of Task Forces and Heads of Sectors. Traineeship programme with 28 positions filled each of the two intakes. Interims staff support with 40 positions filled during the year.

In the field of ICT, a multiannual Strategy 2020-2025 covering the implementation of the Regulation 2019/1896 was developed and an ICT and information governance board was established.

As regards procurement activities, during 2019, a total of 28 open tenders were completed, 884 Orders and contracts issued under existing framework contracts, 45 Negotiated procedures with min 3 and 5 candidates, 276 Negotiated procedures with min 1 candidate (below 15 000).

6. How many recommendations for improvement have been given by the internal audit service and how many of the recommendations from the previous year have been implemented?

Reply: In 2019 in the audit reports IAS has indicated 11 recommendations. During the year 2019 Frontex has implemented 6 recommendations.

### *Staff policy*

7. How did the Establishment Plan (officials and temporary agents) of each Agency evolve from 2018 to 2019, taking the data of 31.12.2019 compared with 31.12.2018? How many seconded national experts, contract staff, interim staff and consultants were working for each Agency in 2019, expressed in FTEs?

#### Number of staff

	Officials (posts filled)	Temporary agents (posts filled)
Establishment plan 31.12.2017-31.12.2018	0	Establishment plan 2018: 418 Working: 303
Establishment plan 31.12.2018-31.12.2019	0	Establishment plan 2019: 484 Working: 367

#### Other staff

	SNEs (FTE)	Contract agents (FTE)	Interim staff (FTE)	Consultants (FTE)
31.12.2019	Establishment plan 2019: 194 Working: 168	Establishment plan 2019: 217 Working: 214	39	

8. Could each Agency present a gender and nationality breakdown of its senior and middle management positions and its management board, and of its staff overall, including as percentage of the total number for each category requested?

	Senior management Male	Senior management Female	Management board - Male	Management board - Female	Staff overall - Male	Staff overall - Female
Austria	1		2		14	1
Belgium	1		2		10	3
Bulgaria			2		11	11
Croatia			2		1	2
Cyprus			2		1	1
Czech Republic			2		6	2
Denmark				2	3	0
Estonia			1	1	1	1
Finland			2		8	1
France	2		2		20	10
Germany	1		2		21	2
Greece			2		25	9
Hungary			2		18	8
Ireland			2		3	1

Italy			2		48	11
Latvia		1	2		4	9
Lithuania			2		4	10
Luxembourg			1	1	1	0
Malta			2		1	0
Netherlands			2		11	3
Poland			2		105	194
Portugal		1	2		18	8
Romania			2		45	18
Slovakia			1	1	2	7
Slovenia			1	1	4	3
Spain			2		33	8
Sweden			1	1	1	0
United Kingdom					6	0
Norway			1	1	0	1

Representation expressed as percentage

	% of males in the overall management staff	% of females in the overall management staff	% of males in the overall management board staff	% of females in the overall management board staff	% of males in the overall staff	% of females in the overall staff
Answer	77%	23%	86%	14%	57%	43%



9. How many former MEPs, Commissioners or high-level officials (from AD 14) still receive money from the budget of your institution as advisors, contract agents or others? What are their tasks and their respective salaries?

Reply: None to our best knowledge

10. What measures / activities were organised to improve on the well-being for staff in each agency? What were the costs in 2019 and how many staff members participated in these events?

Events/measures taken by the Agency

	Measures/Activities organised to improve on the well-being for staff	Cost of the activities	Number of staff that participated
	Fruit provided to all staff twice a week as a healthy snack	EUR 38 000 (c.a.)	All Staff
	Reimbursement of expenditure for sport activities (performed in 2019) for all staff members – procedure still ongoing	Data not available yet	All Staff
	Reimbursement of public transportation costs for staff members in 2019 – procedure still ongoing	Data not available yet	All Staff
	Organisation of different internal events including: monthly birthday breakfast with the Executive Director; monthly Happy Hour ; two town hall meetings; family day; internal day and Christmas party.	EUR 200 000	All Staff

11. What measures do Agencies use to prevent and fight against harassment? What kind of efforts have the Agencies made to facilitate easy and confidential reporting of internal and external harassment towards their staff? Were there any harassment cases reported, investigated or taken before the court in 2019?

Measures taken by the Agency

	What measures does your Agency use to prevent and fight against harassment?	What measures does your Agency have in place to facilitate easy and confidential reporting of internal and external harassment towards your staff?	In 2019 how many harassment cases were reported/investigated/taken before court?
Reply	Frontex policy on protecting the dignity of the person and preventing psychological harassment and sexual harassment was adopted by the Management Board - Decision No 16/2019 which entered into force on 1 August 2019. By Decision of the Executive Director No R-ED-2019-207 of 21 December 2019 three (3) confidential counsellors were appointed to provide assistance to staff members who feel to be a victim of psychological or sexual harassment.	Guidelines to staff on how to report harassment cases are available on Frontex intranet page (under Frontex Ethics).  A central phone number and dedicated functional mailboxes are created both for the Confidential Counsellors and the Central Service in Inspection and Control Office in order to facilitate the reporting process both in terms of a formal and informal procedure.	5 cases
Commen			

12. What was the average absence from work due to sick leave in 2019? How many working hours were lost as a consequence of burnouts or other work-related reasons?

Answer by the Agency

	Average absence from work due to sick leave (in days) in 2019.	Number of working hours lost as a consequence of burnouts or other work related reasons	Comments
Reply	8.1 days average calculated as follows: total number of sick leave days (with and without medical certificate) in 2019 divided by total number of TA, CA and SNEs on 31/12/2019	Information not available	

13. Could the Network prepare a comprehensive list of staff-cuts implemented per individual Agency in accordance with the Commission's plan until 2019? How many of these staff-cuts were replaced by Contractual Agents or External experts?

Staff cuts 2013-2019

	Staff cuts per Agency	Contract agents employed	External experts employed	Comments
2013				
2014	1	85		
2015	1	79		
2016	2	96	16	
2017	3	139	90	
2018	1	174	75	
2019		214	65	

14. Is there any increase of the workload or new tasks designated to each agency and how does it manage to accommodate these to the available staff in 2019? Did your Agency face an increase in workload or new tasks assigned in 2019? How did you accommodate these with the staff available in 2019?

Reply: Since 2015, Frontex is facing constant challenges both from an operational side (migration situation across EU external borders) as well as from the side of its mandate's extension (substantial revisions of 2016 and of 2019).

The challenges related to the growth of the Agency's tasks and resources are also reflected in the recent findings made by the Internal Audit Service of the Commission in relation to management of human resources:

"...169 procedures have resulted in 536 newcomers recruited between 1 January 2017 and 31 August 2019, within the relatively short period of existence of the EBCG Agency under a completely new mandate since the entry into force of its new regulation at the end of 2016.

At the same time, Frontex services were facing the challenge of designing the new tasks deriving from the new mandate and implementing a major internal restructuring, which included the creation of new organisational units and the replacement of all heads of division that followed the reshuffling of two operational divisions into four and the retirement of two heads of divisions. Despite these changes, the Agency managed to establish and implement some selection and recruitment procedures (such as the quality control of vacancy notices, the timely mobilisation of selection committees, the prevention of conflicts of interests in selection committees) that overall comply with legal requirements...

The IAS acknowledges that since the EBCG Regulation entered into force, Frontex has been facing tremendous challenges in the area of staff planning, allocation, selection and recruitment. While the related controls were generally adequately designed and correctly implemented, they were established under the Agency's former legal basis for a much smaller organisation. Thus, by the end of 2019, Frontex did not manage to modernise the related processes and to take proper account of the upscaling of its operations resulting from the extended mandate...".

### *Conflicts of interest and transparency*

15. Could each Agency confirm whether the declarations of conflicts of interest are in place (and public) for their: · management board members · senior management?

Declaration of Col

	Management board members	Senior management	Comments
Reply	Process under finalisation - majority have been uploaded on the website	YES	Executive Director's and Deputy Executive Director's declarations of conflict of interests are available on the website under the organisation/executive profiles section

16. Could each Agency confirm if they publish on their website the CVs of their: ·  
management board members · management staff · external experts · in-house experts?

	Management board members	Management staff	External experts	In-house experts	Comments
Answer	Yes	Yes			Process under finalisation. Majority has been uploaded on the website

17. What kind of mechanisms do the Agencies use to identify and avoid conflicts of interest, and were there any cases of conflicts of interest reported, investigated and concluded in 2019?

Reply: Frontex has in place a set of rules and procedures which are communicated to the staff in relation to Staff Regulations article 11a related to prevention of conflicts of interest and article 16 related to the duty to behave with integrity and discretion as regards the acceptance of certain appointments or benefits after leaving the service, namely:

- Administrative Notice R-AN-2018-13 on the prevention of conflicts of interest;
- Frontex Staff Code of Conduct; Management Board Decision 12/2017.
- In 2019 Frontex has initiated e-training course on Ethics, which is compulsory to all staff.
- Additionally, in the scope of implementation of the anti-fraud strategy, to increase staff awareness, four special sessions for the staff were organised (two out of them conducted directly by staff from OLAF), which included as well the topics on conflict of interest.

There was no investigation launched as regards conflict of interest in 2019.

18. For the Agencies that depend on fee collection: how many percent of the Agency's income consist of fees? How does the Agency view in this regard the danger of conflicts of interest for relying on fees from their clients? What kind of mechanism(s) to prevent conflict of interests do the agencies that collect fees from their clients have at their disposal? Would the Agency consider it an appropriate solution if the Commission would collect the fees, and the Agency would hence be fully funded from the EU budget?

Fee financed Agencies

	How many percent of your Agency's income consists of fees	Does the Agency see any potential danger of Col from relying on fees from its clients?	What kind of mechanisms does the Agency use to prevent Col stemming from the collection of fees	Would the Agency consider it an appropriate solution for the Commission to collect the fees and the Agency to be fully funded from the EU budget?
Reply	N/A			

19. Have all the Agencies set up and implemented internal rules or common guidelines on whistleblowing? Could the Agencies provide the number of open, closed and ongoing whistleblowing cases in 2018? Which actions were taken for each of these case and what were the results?

	Has your Agency implemented internal rules or common guidelines on whistleblowing?	Can the Agency provide the number of open/closed/on-going whistleblowing cases in 2019?	What actions were taken for each of these cases and what were the results?	Comments
Reply	Internal rules on whistleblowing based on the Commission model decision are adopted by the Management Board in July 2019 and entered into force on 1 August 2019. The guidelines to staff on how to report on possible irregularities are prepared and placed on the Frontex intranet page.	0	N/A	
Comment				

20. Are all meetings with lobbyists, in case such meetings were held: · registered · made public?

Meeting with lobbyists

	Were the meetings registered?	Were the meetings made public?	Comments
Agency meeting with lobbyists	No, Frontex does not meet with lobbyists. Given the mandate received by Frontex (contribute to implement integrated border management at the external borders of the EU) and the fact that it does not play a role in the EU decision / law making process, is not in consequence attracting the	n/a	Any request from lobbyists received at the level of the Brussels Liaison Office is either forwarded to HQs or turned down informing the requester to contact Frontex HQs directly.

	interest of lobbyists.		
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## Other comments

21. Which measures did the Agencies implement in 2019 in order to increase their public visibility and online presence? Could you please summarize shortly the actions taken in order to promote the work of the Agencies to EU citizens, and to make services available to the wider public, civil society and academia where appropriate?

Reply: The Agency continued to expand its social media presence gaining thousands of new followers on Facebook, LinkedIn and Twitter. These channels played a very important role during the recour the multilingual website and our social media channels, including recruitment videos, infographics and portraits of officers deployed in our operations. We continued to meet with researchers and received hundreds of student groups at our HQ. We used operational footage to show what our role in managing EU's external border and fighting cross-border crime.

22. Which measures did the Agencies implement in 2019 in order to increase their cyber security and protection of the digital records in its possession? Does the Agency have such a policy in place / in a making?

Reply: In 2019 the Agency has been building its ICT security and cybersecurity team. Additionally, the Cybersecurity action plan 2020-2025 is under development. Several further policies are under consideration, especially in the domain of data and information management and especially Record of processing, data classification and data retention.

23. Could the Agencies provide a list of their internal measures in place to: · put in place a comprehensive strategy for sustainable development, including steps to reduce or offset CO<sup>2</sup> emissions? · ensure a cost-effective and environment-friendly working place?

### Internal measures in place

	Ensuring cost-effective and environment-friendly working place	Comprehensive strategy for sustainable development, including steps to reduce or offset CO2 emissions?
Answer	Frontex has been implementing a number of measures in order to be more environmental friendly. Among them is the policy on printer and printing that has reduced the consumption of paper, implementation of Lync for video conference in addition to	Buildings where the Agency has premises have been designed and constructed according to the eco-requirements of BREEAM certification and are amongst the most sustainable buildings in Poland. The projects received BREEAM Excellent (Warsaw Spire building) and BREEAM Outstanding (Wronia 31 building) certificate, regarded as one of the most comprehensive measures of

	<p>the corporate video conferencing system. Solutions aimed at improving water and energy efficiency as well as increasing recycling are in place. Separate containers for waste segregation (paper, glass, batteries, etc.) are available. The canteen's kitchen is equipped with energy and water saving machines. The canteen operator uses biodegradable cleaning and disinfection products as well as provides eco-friendly take-away packaging methods and recyclable cups, plates and cutlery. Meals served in the canteen are prepared using locally produced and seasonal products as well as ingredients sourced from ecological farmers. The Agency is also committed to promoting the use of public and eco-friendly transportation. Since 2015 an internal policy is in place to reimburse public transportation costs for Frontex staff.</p>	<p>a building's environmental performance worldwide. The following features have been applied in building projects:</p> <ul style="list-style-type: none"> <li>• glass façade - daylight in over 80% of internal surface, heat management;</li> <li>• construction, installations and materials that guarantee acoustic comfort inside;</li> <li>• energy-controlling counters to ensure optimal use of power</li> <li>• co2 control within the garage space thanks to special ventilation;</li> <li>• energy-efficient systems in elevators and staircases;</li> <li>• high accessibility of public transport;</li> <li>• good connections with main areas of the city;</li> <li>• close proximity to various service points;</li> <li>• area development ensuring public access and easy communication between the buildings within the compound;</li> <li>• convenient separate ramps for cars and bicycles leading to underground parking;</li> <li>• convenient bicycle parking and accompanying infrastructure (lockers, showers);</li> <li>• water-efficient sanitary equipment (contactless sink batteries, urinals, etc.);</li> <li>• greywater use (rain water storage and re-use).</li> </ul>
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***Budget and financial management and performance***

1. Could all Agencies illustrate the amounts of planned and unplanned carryovers and of carryover cancellations by budgetary title and the main reasons behind them?

## Planned carry-overs

	Budgetary title	Amount	Justification
Title 1	Title 1	550 032,53 EUR	Carryovers under Title 1 relate mainly to the following provisional commitments where expenses were approved in 2019 however not yet paid by the end of the year: Missions expenditure, recruitment costs, training expenditure, trainees and external services providers.
Title 2	Title 2	3 351 653,69 EUR	Carryovers under Title 2 relate to the contracts where invoices were not received by the end of the year (CERT-EU services, telecommunication contract for CZ, postal services, meeting expenses) or where the contracts expire in 2020 (e.g. Guarding and reception services for Prague building, Facility management services and guarding contract for the building in GSMC, France; IT support contract, IT hardware purchase contracts, legal support contract and quality management contract).
Title 3	Title 3	1 160 542,09 EUR	Amount of 1,160,542.09 EUR relates to title 3 payment appropriations (GSA Title 3 appropriations are differentiated), that were carried over by approval of Administrative Board (non-automatic carry over.) Several operational contracts were signed only towards the year end and first payments on such contracts

			were possible only in 2020. While the commitment appropriations under the operational budget lines have been fully consumed, the payment appropriations have therefore not.
Title 4	n/a	n/a	n/a

#### Unplanned carry-overs

	Budgetary title	Amount	Justification
Title 1	Title 1	0	
Title 2	Title 2	0	
Title 3	Title 3	0	
Title 4	n/a	n/a	

#### Cancelled carry-overs

	Budgetary title	Amount	Justification
Title 1	Title 1	6 723,33 EUR	Cancellations under Title 1 relate mainly to the medical services contracts in Paris (4,214.5 EUR) where estimated amount for the medical check-ups was higher than the actual expenditure.
Title 2	Title 2	80 753,12 EUR	Cancellations under Title 2 relate mainly to the following contracts: Several telecommunication contracts (28,993.71 EUR) due to difficulty to predict precisely the amount of consumption; Facility management services for Prague (3,694.97 EUR) – estimated amount of consumption was lower than expected; ICT service contracts (13,393.32 EUR) – less man-days spent than originally planned due to unavailability of certain profiles; Legal advisory contract (8,733.33 EUR) – estimated

			amount of consumption was lower than planned;
Title 3	Title 3	0	No payment appropriations were cancelled under Title 3.
Title 4	n/a	n/a	

2. What are the key performance indicators (outcome/impact) used by the Agencies for measuring the added value provided by their activities, and for enhancing their budget management in this regard? Which KPIs were added / deleted in 2019? Do the Agencies use or plan to introduce other instruments to measure performance?

Performance indicators:

KPI used for budget management:

Commitment rate and rate of payment within prescribed time limits. Target 95%; 2019 result: 100% commitment rate and 98.2 % payments within prescribed time limits.

The GSA Finance department implements a number of internal measures to further enhance budget management. This is for instance regular monitoring of open commitments implementation, follow up of Final Dates of Implementation (FDI) close to expiry date or regular monitoring of payment times and open invoices/cost claims. A regular budget report is sent to management on a bi-weekly basis.

4. Have the Agencies identified and evaluated the possibility to coordinate and share resources on overlapping tasks with other Agencies with similar activities?

Reply: The Agency continues to make use of a shared resource for Internal Audit with the European Chemicals Agency and to receive accounting services from DG BUDG. The Agency welcomes other opportunities to share resources with other Agencies and EU bodies as and when they are identified.

5. To what extent has the working program of each agency been implemented and what are the most important achievements?

Reply: In 2019 the work programme of the Agency has been well implemented, including concerning tasks related to security accreditation, ensuring the operation of the Galileo Security Monitoring Centre (GSMC), performing tasks related to the PRS decision 1104/2011/EU and contributing to the promotion and marketing of Galileo and EGNOS services. In addition, and as the majority of the Agency's activities, the GSA has performed

key tasks related to the implementation of the Galileo and EGNOS programmes entrusted to it by the European Commission by means of delegation agreements, including operations, deployment and development activities, promoting the development of applications and services and fundamental elements, and Horizon 2020 navigation applications research and innovation activities.

The most important achievements of the Agency in 2019 include:

- Achievement of more than 1 billion users of Galileo worldwide
- Four new Galileo satellites put into service in February 2019
- Galileo Enhanced Services step 1 declaration in May 2019
- GSMC in Madrid became part of the Galileo sites
- Galileo Return Link Service tested
- Procurement of the High Accuracy Data Generator launched
- Fundamental Elements activities produced concrete results, including first autonomous vehicle using Galileo
- MyGalileoApp competition awarded 3 new innovative usages of Galileo supporting European start-ups and young innovators
- Upgrades of EGNOS system ensuring service continuity
- Numerous security accreditation activities

6. How many recommendations for improvement have been given by the internal audit service and how many of the recommendations from the previous year have been implemented?

Reply: IAS audit 2019 on EGNOS (5 recs., 3 implemented, pending IAS review.)

IAS audit 2018 IT Governance (about 2 recs. implemented, 1 still pending).

### *Staff policy*

7. How did the Establishment Plan (officials and temporary agents) of each Agency evolve from 2018 to 2019, taking the data of 31.12.2019 compared with 31.12.2018? How many seconded national experts, contract staff, interim staff and consultants were working for each Agency in 2019, expressed in FTEs?

Number of staff

	Officials (posts filled)	Temporary agents (posts filled)
Establishment plan 31.12.2017-31.12.2018	0	128
Establishment plan 31.12.2018-31.12.2019	0	139

Other staff

	SNEs (FTE)	Contract agents (FTE)	Interim staff (FTE)	Consultants (FTE)
31.12.2019	6	57	4	160

8. Could each Agency present a gender and nationality breakdown of its senior and middle management positions and its management board, and of its staff overall, including as percentage of the total number for each category requested?

	Senior management - Male	Senior management - Female	Management board - Male	Management board - Female	Staff overall - Male	Staff overall - Female
Austria	0	0	0	1	0	0
Belgium	0	0	0	1	3	6
Bulgaria	0	0	0	1	1	3
Croatia	0	0	1	0	0	1
Cyprus	0	0	1	0	0	0
Czech Republic	0	2	1	0	13	13
Denmark	0	0	1	0	0	0
Estonia	0	0	1	0	0	0
Finland	0	0	1	0	1	0
France	3	0	1	0	24	6
Germany	0	0	1	0	1	0
Greece	0	0	1	0	6	4
Hungary	0	0	1	0	0	1
Ireland	1	0	1	0	2	0



Italy	2	1	1	0	19	11
Latvia	0	0	0	1	0	1
Lithuania	0	0	1	0	0	0
Luxembourg	0	0	0	1	0	0
Malta	0	0	1	0	1	0
Netherlands	0	0	1	0	2	0
Poland	0	0	1	0	2	3
Portugal	1	0	1	0	2	0
Romania	0	0	1	0	9	6
Slovakia	0	0	1	0	2	2
Slovenia	0	0	1	0	1	0
Spain	0	0	1	0	28	4
Sweden	0	1	1	0	0	1
United Kingdom	0	0	1	0	1	2
Norway	0	0	1	0	0	0

Representation expressed as percentage

	% of males in the overall management staff	% of females in the overall management staff	% of males in the overall management board staff	% of females in the overall management board staff	% of males in the overall staff	% of females in the overall staff
Answer	63,64%	36,36%	82,76%	17,24%	64,84%	35,16%

9. How many former MEPs, Commissioners or high-level officials (from AD 14) still receive money from the budget of your institution as advisors, contract agents or others? What are their tasks and their respective salaries?

Reply: None

10. What measures / activities were organised to improve on the well-being for staff in each agency? What were the costs in 2019 and how many staff members participated in these events?

Events/measures taken by the Agency

	Measures/Activities organised to improve on the well-being for staff	Cost of the activities	Number of staff that participated
	Pilates/Yoga classes	No cost for the agency	Individual participation
	Massages	Individual participation	Individual participation
	Social measures – wellness vouchers	CZK 1 312 830	Prague (CZ) based staff - 125

11. What measures do Agencies use to prevent and fight against harassment? What kind of efforts have the Agencies made to facilitate easy and confidential reporting of internal and external harassment towards their staff? Were there any harassment cases reported, investigated or taken before the court in 2019?

Measures taken by the Agency

	What measures does your Agency use to prevent and fight against harassment?	What measures does your Agency have in place to facilitate easy and confidential reporting of internal and external harassment towards your staff?	In 2019 how many harassment cases were reported/investigated/taken before court?

Reply	<ul style="list-style-type: none"> <li>• Anti-harassment policy and procedures;</li> <li>• Regular awareness sessions delivered to staff and contractors, targeted sessions for managers</li> <li>• Procedures and contact points for Confidential Counsellors advertised open to all Agency colleagues (including external contractors);</li> <li>• Awareness campaign supported by the senior management</li> </ul>	<ul style="list-style-type: none"> <li>• Existence of the agency Confidential Counsellors holding valid mandate and the access to the interagency network</li> <li>• Functional mailbox (preventing_harassment@gsa.europa.eu )</li> <li>• Manual of procedure for the Confidential Counsellors (in the workflow)</li> </ul>	none
Commen			

12. What was the average absence from work due to sick leave in 2019? How many working hours were lost as a consequence of burnouts or other work-related reasons?

Answer by the Agency

	Average absence from work due to sick leave (in days) in 2019.	Number of working hours lost as a consequence of burnouts or other work related reasons	Comments
Reply	9.65	none	

13. Could the Network prepare a comprehensive list of staff-cuts implemented per individual Agency in accordance with the Commission's plan until 2019? How many of these staff-cuts were replaced by Contractual Agents or External experts?

Staff cuts 2013-2019

	Staff cuts per Agency	Contract agents employed	External experts employed	Comments
2013	+33 (including -5 cut)	33	2	
2014	+19	33	3	
2015	+ 6	36	2/35	
2016	+11	43	4/35	
2017	+3	55	6/45	
2018	+12	57	6/45	
2019	+11	57	3/160	

14. Is there any increase of the workload or new tasks designated to each agency and how does it manage to accommodate these to the available staff in 2019? Did your Agency face an increase in workload or new tasks assigned in 2019? How did you accommodate these with the staff available in 2019?

Reply: The Agency has continued to have a mismatch between workload and resourcing in 2019, with activities continuing to increase progressively, in particular concerning cyber security, PRS and EGNOS security. The Agency has requested a total of 46 additional Temporary Agents for which the budgetary authorities have provided 20 TA by the end of 2019. The Agency has managed this discrepancy through extensive recourse to external consultancy, ESA consultancy tasks and contract agents. The Agency has recognised that without further

internalisation the continuing integrity of its actions could be put in question due to the risk of potential conflicts of interest emerging, especially with respect to industry.

### *Conflicts of interest and transparency*

15. Could each Agency confirm whether the declarations of conflicts of interest are in place (and public) for their: · management board members · senior management?

Declaration of Col

	Management board members	Senior management	Comments
Reply	Foreseen for all AB members. Periodically followed and monitored. The declarations of conflicts of interest are published on the GSA website only for the Chair and the Deputy Chair (in this moment only for the Acting Chair) The declarations of conflicts of interest for all Members, Alternate Members, Observers and Advisors who have participated in any of the Administrative Board meetings have been stored on DMS (GSA document management system). Response rate of about close to 100%.	Foreseen when joining GSA.	

16. Could each Agency confirm if they publish on their website the CVs of their: · management board members · management staff · external experts · in-house experts?

	Management board members	Management staff	External experts	In-house experts	Comments
Answer	Yes, Implementation. The vast majority (over 75%) of the Admin Board members' CVs have been published on the Agency's website. Those who are yet to submit their CVs have been contacted numerous times by both the Administrative Board Secretariat as well as the Internal Control coordinator urging them	Ongoing. Pending formal implementation to the approval by EC of Conflict of Interest Implementing Rules. Voluntary implementation to be sought in Q4 2020.	No. GSA follows H2020 rules	GSA does not engage in-house experts	

	to do so. We continue to send these missing members reminders				
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17. What kind of mechanisms do the Agencies use to identify and avoid conflicts of interest, and were there any cases of conflicts of interest reported, investigated and concluded in 2019?

Reply: GSA has processes in place and periodically performs Conflict of Interest monitoring for Administrative Board members: Management: Procurement awards: Grant awards, evaluation and monitoring; Recruitments; and post-employment of staff.

18. For the Agencies that depend on fee collection: how many percent of the Agency's income consist of fees? How does the Agency view in this regard the danger of conflicts of interest for relying on fees from their clients? What kind of mechanism(s) to prevent conflict of interests do the agencies that collect fees from their clients have at their disposal? Would the Agency consider it an appropriate solution if the Commission would collect the fees, and the Agency would hence be fully funded from the EU budget?

Fee financed Agencies

	How many percent of your Agency's income consists of fees	Does the Agency see any potential danger of Col from relying on fees from its clients?	What kind of mechanisms does the Agency use to prevent Col stemming from the collection of fees	Would the Agency consider it an appropriate solution for the Commission to collect the fees and the Agency to be fully funded from the EU budget?
Reply	n/a	n/a	n/a	n/a



19. Have all the Agencies set up and implemented internal rules or common guidelines on whistleblowing? Could the Agencies provide the number of open, closed and ongoing whistleblowing cases in 2018? Which actions were taken for each of these case and what were the results?

	Has your Agency implemented internal rules or common guidelines on whistleblowing?	Can the Agency provide the number of open/closed/on-going whistleblowing cases in 2019?	What actions were taken for each of these cases and what were the results?	Comments
Reply	Yes	0	0	
Comment				

20. Are all meetings with lobbyists, in case such meetings were held: · registered · made public?

Meeting with lobbyists

	Were the meetings registered?	Were the meetings made public?	Comments
Agency meeting with lobbyists	n/a	n/a	Not a GSA practice.

## *Other comments*

21. Which measures did the Agencies implement in 2019 in order to increase their public visibility and online presence? Could you please summarize shortly the actions taken in order to promote the work of the Agencies to EU citizens, and to make services available to the wider public, civil society and academia where appropriate?

Reply: At the end of 2018, the GSA in collaboration with the European Commission launched the multimedia and multilanguage awareness-raising campaign #AccuracyMatters #UseGalileo, which was implemented in 2019. The campaign consisted of a series of short and entertaining videos translated in all EU official languages promoted extensively on social media, but also through outdoor advertisement like in buses/trams, metros and airports.

With 50 mln viewers on YouTube, the campaign reached out to the general public to raise awareness of Galileo, promoting the services and benefits already available to all. It also helped GSA understand the communication gaps and needs of the general public around Galileo and GNSS, and GSA used the questions raised by the public to prepare a series of short animations #UseGalileo FAQ to respond to the most frequently asked questions and clarify misunderstandings and doubts.

During 2019, GSA joined over 40 international events gathering different user communities, business leaders and public institutions across Europe and beyond, and arranged webinars and workshops to share new findings, resources and opportunities.

During the 2019 European Election, GSA joined the social media campaign #EUelections and #thistimeimvoting using #EUspace as a EU success story benefitting all citizens. In addition GSA joined the #EuropeDay online campaign together with the network of EU agencies, and took part at EuropeDay celebrations organized in Prague.

2019 also marked the 1 Billion Galileo smartphone campaign and GSA 15th Anniversary, which involved both online and traditional press and media; like every year GSA organised GSA Opendays a week-end open to schools and the general public to raise awareness on the activities of GSA and EUSpace in general.

In 2019, the volume of followers and engagement with the user community across GSA social media channels increased exponentially, driven also by the #AccuracyMatters #UseGalileo campaign. In March 2019, GSA created @Space4eu GSA Instagram account, in order to reach out to an even more diverse audience.

All GSA social media accounts were also officially “verified”, which upgraded GSA’s profile and its efforts on social media.

The GSA used traditional and social media extensively to recruit R&D projects and promote R&D outcomes within the MyGalileoApp contest, during the finals the finalists and winners were interviewed and covered via social media and we created opportunities for co-promotion.

Social media were also used extensively to promote Galileo-Masters, the challenges and innovation opportunities, as well as the winners.

www.UseGalileo.eu , the one-stop-shop to check what devices and services use Galileo was also kept up-to-date and promoted via social media, together with the promotion of the GNSS project portfolio to highlight new projects, progress and R&D breakthroughs like the First Galileo-enabled autonomous vehicle demo.

In 2019, the GSA Communications Department together with the Legal Department launched also GSA Register of Documents, <https://www.gsa.europa.eu/register-of-documents> a database where users can easily access GSA reports and documents or easily request access to further documentation.

22. Which measures did the Agencies implement in 2019 in order to increase their cyber security and protection of the digital records in its possession? Does the Agency have such a policy in place / in a making?

Reply: To increase cyber security these measures were implemented last year:

- Information system hardening
- Firewalls replacement
- IS monitoring enhancement by enterprise Splunk solution
- IDS/IPS, application firewalls implementation
- Exposed business applications were pen-tested in cooperation with CERT-EU
- ICT governance, policies and guidelines review and formalization
- Regular cyber security awareness training for users
- Regular cyber security exercise for users

23. Could the Agencies provide a list of their internal measures in place to: · put in place a comprehensive strategy for sustainable development, including steps to reduce or offset CO<sup>2</sup> emissions? · ensure a cost-effective and environment-friendly working place?

Internal measures in place

	Ensuring cost-effective and environment-friendly working place	Comprehensive strategy for sustainable development, including steps to reduce or offset CO2 emissions?
Answer	GSA recycles paper, plastics, glass, batteries, bulbs and fluorescent	Environmental impact evaluated via Building Passport. Building Passport is an official

	<p>tubes, small electronics, coffee pods and printer cartridges. Offices are equipped by a dedicated bin for paper. Each floor has a dedicated big container for a larger volume of paper and plastic. There are also dedicated trash bins for paper, tetra pack, plastic and glass in the Cafeteria. Batteries are collected on the Reception. Within the facility area there are still many issues to be solved. At the moment there is no capacity to proceed with a complex measurements and own methodology development. The Agency is moving step by step, within its resources and possibilities. Possible areas of improvement and ongoing measures: - paper consumption via more paperless approach - tonners consumptions via limited printing of full colour and full black documents - staff awareness – lights &amp; electricity, printing, strict recycling</p> <p>- green office products replacement whenever possible and economical.</p> <p>Constructions and refurbishments of other GSA sites (France, Spain, Netherlands) follow national standards and latest methodology.</p>	<p>document based on Directive 2010/31/EU and EC244/2012. Building Passport identified a weakness in the area of heating = thermal insulation. As in 2015 the HVAC technologies and the roof went through a full reconstruction, the main weak spot remained in windows. For that reason, to elevate heating efficiency from D to C level, a full windows maintenance was executed in 2017. As an additional measure the lobby glass roof was further insulated in 2018. Building also uses solar collectors for hot water during sunny period of year. All buildings used by GSA are rented and environmental aspects related to buildings are in responsibility of building owners (mainly national governments). GSA controls internal measures mentioned in the answer related to a working place.</p>
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## Annex II. EMSA Consolidated Annual Activity Report 2019 – Main Achievements

### A) Strategic achievements

The Agency's previous 5-year Strategy was extended for one year until the end of 2019, bridging a period in which several major developments with a direct impact on the Agency were expected to mature: negotiations for the next Multi annual Financial Framework 2021-2027, the impact of Brexit, the election of the European Parliament and the appointment of the new European Commission. After her appointment by the Administrative Board in September 2018, Ms Maja Markovčić Kostelac started preparing her new strategy in her first year in office, 2019. This new 5 Year strategy, covering the period 2020-2024, was adopted in November 2019.

The key strategic achievements in each work area in 2019 are outlined below.

#### 1. Standards, rules and implementation

*EMSA shall be a leading technical partner in cooperation with Member States for the development and implementation of EU safety standards and regulations in the maritime sector.*

The contribution of the Agency to the development and implementation of EU standards and regulations in the maritime sector is delivered through a programme of visits and inspections, corresponding reports and cumulative horizontal analyses. The continued focus on implementing the Methodology for Visits to Member States, as adopted by the EMSA Administrative Board, ensured that the Agency succeeded in further reducing the administrative burden for Member States, developing and sharing best-practices and lessons learnt, and strengthening the flow and exchange of information, including the participation of Member States as observers. The horizontal analyses, which now incorporate a cost-efficiency assessment, confirmed their added value both for Member States and the Commission.

In addition, the Quality Management System for visits and inspections, covering the full scope of the Agency's visits and inspections activities continued to be implemented and provides a solid framework for continuous improvement.

The technical work carried out in relation to passenger ship safety, marine equipment, autonomous ships, steering and manoeuvrability and fire safety confirmed the leading role of the Agency for issues related to ship safety in support of the Commission and the Member States at EU and IMO level.

Safety analyses of data from EMCIP confirmed their added value as a tool to identify safety issues and possible **improvements towards an enhanced safety culture.**

#### 2. Monitoring, surveillance and information sharing

*EMSA shall aim to become a major provider of reliable and efficient information services for the benefit of the EU maritime cluster and, where appropriate, for the use of other communities.*

The process of enriching and tailoring the maritime picture made available by EMSA to its key stakeholders via the Integrated Maritime Services (IMS) continued in 2019. The process of data integration and incorporating new data sources and functionalities, such as enhancing ABM, combining fishing vessel positions and search and rescue data as

well as providing a mobile application that is actively used by Member States (IMS Mobile App), continued to add value for a growing number of end-users showing increasing interest in tailor-made services. The Integrated Maritime Services (IMS) are a pivotal part of Member State monitoring, information and surveillance systems and benefit a steadily expanding list of other EU agencies and bodies where synergies with EMSA have been identified.

The EMSA Earth Observation pool continued to develop and deliver the capabilities of Satellite based maritime surveillance for pollution monitoring through the CleanSeaNet Service but also through the Copernicus Maritime Surveillance programme and by way of the service provided to Frontex for the maritime surveillance in the domain of Border Control. The Earth Observation services portfolio and the Earth Observation Data Centre (EODC) finalized an important evolution in terms of satellite processing capabilities, increasing the performance, stability and resiliency of the satellite based service delivery. These developments enabled the processing of the highest volume of Earth observation Services since the Agency initiated activities in this field, with an overall 21% growth of services delivered to Member States administrations and EU institutions, compared to 2018.

EMSA continued to offer capabilities based on Remotely Piloted Aircrafts (RPAS ) technology supporting maritime surveillance and, by doing so, became in this second year of operations a reference at EU and global level for the use of RPAS for maritime surveillance.

The integrated maritime picture provided through the IMS service, ABM, and Earth Observation services based on satellite imagery and RPAS were shared with Frontex and EFCA with the required customization in the framework of coast guard cooperation and specific bilateral Service Level Agreements. IMS services were also further developed in 2019 for EUNAVFOR and MAOC-N, and a new cooperation agreement was signed with EUROPOL providing a dedicated associated operational IMS service. With respect to SAT-AIS data EMSA continued to provide global satellite AIS data services to end-users. A new Framework Contract for Services was put in place with a new SAT-AIS data provider and EMSA is now providing its users with global real-time SAT-AIS data service capability using high performance satellites.

The Commission has put in place a preparatory action for the operational implementation of the Common Information Sharing Environment (CISE) and has tasked EMSA to set up and coordinate the preparatory action, known as the „transitional phase“. A Grant Agreement between DG MARE and EMSA was signed in April 2019 with a duration of 2 years and a budget of 3.5 MEUR. EMSA will provide technical and operational support to Member States to integrate the CISE interoperability building blocks into their systems on the basis of the elements developed and tested by EUCISE2020. The Agency aims to ensure coherence of CISE with the overall maritime surveillance framework and the existing EU maritime information systems thus avoiding duplication of efforts while taking into account the existing legislation.

The impact of digitalisation on shipping and the potential support to Port States and Flag States for eCertificates confirmed the role that EMSA could play as facilitator.

### ***3. Environmental challenges and response***

*EMSA shall aim to become the main EU resource to support Member States' efforts for mitigating shipping-related environmental risks and responding to environmental accidents in the maritime and offshore sector.*

As the developer and provider of tools and services to directly support Member State environmental enforcement efforts and the expert support to the Commission at the IMO, EMSA is prepared for a lead role in this sector in the future, supporting Member State efforts to implement EU and International maritime environmental legislation.

Regulation (EU) 2015/757 is the first of several steps in the EU's efforts to include the maritime transport sector in its overall policy to reduce greenhouse gas emissions. THETIS-MRV is the system developed and hosted at EMSA to support the monitoring and reporting of verified data on CO<sub>2</sub> emissions. Following the end of the first reporting period, EMSA supported the European Commission in gathering the data on ships of over 5000 GT operating in EU waters. These data were made public in June 2019, for around 10800 ships, thus representing the first picture of CO<sub>2</sub> emissions from ships in the EU. The introduction of the MRV system is expected to lead to emission reductions of up to 2% compared with a business-as-usual scenario.

Technical work in support of the European Commission and different stakeholders continued with focus on alternative fuels and sources of renewable energy, marine litter, underwater noise, the revision of the Port Reception Facilities Directive, the AFS Convention, the Sulphur Directive and its enforcement, Green House Gases at international and European level thus confirming the commitment of the Agency towards sustainability goals and greener shipping.

In the field of response, the Vessel Network, the Equipment Assistance Service (EAS) arrangements and the dispersant stocks managed by EMSA, together with a regular training program for Member States constitute a real added value at EU level, highly appreciated, as can be testified by the increasing number of requests for vessels and/or equipment sets during national or regional exercises. EMSA also deployed and tested the capabilities of the light RPAS on board of EMSA pollution response vessels to support recovery operations. EMSA performed measurements of Sulphur Dioxide from vessels using RPAS.

#### ***4. Information, knowledge and training***

*EMSA shall aim to become one of the foremost knowledge providers within the maritime cluster.*

Continuity for capacity building activities in neighbouring countries around the Mediterranean and the Black and Caspian seas is assured until 2021 through SAFEMED IV and BCSEA. These activities aim to contribute to the approximation of standards in maritime safety, security and increasingly also pollution prevention and response. This is a crucial element in the overall success of the EU's vision for its seas.

EMSA offers to Member States, candidate and potential candidate countries and neighbouring countries sharing EU sea basins an increasingly innovative, collaborative and flexible capacity building service that can be specialised and tailor-made and relies increasingly on new technologies and e-learning. The growing body of tools and guidance reflects evolving policy priorities and related stakeholder needs. Work started on virtual reality with the idea of enhancing the capacity building toolbox made available to EMSA end users.

A new concept of capacity building was introduced with the final objective to develop professional development paths, based on a structured and modular approach to training and certification of specific activities or functions, thus better supporting the competent authorities in charge at national level of Flag, Port, Coastal and Environmental functions.

Following the interest expressed by third countries, access to tools in support of Port State Control activities in different regions of the world was authorised by the EMSA Administrative Board, therefore confirming the potential for exporting the Agency's knowledge and by extension EU standards and solutions beyond the European geographical dimension.

## **B) Operational Achievements**

### ***1. Standards, rules and implementation***

All EU ship-safety initiatives and relevant negotiations at IMO were supported by EMSA technical assistance. The combined effort of EMSA and Member States in the programme of visits and inspections – all those planned for 2019 were carried out - has provided essential feedback for Commission initiatives to assess and fine-tune maritime safety EU legislation in order to improve the efficiency and effectiveness of the measures already in place. In addition, the horizontal analyses performed have provided fundamental input for policy development and improvement of the relevant EU legislation in the area.

Preparatory work was carried out for the preparation of the new cycle of visits for passenger ship safety, the first cycle that will cover multiple Directives.

Special emphasis continued to be given to passenger ship safety and, in particular, the work on fire safety. The study FIRESAFE II represented an essential building block for the work carried out at IMO and constituted the backbone of the relevant Interim Guidelines adopted in 2019.

In addition the preliminary results of the MASS study were presented and discussed with experts from the Member States, with the objective to contribute to the ongoing work at IMO.

A new study was commissioned on Steering and Manoeuvrability, with the objective of stimulating in the near future discussions at IMO.

Work continued on the development of a new MARED Database, and EMCIP was enhanced with new features such as the Business Intelligence tool.

In the field of Human Element further enhancements of the STCW-IS were launched, aiming at the development of a web-based tool for interactive statistical review by public users.

A table top exercise focusing on maritime cyber-security was organised with the competent authorities of the Member States in charge of maritime security and the direct involvement of industry. Cooperation was also enhanced with ENISA, and an event aiming at raising awareness on transport cybersecurity was hosted at EMSA.

Discussions were initiated with the Commission and the Member States in relation to the monitoring of Recognised Organisations, looking at options for increased sharing of information to support better Flag State responsibilities.

## *2. Monitoring, surveillance and information sharing*

Efforts to support the digitalisation/simplification of maritime transport continued with preparatory work for SafeSeaNet (SSN v.5) to support the legal requirements for registration of persons on board passenger ships and the revised Port Reception Facilities Directive.

Progress was made regarding the development of the central Ship, LOCODE, HAZMAT and Organisations databases. Preparatory work also started for the development of the EMSWe ship database (required by Article 14 of the EMSWe Regulation (EU) 2019/1239).

The Interoperability project continued with a revised plan and set of activities with a particular focus on the European Maritime Single Window environment (EMSWe). The following projects are on-going; (i) Evaluation of security and interoperability solutions for SSN (ii) EMSWe dataset (iii) Facilitation of ship-to-shore reporting (iv) Use of reference databases to support MS authorities and EU agencies (v) VDE Capability project. Additionally, further cooperation with the European Space Agency (ESA) and Norway on the VHF Data Exchange System (VDES) took place. Through such cooperation, EMSA is exploring the benefits of VDES by means of a joint project which consists of a number of activities including the exchange of Mandatory Report Systems (MRS) reports by ships using Norway's NorSat-2 LEO satellite with a VDES test-payload and VDES equipment on board a (test)vessel. The Long Range Identification and Tracking (LRIT) services hosted by EMSA welcomed Georgia and Tunisia to the EU LRIT CDC in July 2019.

In terms of support to emergencies at sea, EMSA provided satellite monitoring in reaction to 15 distinct activations by Member States, linked with oil pollution, search and rescue and anti-piracy.

New data, information and functionalities have been added to the IMS service, including inter-alia the availability of new vessel position reports and vessel enrichment information, long-term (2 years) historical vessel track queries and new system-to-system (S2S) interfaces. The development of ABM algorithms was stepped-up together with interested Member States and EU Agencies/Bodies. Progress was made with the rolling-out of new versions of the SafeSeaNet Ecosystem Graphical User Interface (SEG) which is gradually replacing old single system interfaces, offering a common and combined view of maritime information provided by several back-end systems operated by the Agency.

The cooperation project with EFCA on supporting EU regulation in the field of Illegal, Unreported and Unregulated (IUU) fishing came to a successful conclusion. The outcomes were integrated fully into the existing IMS provided by EMSA to support fisheries monitoring and control under a Service Level Agreement (SLA) in 2019.



Operational and technical training sessions on the Agency's Integrated Maritime Services, SEG new functionalities, ABM and SSN user management were provided in total for almost 300 personnel from Member States and EU Agencies, in addition to webinar and online training tools.

The Traffic Density Mapping Service (TDMS) became operational in 2019 and was made available to Member States and EU Institutions via the SEG graphical user interface and to the public via the EMODnet portal. The TDMS illustrates vessel movement patterns for defined maritime geographical areas and time periods contributing to a better understanding of the maritime traffic patterns.

The operational services under the Copernicus Maritime Surveillance Services, executed on behalf of the Commission, saw a 52% growth compared with 2018 in the number of organizations served. More than 41 Member State Administrations and EU institutions are now being supported by the service. The number of earth observation products delivered by Copernicus Maritime Surveillance also grew substantially (29% when comparing with 2018).

In terms of earth observation contracts, two new framework contracts were signed allowing to further acquire Radarsat-2 satellite licenses and TerraSAR-X/PAZ satellite licences. These new contracts provide a stable and robust basis for the delivery of services and enable EMSA to cope with the increased volume of earth observation service requests.

2019 was the second full year of Remotely Piloted Aircrafts Services (RPAS) operations offered by EMSA. The EMSA RPAS Data Centre which is the central hub for distributing live feeds was operational throughout the year and was continuously improved. It ramped-up its services to 642 operational days, reaching 1488 flight hours, during parallel deployments in the scope of coast guard functions in support of Member States and in the framework of the coast guard cooperation with the EU sister Agencies. During the year, EMSA delivered services in seven different Member States including two operations run by Frontex. EMSA also deployed a light-weight RPAS on board EFCA's chartered vessel "LUNDY SENTINEL" to support fishery monitoring activities.

EMSA has maintained an intensive dialogue with Member States regarding RPAS operations for maritime surveillance during the implementation of the operations, the RPAS Data Centre trainings and during the RPAS User Group which took place in September. With regards to RPAS, the main risk remains with the delays in obtaining the permit to fly for such a recent technology, with a safety legal framework still being developed. In order to mitigate this risk EMSA signed a Memorandum of Understanding with the European Aviation Safety Agency (EASA) to promote cooperation in this field.

With the objective of continuing to offer maritime digital services in support of the daily work of the competent authorities of the Member States EMSA continued working on the development of THETIS and its modules. Extending the possibilities of the original THETIS information system, EMSA concluded the work on the voluntary module for Member States to report security inspections under Regulation 725/2004. In addition, THETIS and THETIS-EU were further enhanced to cater for the Port State and Flag State provisions of Directive (EU) 2017/2110 on a system of inspections for the safe operation of ro-ro passenger ships and high-speed passenger craft in regular service and amending Directive 2009/16/EC. In 2019, the measurements of Sulphur Dioxide captured by RPAS services were transmitted live to THETIS-EU following its integration with the RPAS Data Centre. With the aim of reducing administrative burden for Port State Control officers, a pilot project with the Paris MOU was launched to verify the correctness of data submitted to THETIS through an enhanced webservice to facilitate communication of all dates of issue, dates of expiry and date of (re) survey of all statutory certificates as issued by the RO's on behalf of flag States to all classed ships. This pilot project is a first step towards digitalisation and better use of eCertificates.

RuleCheck is a decision-support tool, developed and maintained by EMSA. It contains all applicable maritime legislation such as IMO Conventions, Codes, Resolutions and Circulars, ILO Conventions and guidelines, relevant EU Regulations and Directives as well as the respective manuals and Instructions of the Paris, Black Sea and Mediterranean Memoranda of Understanding on Port State Control. While it was originally developed for the Paris MoU Port State Control authorities, today, approximately 1000 users from about 50 countries (Med MoU, BS MoU, Carib MoU, Indian Ocean MoU, Flag State Administrations from Member States and ENP beneficiary countries, as well as Accident Investigation Bodies from the Member States) are granted access rights. In 2019 the development of a mobile application started.

### *3. Environmental challenges and response*

Services for the prevention of, preparedness and response to, pollution caused by ships as well as response to marine pollution caused by oil and gas installations have become more adaptable and flexible in order to increasingly reflect regional capacity, requirements and risks. In particular, responding to a recommendation of the Administrative Board, a stress test exercise was carried out in 2019 together with the Member States in order to further analyse the relevance and added value of EMSA resources in case of a major spill incident. The results of this exercise are currently being analysed with the Member States.

In the field of response, the Agency is enriching its portfolio of services, besides maintaining and renewing its existing network of oil recovery vessels, by continuing to build the Equipment Assistance Service (EAS). As regards the latter a new depot in the northern Baltic Sea became operational. The Agency also successfully completed the procurement procedure for the re-tendering of two other EAS: in the North Sea (re-tendering due to Brexit) and the southern Baltic Area. EMSA also continued improving the operational capacities of its vessels by equipping up to 5 vessels with RPAS capacity. Furthermore, as mentioned before, in the context of coast guard cooperation, EMSA equipped the EFCA chartered vessel "LUNDY SENTINEL" with pollution response equipment and provided relevant training. EFCA participated in a pollution response exercise organised under the auspices of the Italian chairmanship of the European Coast Guard Functions Forum. Regarding support to Member States in case of a chemical incident, the MAR-ICE Network was improved with the extension of its service to provide 'level 2' support, meaning that in case of a chemical incident, upon their request and depending of the availability, Member States may benefit from the assistance of an expert from the European chemical industry at their response command centre. Information on the EMSA response capacity is automatically available in the EU civil protection mechanism system CECIS, an interface has been developed and installed for this purpose.

CleanSeaNet continued to provide near real time satellite oil spill monitoring to Member States and European Neighbourhood policy projects. Due to increased efficiency of the earth observation contracts signed in 2018, the support provided to Member States could be expanded and the number of images delivered in 2019 grew substantially (more than 40%). In terms of support to emergencies at sea, EMSA provided satellite monitoring in response to 15 distinct requests by Member States, linked with oil pollution, search and rescue and anti-piracy. The support provided to emergency requests presented a 35% increase compared to the previous year.

Extensive support was given following the sinking of the "Grande America" in early March 2019, for which two EMSA oil spill response vessels equipped with RPAS were mobilised and satellite imagery was provided for detection of oil pollution at sea. In addition, satellite images were provided for assessing and monitoring several maritime accidents throughout the year.

Pollution preparedness and response priority issues identified by the Member States continued to be addressed, with working groups, workshops and guidance documents under the CTG MPPR work.

Support was provided to the Commission and the Member States in the ongoing discussions in relation to the short, medium and long term measures under the IMO's Green House Gases Strategy, the Strategy Plan for the reduction on marine plastic litter pollution from international shipping, the implementation of the Sulphur Cap. Alternative Fuel and LNG were the subject of workshops and trainings, and continuous assistance was ensured to the Commission in support of the revised PRF Directive, as well as in the ongoing monitoring of the Ship-source pollution (SSP) Directive implementation and within the context of the European Sustainable Shipping Forum.

Support was ensured to the Commission in putting forward an EU proposal to ban the use of cybutryne from 3 October 2021 and to prohibit that ships should either bear or seal in such coatings from 3 October 2026.

As regards THETIS-MRV, following the end of the first reporting period, EMSA supported the European Commission in gathering the data on ships of over 5000 GT operating in EU waters. These data were made public in June 2019, for around 10800 ships, thus representing the first picture of CO<sub>2</sub> emissions from ships in the EU. Support was ensured to the Commission in the analysis of such emissions data aiming at a report to be published towards mid-2020 to inform the public and allow for an assessment of the CO<sub>2</sub> emissions and the energy efficiency of maritime transport.

In the field of implementation of the Sulphur Directive, EMSA performed measurements of Sulphur Dioxide from vessels using RPAS during 61 operational days in one Member State. EMSA could not meet the very high demand for

such services from the Member States in 2019 due to technical issues and limitations in the number of available RPAS systems.

#### **4. Information, knowledge and training**

The training programme for the year was delivered, with focus on the priorities identified by the Member States following a bottom-up approach, and hands-on training on the EMSA tools that are part of the daily work of the competent authorities of the Member States. Training initiatives in the Member States made it possible to reach a wider audience. Continuous Member State' demand for training, e-learning or ad-hoc technical assistance from EMSA confirms the Agency's added value in this area, as does the Commission's increasing reliance on EMSA for the implementation, in the maritime safety field, of EU policies regarding candidate and potential candidate and neighbouring countries channelled through the IPA (Instrument for Pre-Accession Assistance), Mediterranean, and Black and Caspian Sea projects.

A new training was developed and delivered in close cooperation with IMO, aiming at providing support to the competent authorities of the Member States in their preparation of the IMSAS (IMO Member State Audit Scheme) audit.

The integration of virtual reality in the toolbox of capacity building was kicked off in 2019, with the objective of using state of the art technology to the competent authorities of the Member States integrated in the new modular approach to capacity building.

Within the context of the SAFEMED IV and Black and Caspian Sea Projects assistance was offered to beneficiaries to align their national standards and practices with those of the European Union, with the aim of promoting a harmonised approach in the field of maritime safety, security and pollution preparedness/response. To this end initiatives were taken both at EMSA and in the beneficiary countries. In support of the MED MOU on Port State Control, the new module THETIS-MED was developed. The Agency also acted as facilitator in support of discussions for the introduction of an Emissions Control Area (ECA) in the Mediterranean. A number of beneficiary countries signed the Condition of Use necessary as pre-requisite for the provision of CleanSeaNet images.

[Annex III. Replies from fully and partially fee funded Agencies provided to the European Parliament in the standardised questionnaire 2017 and Discharge horizontal report 2017 EUAN.](#)

***EU decentralised Agencies' 2017 budgetary discharge report to the European Parliament (November 2018)***

*Q2: Some agencies are fee-funded. Most of these have indicated that they are not happy with their dependence on fees. This makes their funding unpredictable and it creates an unnecessary administrative burden and potential conflicts of interest. Is the network discussing this issue with the Commission and does it agree that fees are better collected by the Commission and that in their turn Agencies receive subsidies out of the EU-budget?*

**Summary Reply:**

The Agencies to which this question is addressed, with the exception of ECHA, contest the incorrect and unfounded assertions raised in this question, namely that (a) “they are not happy with their dependence on fees”, and (b) “that the collection of fees creates unnecessary administrative burden and potential conflicts of interest”. Consequently, in the detailed reply below, the incorrect and unfounded nature of the two above-quoted statements is highlighted by way of summarising the answers already provided by the concerned Agencies to question 14 of the Discharge 2017 Standardised Questions Report, which clearly indicate that (a) there is no additional danger of conflicts of interest resulting from the collection of fees and (b) that the collection of fees by the Commission would, in fact, only increase administrative burden.

All fee receiving Agencies have unanimously replied in the sense that the collection of fees by the Agencies themselves does not raise any conflict of interest issues for the reasons detailed here below.

Similarly, the full reading of the replies given by the fee-receiving Agencies confirms that all of them, with the sole exception of ECHA (which based on its specificities stemming from its applicable regulations, considers that the fees should be invoiced and collected by the Agency through its largely automated processes but be passed to the Commission in exchange of a fixed annual subsidy for better predictability and enhanced efficiency in budget planning and implementation. Thus, ECHA does not see the value of transferring the invoicing and collection function to the Commission) do not agree with the statement “that fees are better collected by the Commission, and the Agency would hence be fully funded from the EU budget”. To the contrary, EMA, EASA, ESMA, CPVO and EUIPO all explicitly contest that the suggested approach would certainly be administratively burdensome, if not entirely unfeasible.

Finally, it should be noted that the EU Agencies Network (i.e. “the Network”) only addresses issues of common interest for its 45 members, of which only 6 are fully or partially fee funded. For this reason, the Network does not discuss with the Commission any issues which are not commonly shared by its 45 members and can, therefore, only make reference to the answers already provided by the fee-receiving Agencies to question 14 of the Discharge 2017 Standardised Questions Report.

### **Detailed Reply:**

Having regard to the replies provided by the concerned Agencies to question 14 of the Discharge 2017 Standardised Questions Report, it is clear that only one Agency (i.e. ECHA) is “not happy with [its] dependence on fees” and that said quoted statement does not factually apply to any of the other concerned Agencies, whether they be fully or partially fee-financed. For ease of reference, a synthetic of summary of the concerned Agencies’ replies provided by the concerned Agencies to the above-mentioned report, submitted to the CONT Committee on August 2018, is provided below. Their replies in full can be found in Annex VI to this document. It should be noted that, as they are not subject to the EU Agencies Discharge procedure before the European Parliament, CPVO and EUIPO did not reply directly to question 14 of the Discharge 2017 Standardised Questions Report. Instead, they provided their input directly to the Chair of the CONT Committee by way of letters which are also included in Annex IV and V. As their replies are relevant to the present question, they have also been included in the following summary.

With respect to potential conflicts of interest, question 14 of the Discharge 2017 Standardised Questions Report asked, “what is your Agency’s view on the danger of conflicts of interest for relying on fees from your clients?”

To this question, all 6 of the concerned Agencies unanimously replied that in their specific context, the collection of fees does not increase the danger of conflict of interest. To that extent, their specific replies can be justified as follows:

- The fee is set by the Commission/Council and Parliament, not by the Agency [ECHA, EMA];
- The fee is paid up front, irrespective of the outcome of the examination or assessment of the file [ECHA]; the fee is paid to cover the cost of an assessment procedure (when submitting request), not for the outcome of the assessment procedure (the fee is still collected even if the marketing authorisation is not granted in the end [EMA]);
- The regulations that define the modalities for the collection of fees and set out the rules of determining the amounts of fees to be paid aim to ensure fair allocation of fees reflecting actual supervisory efforts needed for each individual entity and ensure that the smallest entities do not pay for their supervision, or, pay only minimum fees [ESMA];
- Fees are collected only for the purpose of the activity for which they are used (i.e. direct supervision of financial entities) [ESMA]; fees are based on the actual cost of the activity, which is recalculated on annual basis [ESMA];
- All staff/experts involved in the handling of such files are assessed to ensure that they do not have a conflict of interest [ECHA, EMA];
- Internal procedures detail the entire fee collection process and the principles to be followed by the Agency for the management of fees [ESMA];
- The role of fee setting, and collection is separate from the activity for which the fees are collected through division of tasks and a rigorous approval process [ESMA];
- Appropriate fee-setting and collection structures and process are managed on the basis of the advanced procedure framework in place, in which the mitigation of conflicts of interest has been confirmed by EU bodies and external auditors [ESMA, EMA];
- The users are a set of hundreds of thousands of individual applicants or professional representatives, none of which represent more than 1-1.5% of the Agency's revenue. This very high atomisation of users results in an opposite need to find "aggregated interlocutors", which are always at the level of associations and never individual users, in order to be able to discuss the practical aspects of the Agency's operations and services [CPVO and EUIPO].

With respect to the question "Would your Agency consider it an appropriate solution if the Commission would collect the fees, and the Agency would hence be fully funded from the EU budget?", 5 out of the 6 concerned Agencies responded negatively. Their specific answers to this question can be summarised as follows:

- The Agency's fee collection system functions very well and with a high recovery rate and therefore no additional benefit in passing this function to the European Commission can be envisaged [EASA];
- In line with the Joint Statement of the European Parliament, the Council of the EU and the European Commission of 19 July 2012 on decentralised agencies, for bodies for which the revenue is constituted by fees and charges in addition to the Union contribution, fees should be set at a level that avoids a deficit or a significant accumulation of surplus, and should be based on the Agency's workload and related costs, and on the costs of the work carried out by the national competent authorities of the Member States. The fees should be transparent, fair and

proportionate to the work carried out. Therefore, regardless of how the fees are collected, there is a direct and inextricable link between the level of the fees collected and the funding requirements of the Agency. If the European Commission was the collector of the fees to simply pass them in any case back on to the Agency, this would simply introduce an unnecessary administrative step [EMA];

- Processing and collecting fees involves detailed knowledge of the fee regulations applicable to the Agency, including a complex validation process to establish the appropriate fee levels for each individual submission, based on its scientific characteristics. The validation process therefore relies on scientific and regulatory experts with relevant technical expertise within specialised business areas and financial functions. Transferring these executive tasks and workload to the Commission would not generate improved effectiveness or efficiency in this process [EMA];
- Should the Agency become completely dependent on the Commission in terms of its funding and resource management, and if the industry fees would no longer be earmarked as budget for the Agency, this could be detrimental to the operation of the Agency. The Commission already currently makes proposals for the Agency's establishment plan with no regard to the actual workload and staffing needs of the Agency. This has resulted in a critical situation where the Agency's workload and fee income has grown by over 50% over the past years whilst in the same period its number of temporary agents were reduced by the Commission by 10% [EMA];
- Transferring to the Commission funds paid by applicants for work carried out by the Agency would reduce effectiveness of such fund management since, as shown in the EC's establishment plan approaches, a short-term focus on cost reduction rather than a strategic focus on added-value will be applied to the Agency, which would strongly jeopardise the functioning of the Agency going forward [EMA];
- Over the past decades, several national medicines agencies have moved from a central government funding to a fee-based income model which has allowed them to manage their resources much more effectively and subsequently increased the performance of their public health activities. Equally, other leading international regulators (US FDA, Health Canada, TGA) are directly funded by applicant fees enabling to provide public health activities attuned to changing needs [EMA];
- Fees are defined on a yearly basis in line with the Agency's yearly internal strategy and budget planning (e.g. principle of full cost recovery), while the yearly revenues shall be calculated in compliance with the specific legislation applicable to the Agency (i.e. the Agency's own Financial Regulation and various fee-related regulations). These specific needs are addressed by an adequately designed, accurate, efficient, tailor-made Activity-Based Management (ABM) model, which ensures fee calculation and collection is based on solid control systems and risk management processes, as confirmed by the Internal Audit Services (IAS) and as audited annually by the European Court of Auditors (ECA) [ESMA];
- The calculation of the individual annual supervisory fees requires specific expertise that Agency has in-house and is characterized by a high level of complexity. In particular, the relevant legal provisions to be applied are different for each group of supervised entities and require an in-depth and very specific knowledge of the companies' relevant business. This knowledge and expertise is available in-house at the Agency. Therefore, any outsourcing of the Agency's fee collection procedures will create high inefficiency and it will increase the risk of inaccuracy and miscalculations and consequently damage to the EU institutions' reputation [ESMA];

- The collection of fees by the Commission would not only result in an increased administrative burden for both the Agency and the Commission, in terms of both financial and human resources, but would also certainly lead to complexities and time for the users of the Agency's services [CPVO and EUIPO];
- By virtue of the Agency's founding regulation, the payment of the fee is a paramount step in the registration procedure. Whether or not the fee was paid and when it was paid conditions the acquisition of the rights and consequently a significant amount of decisional power lies with the fee examiners that process the payments. The mere idea that the fee would be paid to the Commission implies that a part of the decision power is entrusted to the Commission as the fee receiver or that mechanism for transferring information about payments received and incidences are established between the Commission and the Agency, thus slowing and significantly complicating the registration process. In both cases, legal certainty is negatively impacted demonstrating that the proposed solution is both unnecessary and inappropriate [CPVO and EUIPO].

The responses to question 14 of the Discharge 2017 Standardised Questions Report summarised above clearly indicate the positions of the concerned Agencies with respect to (a) the danger of conflicts of interest associated with the collection of fees and (b) the potential for the Commission to collect fees on behalf of the concerned Agencies. The concerned Agencies have explained sufficiently that there is no additional danger of conflict of interest resulting from the collection of fees. Furthermore, with the exception of one Agency (i.e. ECHA), the concerned Agencies do not agree that the fees are better collected by the Commission. To the contrary, for the reason expressed above, the Agencies find the proposal to be inefficient, unnecessary.

Moreover, as the EU Agencies Network is not the appropriate forum for discussing fee collection, as fee collection only concerns 6 of the 45 Members, the Network can confirm with certainty that it is not discussing the topic of fee collection with the Commission.

As mentioned, there is only one Agency (i.e. ECHA) which, due to its specificities, is independently and bilaterally in discussion with the Commission concerning the potential of the Commission to receive its collected fees so that the Agency can be fully subsidised by the EU Budget.

The reasons for ECHA's desire for the Commission to receive its fees stem from the fact that as an Agency that implements different EU regulations, *"ECHA makes a clear distinction between its chemicals (REACH [and CLP]), biocides and PIC activities, with separate sections in the Agency's budget [similar to the practice of the EU institutions]. Hence, fees [collected under the different EU regulations] are treated separately in the Agency's budget (as general revenue), and the need for a balancing contribution is calculated separately, for each of the three Regulations."* While the small-scale PIC/POP activities are fully funded through an EU subsidy, the REACH/CLP and BPR activities are financed through a combination of fees and EU subsidy. Unpredictability and fluctuation of the annual fee levels requires constant re-balancing of the budget, complicates the work programme execution and causes unnecessary administrative burden.

While the fees have no impact on ECHA's impartiality, the Agency would welcome a solution where ECHA invoices and collects the fees<sup>17</sup>, but transfers them directly to the Commission, which in turn would provide an annual subsidy covering the Agency's expenditure in full. This would significantly facilitate the Agency's financial management and help in mitigating the risk of a shortfall or surplus stemming from the annually fluctuating fee income that is based on market conditions. On the Commission side, the annual variations in the amounts concerned would only have a negligible impact considering the sheer size of the

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<sup>17</sup> The process of invoicing is highly automated based on registration dossier parameters.

EU budget. In this scenario, the Agency would have certainty on its annual funding without market disturbances and would not have to resort to the Commission’s Global Transfer Exercise late in the year for requesting additional subsidy funding or returning unused subsidy amounts. Alternatively, the fees could even be paid directly to the Commission but, as the Agency has already an established system in place for the fee collection, this latter option might not improve the efficiency or add value at the EU level.

The difficulties in management and collection of fees as outlined by the ECHA Agency mirror the particular situation of ECHA’s operations. Concerns expressed by ECHA Agency are not shared by other partially and fully fee-financed Agencies.

*EU decentralised Agencies’ report to the European Parliament – standardised questions in the framework of the 2017 Discharge (August 2018)*

Agency	Reply
EMA	<p>How many percent of your Agency’s income consist of fees?</p> <p>88% of 2017 income consisted of fees.</p> <p>What is your Agency’s view on the danger of conflicts of interest for relying on fees from your clients?</p> <p>Clients pay for a procedure but not for the outcome of a procedure. This means that a company pays at the time of submission of an application to EMA; the Agency then carries out an independent assessment. At the end of the assessment, the Agency gives a recommendation on whether or not a marketing authorisation should be granted. If the Agency does not recommend a medicine for a marketing authorisation, the company still has to pay. Using an analogy of a driving test, one needs to pay to take a driving test but there is no guarantee of passing the test.</p> <p>Would your Agency consider it an appropriate solution if the Commission would collect the fees, and the Agency would hence be fully funded from the EU budget?</p> <p>In line with the Joint Statement of the European Parliament, the Council of the EU and the European Commission of 19 July 2012 on decentralised agencies, for bodies for which the revenue is constituted by fees and charges in addition to the Union contribution, fees should be set at a level that avoids a deficit or a significant accumulation of surplus, and should be based on the Agency’s workload and related costs, and on the costs of the work carried out by the national competent authorities of the Member States. The fees should be transparent, fair and proportionate to the work carried out. Therefore, regardless of how the fees are collected, there is a direct and inextricable link between the level of the fees collected and the funding requirements of the Agency. If the European Commission was the collector of the fees to simply pass them in any case back on to the Agency, this would simply introduce an</p>



	<p>unnecessary administrative step.</p> <p>In addition, processing and collecting the fees involves a significant administrative burden and a detailed knowledge of both fee regulations applicable to the Agency. This includes a complex validation process to establish the appropriate fee levels for each individual submission, based on its scientific characteristics. The validation process therefore relies on scientific and regulatory experts with relevant technical expertise within specialised business areas and financial functions. Transferring these executive tasks and workload to the Commission would not generate improved effectiveness or efficiency in this process.</p> <p>Furthermore, should EMA become completely dependent on the Commission in terms of its funding and resource management, and if the industry fees would no longer be earmarked as budget for the Agency, this could be detrimental to the operation of the Agency. The Commission already currently makes proposals for the Agency's establishment plan with no regard to the actual work-load and staffing needs of the Agency. This has resulted in a critical situation where the Agency's workload and fee income has grown by over 50% over the past years whilst in the same period its number of temporary agents were reduced by the Commission by 10%.</p> <p>The Agency tried in the past to mitigate the risk of staff cuts to its legislative obligations by relying on short term or low paid contracts – which is a suboptimal and unsustainable situation for an Agency dealing with innovation, public health and pan-European IT systems, as well as large quantities of confidential and sensitive information. Transferring to the Commission funds paid by applicants for work carried out by the Agency would reduce effectiveness of such fund management since, as shown in the EC's establishment plan approaches, a short-term focus on cost reduction rather than a strategic focus on added-value will be applied to the EMA, which would strongly jeopardise the functioning of the Agency going forward.</p> <p>Finally, we wish to highlight that over the past decades, several national medicines agencies have moved from a central government funding to a fee-based income model which has allowed them to manage their resources much more effectively and subsequently increased the performance of their public health activities. Equally, other leading international regulators (US FDA, Health Canada, TGA) are directly funded by applicant fees enabling to provide public health activities attuned to changing needs.</p>
ESMA	<p>How many percent of your Agency's income consist of fees? 28%</p> <p>What is your Agency's view on the danger of conflicts of interest for relying on fees from your clients?</p> <ul style="list-style-type: none"> <li>ESMA collects fees for the registration and supervision of CRAs and TRs in line with the Commission's delegated Regulations (EU No. 272/2012 for CRAs and EU No. 1003/2013 for TRs). These regulations define the modalities for the collection of fees and set out the rules of determining the amounts of fees to be paid. The regulations aim to ensure fair allocation of fees reflecting actual supervisory efforts needed for each individual entity and ensure that the smallest entities do not pay for their supervision, or, pay only minimum fees.</li> </ul> <p>In 2017 28% of ESMA's budget came from fees charged to the entities it supervises. Fees cover the costs of direct supervision and therefore the percentage of ESMA's budget stemming from fees may change from year to year in line with the predicted workload.</p> <ul style="list-style-type: none"> <li>ESMA's fees are collected to cover the costs of direct supervision of the financial entities it supervises and the fees collected are used only for that purpose. There are internal procedures detailing the entire process and principles to be followed</li> </ul>

by ESMA for the management of the supervisory fees for TRs and CRAs. Among other things, the role of fee setting and collection is separate from that of supervision with different teams in charge of each activity and rigorous approval process. In addition, ESMA applies an Activity Based Management methodology and has implemented Activity Based Budgeting (ABB) and Activity Based Costing (ABC) to justify the level of fees.

- ESMA's fees are not static amounts, they are based on the actual cost of direct supervision and on information submitted annually by the supervised entities. ESMA already has the appropriate fee-setting and collection structures and processes in place. There is an advanced procedural framework in place. These structures and processes have been audited by EU bodies and external auditors, and mitigation of conflicts of interests by ESMA in these processes has been confirmed.

Would your Agency consider it an appropriate solution if the Commission would collect the fees, and the Agency would hence be fully funded from the EU budget?

ESMA considers that the option of giving the Commission the role of fee-collector will lead to high inefficiencies and it will increase the risk of inaccuracy, miscalculation and consequently damage to EU institution's reputation for the following reasons:

- The amount of ESMA's annual supervisory fees shall be defined on yearly basis in line with the Agency's yearly internal strategy and budget planning (e.g. principle of full cost recovery). Each year the level of ESMA's annual supervisory fees must be defined in order to fully cover ESMA's yearly supervisory costs and in line with the Agency's annual strategy. Moreover, ESMA's yearly revenues shall be calculated in compliance with the specific legislations applying to the Agency (e.g. ESMA's Financial Regulation and ESMA's fee-related legislations different for each group of supervised entities). ESMA duly responded to these specific needs with an adequately designed and tailor-made Activity-Based Management (ABM) model.
- ESMA's ABM model is accurate, complete and efficient and it ensures that ESMA's fee calculation and collection is based on solid control systems and risk management processes. In 2017 the Internal Control Services (IAS) duly audited ESMA's ABM and fee collection system and concluded that "ESMA's management and control systems put in place for the ABM and fees collection are adequately designed and efficiently implemented". In particular, the Agency's model (Activity-Based Budgeting model) allows an automatic calculation of ESMA's annual revenues (including the yearly fees for each group of supervised entities) on the basis of transparent assumptions and inputs in line with ESMA's annual strategy and specific legislations. Moreover, each year the automatic calculation of its Activity-Based Costing model ensures the appropriate control on the level of budgeted annual supervisory fees through its comparison with the actual annual cost of ESMA's yearly supervisory activity. Finally, all these processes audited on early basis by the European Court of Auditors.
- ESMA's calculation of the individual annual supervisory fees requires specific expertise that ESMA has in-house. The calculation of the individual supervisory fees (for each supervised entity) shall be executed each year and is characterized by a high level of complexity. In particular, the relevant legal provisions to be applied are different for each group of supervised entities and require an in-depth and very specific knowledge of the companies' relevant business. This knowledge and expertise is available in-house in ESMA. Therefore, any outsourcing of the ESMA's fee collection procedures will create high inefficiency and it will increase the risk of inaccuracy and miscalculations and consequently damage to the EU

	institutions' reputation.
ECHA	<p>How many percent of your Agency's income consist of fees?</p> <p>Based on the 1st amending budget of 2017, the budgeted fee income for the year represented 35% of the total income.</p> <p>What is your Agency's view on the danger of conflicts of interest for relying on fees from your clients?</p> <p>The REACH Regulation and the Fee Regulation foresee that industry pays a fee to ECHA for the registrations of chemical substances and applications for authorisation, among others. The fees are set by the European Commission, not by ECHA. The purpose of the fee is to cover the costs of the handling of the registration or application and in particular on the scientific work to provide the opinions. It is linked with the "polluter pays" principle enshrined in EU law. The fee is paid upfront, irrespective of the outcome of the scientific assessment. Thus the payment of the fee does not have an effect on the independence of the Agency's work and in particular on the independence of the members of ECHA's scientific committees and ECHA's staff who are working on the opinions. Furthermore, the committee members and ECHA staff involved in the opinion making are assessed to ensure that they do not have a conflict of interest.</p> <p>Would your Agency consider it an appropriate solution if the Commission would collect the fees, and the Agency would hence be fully funded from the EU budget?</p> <p>While the fees have no impact on ECHA's impartiality, the Agency would welcome a solution where the fees would be paid directly to the Commission or, alternatively, ECHA could collect the fees, but transfer them directly to the Commission, which in turn would provide a subsidy covering the Agency expenditure in full. This would also significantly facilitate the Agency's financial management and help in mitigating the risk of a shortfall or surplus stemming from the annually fluctuating fee income. On the Commission side, the annual variations in the amounts concerned would not have a similar impact considering the sheer size of the EU budget.</p>
EASA	<p>How many percent of your Agency's income consist of fees? 70%</p> <p>What is your Agency's view on the danger of conflicts of interest for relying on fees from your clients?</p> <p>Reply: The fact that applicants pay fees does not represent a conflict of interest as such. The Agency acts as an independent body.</p> <p>Would your Agency consider it an appropriate solution if the Commission would collect the fees, and the Agency would hence be fully funded from the EU budget?</p> <p>Reply: As the Agency's fees collection system functions very well and with a high recovery rate, EASA sees no additional benefit in passing this function to the European Commission.</p>

## Annex IV. Letters from CPVO and EUIPO to the Chair of the CONT Committee



Ms Monika Hohlmeier  
Chair of the CONT Committee  
European Parliament 60 Rue Wiertz  
Altiero  
Spinelli  
03F263 1047  
Brussels  
Belgium

By email:

Angers, 1 Septembre 2020

**SUBJECT: Discharge of the CPVO**

Dear Ms. Hohlmeier,

The CPVO received a request by the EU Agencies Network on 14 July, to fill in a survey on the Discharge 2018 report and Discharge 2018 standardized questions. The CPVO has replied to the network that we are not going to reply to this survey since we are a fee receiving, self-financed agency, and our budgetary authority is our Administrative Council and not the Parliament.  
I thank you in advance for your understanding.

Yours sincerely,

James MORAN



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The Executive Director

Alicante, 7 August 2020  
ICLAD/GB/gm

Ms Monika Hohlmeier  
Chair of the CONT Committee  
European Parliament  
60 Rue Wiertz  
Altiero Spinelli 03F263  
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By email: [monika.hohlmeier@europarl.europa.eu](mailto:monika.hohlmeier@europarl.europa.eu)

**Subject: EU Agencies Discharge 2019 Standardised Questions**

Dear Ms Hohlmeier

As a member of the EU Agencies Network (EUAN), the EUIPO has received the standardised questions for the Discharge 2019 from the EUAN Shared Support Office.

According to its founding regulation, the EUIPO's discharge authority is its own Budget Committee, to which it is required to report exclusively. The European Parliament is represented in the Budget Committee with voting rights. Nevertheless, the EUIPO would like to take this opportunity to provide concrete input on one of the abovementioned questions, namely standardised question 18 which is addressed at 'the Agencies that depend on fee collection'. This same question has appeared in the standardised questionnaire over the past few years and, as you may recall, I sent you a similar letter in this regard last year (letter dated 5 September 2019).

In the case of the EUIPO, one hundred per cent of its income is derived from fees. On the danger of conflicts of interest potentially arising from the EUIPO's reliance on fees charged to the users of the EU Intellectual Property system, the EUIPO's opinion is that said risk generally exists in situations where there is a risk of dependency on, and lobbying from, big payers ('clients'), which are defined by their size proportionate to the quota of the total revenue that they represent. Payments for high unitary fees (i.e. fee per file) that are concentrated in the hands of a few clients can lead to a heightened risk of conflicts of interest. Even under such circumstances, the collection of fees by the Commission would not entirely negate the risks of potential conflicts of interest posed by big payers.

.../...

However, in the EUIPO's case, the users of the EU IP system are actually a set of hundreds of thousands of individual applicants or professional representatives, none of which represent more than 1–1.5 % of the Agency's revenue. For the EUIPO, this atomisation of users is so high that we have an opposite need, i.e. to find 'aggregated interlocutors' at the level of associations rather than individual users, in order to discuss practical aspects of the Agency's operations and services. Therefore, there is no risk of conflicts of interest arising from our reliance on the fees collected from the EUIPO's users.

The main mechanism that the EUIPO has in place in order to prevent conflict of interest is the Guidelines on the Prevention and management of Conflict of Interest. This serves as a reference for the EUIPO's staff to avoid any conflict between their public duties and any kind of private interest, while encouraging the highest standards of administration, professional ethics, integrity and independence.

Based on these guidelines, which were adopted in 2014, the EUIPO carries out an annual Declaration of Interests exercise to facilitate the prevention and management of potential conflicts of interest affecting its staff, including those staff members involved in the collection of fees. All individuals working for the EUIPO have to comply with the legal obligations bestowed upon them. As one of the main obligations, they must declare any interests which could be considered to be prejudicial to their independence. Should a potential, or factual, conflict of interest be detected, the Appointing Authority will decide if any specific measure should be adopted in order to prevent or redress it.

Due to the circumstances explained above, in the EUIPO's case, the absence of said conflicts of interest makes it unnecessary to introduce any further measures, such as the collection of fees by the Commission instead of the EUIPO. Moreover, this particular measure would not only result in an increased administrative burden for both the EUIPO and the Commission, in terms of both financial and human resources, but would also certainly lead to complexities and delays for users of the EU IP system.

Furthermore, as regards the regulatory mandate of the EUIPO, legal certainty would also be negatively impacted if the Commission were to collect fees because the payment of the fee is, by virtue of the EUIPO's founding regulation, a paramount step in the registration procedure. Whether or not the fee was paid and when it was paid conditions the acquisition of IP rights. Consequently, a significant amount of decisional power lies with the fee examiners that process payments. The mere idea that the fees are paid to the Commission would, therefore, imply that either:

- a part of the decisional power is entrusted to the fee receiver (i.e. the Commission); or
- mechanisms for transferring information about payments received and any incidences be established between the Commission and the EUIPO, thus slowing down and significantly complicating the registration process.

In both cases, the EUIPO finds the proposed solution is both unnecessary and inappropriate. This rationale was reflected in the Working Document of the Commission

.../...

Services on Decentralised Agencies entitled 'Fiche no. 32' (now 'Fiche 68'), which concerns the MFF 2021-2027. On page 2 of the referenced fiche, far from questioning the fee-financed approach, the Commission proposes to replace the contributions from the Member States with fees from the financial sector for the financing of the three European Supervisory Authorities (EBA, EIOPA and ESMA). Indeed, this proposal is motivated not only as a solution for alleviating the burden on the EU budget but also as a means of avoiding the types of administrative complexities explained above.

Finally, I would like to make reference to the European Parliament's study entitled 'EU Agencies and Conflicts of Interest', requested by the PETI Committee (PE621.934, January 2020), which provided a general review of the different conflict of interest policies put in place by the Agencies. The study closely scrutinised a sufficiently representative selection of Agencies with respect to their potential for conflicts of interest. No errors or problems were identified by the study that would pose any serious concern over the current conflict of interest systems in place. With respect to the EUIPO specifically, I would like to point out that the study made numerous positive acknowledgements regarding the conflict of interest systems in place at the EUIPO such as its inclusion of perceived conflicts of interest in alignment with the Commission guidelines (p. 36), its establishment of an advisory committee (p. 43), its alignment with the Commission guidelines on whistleblowing (p. 44) and highlighting that the EUIPO has one of the most well developed conflict of interest management systems (p. 67).

I thank you for your attention and sincerely hope that the CONT Committee finds the answers provided above sufficiently clear to facilitate the effective administration of the Discharge 2019.

Yours sincerely



Christian Archambeau

CC: Ms Kerstin Jorna, Director-General, DG GROW  
Mr Gert-Jan Koopman, Director-General, DG BUDG