Consolidated Annual Activity Report 2019

18 June 2020

This report has been drafted in pursuance of FR 2018/1046, FFR No 2019/715[1].

The opinion on this report was adopted by the Management Board on 18 June 2020.

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[1] Commission Delegated Regulation (EU) 2019/715 on the framework financial regulation for the bodies set up under the TFEU and Euratom Treaty and referred to in Article 70 of Regulation (EU, Euratom) 2018/1046 of the European Parliament and of the Council (OJ L 122, 10.5.2019, p. 1)

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List of abbreviations

AD	Administrator
AIP	Asylum Intervention Pool
AO	Authorising Officer
AST	Assistant
BAMF	Bundesamt für Migration und Flüchtlinge, Germany
C&T	Courts and tribunals
CA	Commitment appropriations *(used in a financial context)*
CA	Contract agent *(used in a human resource context)*
CAAR	Consolidated Annual Activity Report
CEAS	Common European Asylum System
CF	Consultative Forum
CAN	Comprehensive Needs Assessment
COI	Country of Origin Information
CSO	Civil society organisation
DG HOME	Directorate-General for Migration and Home Affairs
DG NEAR	Directorate-General for Neighbourhood and Enlargement Negotiations
DGMM	Directorate General of Migration Management, Turkey
EAIPS	EASO Asylum Intervention Pool System
EASO	European Asylum Support Office
ECA	European Court of Auditors
ECRE	European Council on Refugees and Exiles
ED	Executive Director
EEAS	European External Action Service
EMN	European Migration Network
EP	European Parliament
EPS	Early warning and Preparedness System
EU	European Union
EU+	EU Member States and associate countries
EU-FRANK	Facilitating Resettlement and Refugee Admission through New Knowledge project
eu-LISA	European Agency for the Operational Management of Large-Scale IT Systems in the Area of Freedom, Security and Justice
EUAA	European Union Agency for Asylum
Europol	European Police Office
Eurostat	Statistical Office of the European Union
EURTF	European Regional Task Force
FG	Function group
FRA	European Union Agency for Fundamental Rights
Frontex	European Border and Coast Guard Agency
FTE	Full-time equivalent
GDISC	General Directors' Immigration Service Conference
IAS	Internal Audit Service
IC	Internal Control
ICC	Internal Control Coordinator

ICF	Internal Control Framework
ICS	Internal Control System/Standard
IDS	Information and Documentation System
IGC	Intergovernmental Consultations on Migration, Asylum and Refugees
IOM	International Organization for Migration
IPA	Instrument for Pre-accession Assistance
IPCR	Integrated Political Crisis Response
IPSN	Tool for identification of persons with special needs
ISAA	Integrated Situational Awareness and Analysis
JHA	Justice and Home Affairs
KPI	Key Performance Indicator
LAL	List of available languages
LIBE	Committee on Civil Liberties, Justice and Home Affairs, European Parliament
MARRI	Migration, Asylum, Refugees Regional Initiative
MB	Management Board
MedCOI	Medical Country of Origin Information
MENA	Middle East and North Africa
MEP	Member of the European Parliament
MPI	Migration Policy Institute
MS	Member State
NCP	National Contact Point
NCPA	National COI Portal Administrator
NGO	Non-Governmental Organisation
OLAF	European Anti-Fraud Office
OP	Operating Plan
PA	Payment appropriations
PNA	Prioritised Needs Assessment
RAO	Responsible Authorising Officer
RDPP	Regional Development and Protection Programme
RIS	Reception and Identification Service, Greece
RSF	Resettlement Support Facility
SCIFA	Strategic Committee on Immigration, Frontiers and Asylum
SNE	Seconded national expert
SPD	Single Programming Document
StratNet	Strategic COI Network
TA	Temporary agent
THB	Trafficking in human beings
UNHCR	United Nations High Commissioner for Refugees
VEN	Vulnerability Expert Network
VHAS	Voluntary Humanitarian Admission Scheme

EASO Management Board's analysis and assessment

THE MANAGEMENT BOARD,

HAVING REGARD to Regulation (EC) No 439/2010 of the European Parliament and of the Council of 19 May 2010 establishing a European Asylum Support Office (hereinafter referred to as 'EASO' or 'Agency', and the 'EASO founding Regulation',

HAVING REGARD to the Management Board decision No. 54 of 14 August 2019 on the EASO Financial Regulation and in particular Article 48 thereof,

HAVING REGARD to the Management Board decision no 42 of 21 December 2018 on the Internal Control Framework (hereinafter also referred to as 'ICF'), and in particular Articles 2.1, 3.6 and 5.1 thereof, the Decision of the Executive Director of the 17 April 2019 on the Internal Control Framework Monitoring Criteria and Internal Control Self-Assessment Methodology for 2018 and 2019 (EASO/ED/2019/094) and the Decision of the Executive Director of the 3 February 2020 on the Establishment of Internal Controls and Ex-post Controls Function in EASO (EASO/EDD/2020/001),

HAVING REGARD to EASO's Work Programme 2019 endorsed by the Management Board on 9 February 2018, adopted on 27 November 2018 and revised on 31 July 2019,

HAVING REGARD to the EASO's Consolidated Annual Activity Report 2019 presented to the Management Board on 18 June 2020,

HAVING REGARD to the Communication from the Commission C(2020) 2297 final of 20 April 2020 on the strengthening of the governance of Union Bodies under Article 70 of the Financial Regulation 2018/1046 and on the guidelines for the Single Programming Document and the Consolidated Annual Activity Report,

HAS analysed and assessed the Executive Director's Consolidated Annual Activity Report on the achievements and results of 2019, the Management Board acknowledges the Agency's performance and, in particular:

1. General observations

- Welcomes the achievements of the objectives set in the Work Programme 2019 reported in Part I and the results achieved.

- Notes that EASO's continued growth as an Agency requires internal resources for the recruitment of new staff, management of finances and procurement, and the provision of the required infrastructure.

- Notes that the Budget Authority granted to EASO the discharge in respect of the implementation of the budget of the Agency for the financial year 2018.

- Welcomes that EASO provides quarterly reports to the Management Board on EASO Governance Monitoring Indicators which help to keep track of progress made towards predefined objectives across key areas of governance: implementation of the EASO Work Programme, Human Resources, staff engagement; Internal Control, Procurement, Budget and Finance.

- Notes that EASO continued implementing Internal Control and Governance corrective action plans.

- Notes that the European Court of Auditors has not yet issued at the date of this report the final report for the financial year that ended on 31 December 2019, and that only the preliminary observations were available.

- Notes the internal actions being taken by EASO in preparation for its transformation into a fully-fledged European Union Agency for Asylum with an enhanced mandate and expanded tasks, as well as the regular reports provided by the Agency to the Management Board.

2. Specific observations on EASO's policy achievements in 2019

- Recognises that the Agency successfully achieved or exceeded 81% of 347 pre-established targets set for 31 activity areas in EASO Work Programme 2019.

- Notes that EASO support to Member States under particular pressure has increased to ensure successful implementation of Operating Plans signed with Italy, Greece, Cyprus and Malta.

- Notes that since a sufficient number of experts could not be allocated by Member States, EASO successfully addressed the situation in the four Member States where a tailored operational support was provided through contracted temporary agency workers.

- Notes that EASO has also been successfully involved in supporting *ad hoc* disembarkation and voluntary relocation exercises in Italy and Malta, by working within the framework established by the European Commission.

- Notes that EASO has implemented Roadmaps with Turkey, Serbia and North Macedonia in agreement with the European Commission, and launched the EASO Pilot Resettlement Support Facility (RSF) in Turkey.

- Notes the increased level of National Contact Points (NCP) satisfaction with EASO Asylum Intervention Pool (AIP), together with further developed EASO Deployment Management Tool (EAIPS).

- Notes the increased number and extended scope of both internal and external evaluations carried out.

- Notes the new tools developed to improve the quality of national asylum procedures.

- Notes the increasing volume of processing of COI and MedCOI queries and products developed.

- Notes EASO country guidance publications on Nigeria, Iraq and Afghanistan.

- Notes the management of complex and strategic operational data and information for monitoring and analysing the asylum situation in the EU+.

- Notes the growth of EASO case law database on relevant jurisprudence.

- Notes the increasing public interest in EASO regular publication, 'the Annual Report on the Situation of Asylum in the EU'.

- Notes the EASO Training Curriculum covering the core aspects of the asylum procedure delivered to nearly 7,000 participants, and the increasing number of operational training delivered to over 2,000 participants.

- Notes the launch of two practical tools on asylum processes.

- Notes the exchange of expertise among Member States through EASO networks and tools.

- Notes the range of activities addressed to the general public, civil society and other stakeholders.

- Notes the overall progress achieved especially in the governance and internal control domains.

3. Specific observations on EASO management, external evaluations and internal controls

- Notes the budget amendment that was required during 2019, thus increasing the commitment appropriations (CA) and payment appropriations (PA) from €96.69 million to €102.9 million.

- Notes that EASO managed a total of €137.84 million of CA and €117.62 million of PA, executing 87.64% and 81.40% respectively.

- Notes the 2019 EU subsidy increased from €91.97 million of 2018 to €96.69 million (+5%), and EASO implemented 95.22% of CA and 89.86% of PA.

- Notes that total amount carried forward from 2019 to 2020 was €23.29 million in CA and €6.14 million in PA.

- Notes that 11 budget transfers during 2019 were effected, of which 9 were within budget titles and 2 between titles; the transfers between titles were effected by the Executive Director based on the Management Board approval.

- Notes that by the end of 2019, EASO had reached a staff compliment of 295.

- Notes the efforts made to allocate sufficient resources to recruitment of staff to fill the number of new posts and fill management vacancies at Head of Centre/Department, Head of Unit and Head of Sector level in the new organogram.

- Notes that the Executive Director expresses an opinion on whether the resources assigned to the activities described in this report, have been used for their intended purpose and in accordance with the principles of sound financial management for 2019, and that the control procedures put in place give the necessary guarantees concerning the legality and regularity of the underlying transactions.

- Notes that *ex post* controls are being reinforced within a new Internal Control and Risk Management Sector in the Executive Office and the benefit such controls will have towards providing quality assurance to EASO management, increasing efficiency and effectiveness of processes and procedure and providing reasonable assurance on compliance with applicable rules and procedures as well identification of any weakness requiring rectification.

- Notes that in 2019, the Executive Director justified, approved and logged centrally instances of overriding controls or deviations from the established processes and procedures for a total amount of €1,721,998.44 (1.67% of EASO Budget), which is below the materiality threshold of 2% and therefore there is not a cause to issue a reservation.

- Notes that despite the increase in the number of payment transactions in 2019, the corrective measures taken during the year led to a significant decrease in late payments rate in the last part of 2019 and first part 2020, and EASO therefore had the overall late payment rate of 13% in 2019.

- Notes that a new EASO Financial Manual and Standard Operating Procedures on Procurement Rules and Contracts Management were adopted in February 2019.

- Notes that during 2019, the Agency has made considerable efforts to improve the Internal Control Systems.

CONCLUSIONS:

- Welcomes the new Executive Director, who was appointed in June 2019, subsequent to some of the events described in this document.

- Commends the new Executive Director for improving the internal atmosphere within the Agency, including the relationship with staff and the Staff Committee, and for strengthening the relationship with the EU institutions and key stakeholders.

- Welcomes that the Budget Authority granted to EASO the discharge in respect of the implementation of the budget of the Agency for the financial year 2018.

- Congratulates the Executive Director for proposing a new streamlined and effective organisational structure, which was endorsed by the Management Board in November 2019.

- Welcomes efforts made to increase the speed of recruitment of the Agency's staff, in line with the Recruitment Plan elaborated by the Executive Director, as well as improved HR policies, procedures and processes.

- Welcomes the quarterly reports provided by EASO to the Management Board on EASO Governance Monitoring Indicators that provide clear updates on key human resources, procurement, and financial internal controls' indicators.

- Welcomes that ex-post controls' results and coverage analysis, including indicators of performance on legality and regularity, as defined in Article 30(2) of EASO Financial Regulation, are extensively documented and explained in detail in Part III and Annex IX.

- Welcomes all the relevant controls and corrective actions that have been implemented and are described in Part IV as a result of the Governance and Internal Control action plans.

- Welcomes that under the new Executive Director EASO has considerably improved the working arrangements and effective communication channels in order to facilitate the EASO Management Board's role on overseeing the Agency's governance, risk management and internal control practices;

- Welcomes that out of the of the 112 corrective actions agreed by the Management Team during the 2019 internal control self-assessment and documented in Annex IX, 60 (54%) are already in progress or implemented.

- Welcomes the development of a new risk management process in EASO, in order to make sure that EASO risk identification and risk assessment is effective and efficient and is integrated into the annual activity planning of the Agency.

- Welcomes the development of a fraud risk management process to provide reasonable assurance to prevent fraud and other unethical practices and irregularities.

- Welcomes that both the general risk registers and the Fraud Risk Register are monitored quarterly and feedback is provided to the Management Team through quarterly reports on Risk Management.

- Welcomes the implementation and monitoring of EASO's policies and control activities for the prevention and management of conflicts of interest described in section III.1.4.3.

Makes the following recommendations:

- The Management Board believes that the following **corrective actions regarding the internal control** are needed:

  o To continue making improvements in recruitment of the Agency's staff, in line with the Recruitment Plan elaborated by the Executive Director.

  o To continue the implementation of the Agency's new Internal Control Framework (adopted in December 2018) in compliance with the regulatory framework.

  o To continue improvement of the efficiency and effectiveness of EASO internal control systems, to reduce the number of exceptions and non-compliances below 1% of EASO Budget by the end of 2020, and below 0.5% by the end of 2021.

  o To further enhance monitoring and supervision tools of late payments until systemic delays are eliminated.

  o To reinforce ex-post financial controls of procurement and expenditure operations on EASO financial circuits.

The Management Board wishes to express its gratitude to all EASO staff, and congratulate them for their expertise and commitment, which characterised the Agency's achievements throughout the year.

In the light of the above, **the Management Board adopts this opinion** and requests that the EASO Consolidated Annual Activity Report 2019 be forwarded, together with the analysis and assessment, to the European Parliament, the Council, the European Commission and the European Court of Auditors.

Executive Summary

EASO's mission, objectives and activities

The European Asylum Support Office's mission is to contribute to the implementation of the Common European Asylum System (CEAS) by enhancing practical cooperation, stimulating information exchange, ensuring convergence in the assessment of protection needs in the Member States, monitoring the implementation of the CEAS, and providing operational and technical assistance to Member States subject to pressure on their asylum and reception systems. To fulfil this mission, the Annual Work Programme adopted for 2019 included altogether thirty-six objectives established for six core business areas and one horizontal activity area. Further details on results achieved under each objective are provided in Part I addressing policy achievements.

EASO was established by Regulation (EU) No 439/2010 of the European Parliament and of the Council. The Regulation makes provisions for the organisation of EASO and establishes its duties. Other duties of the Agency stem from the asylum *acquis*.

EASO conducts a number of activities within the legal framework, namely:

- **permanent support**: supporting and stimulating the common quality of the asylum process through common training, common asylum training material, common quality and common Country of Origin Information (COI);

- **special support**: tailor-made assistance, capacity building, relocation, specific support and special quality control tools;

- **technical and operational assistance**: organising and providing assistance to Member States subject to particular pressures on their asylum and reception systems;

- **information and analysis**: sharing and merging information and data, analyses and assessments at EU level, including EU-wide trend analyses and assessments;

- **third country support***: supporting the external dimension of the Common European Asylum System, supporting partnerships with third countries to reach common solutions, including by capacity building and regional protection programmes, and coordinating Member States' actions on resettlement.

The conditions and challenges under which EASO operates are described in more detail in the Executive Summary covering major developments and in Part I addressing policy achievements.

2019 in brief

As in previous years, migration and asylum continued to be a key policy priority in the European Union during 2019. For the first time since 2015, more applications were registered than the previous year in the EU+: some 714,700, up by 13% from 2018. Upward asylum trends were not limited to the top recipient countries. Belgium, Cyprus, Ireland, Malta, as well as several EU+ countries located along the Western Balkan route also registered more applications than in 2018. Furthermore, EASO analysis of asylum applications relative to the countries' size, population and GDP revealed that the asylum picture is far more contextual. Relative indicators clearly showed that national asylum authorities of some countries were under higher pressure. Cyprus, Greece, and Malta stood out in this respect, but the relative volume of applications was also sizeable in other countries, including Belgium, France, Germany and Luxembourg.

Despite an overall weak relationship between irregular migration and asylum, migratory pressure along the Eastern Mediterranean route was of particular concern. In the second half of the year, increased arrivals in the Greek hotspots correlated with a rise in asylum applications, and in turn caused the creation of a considerable backlog.

Asylum authorities' output at first instance, nevertheless, did not increase to the same extent as asylum trends would require. Some 574,200 decisions were issued at first instance in the EU+ and the outcome of such decisions was similar to 2018: the first-instance EU+ recognition rate for EU regulated types of protection remained stable at 33%. In light of these developments, the number of cases pending at first instance increased visibly from 2018 and at the end of 2019, at least some 543,000 cases were awaiting a first-instance decision in the EU+, up by 21% from a year earlier and the highest backlog since July 2017.

At the same time, 2019 was a transitional year for the European Commission, the European Parliament and the President of the European Council. European Parliament elections took place in May 2019, while a new President of the European Council and a new College of Commissioners took office on 1 December 2019.

As provisional political agreement was reached in 2017 on a draft Regulation transforming EASO into a fully-fledged European Union Agency for Asylum, EASO had embarked in 2018 on preparatory activities to plan for its potential future role and responsibilities. On 12 September 2018 the European Commission issued an amended proposal for the EUAA Regulation, building on the provisional political agreement reached by the Presidency with the European Parliament in 2017. However, the negotiations on the 2018 proposal stalled, as did the overall discussions on the reform of the Common European Asylum System. This led to uncertainty around when the draft EUAA Regulation might be adopted as well as its likely content, rendering the preparations for the draft EUAA Regulation particularly challenging.

As part of her candidature for the President of the European Commission, in September 2019 President Ursula von der Leyen announced the intention to present a New Pact on Migration and Asylum and to relaunch the reform of the Common European Asylum System. EASO is, like many others, awaiting the presentation of this package, in the hope that it will stimulate discussion and lead to the finalization of the reform. A clear path towards the adoption of the draft EUAA Regulation would do away with the uncertainty that has surrounded the matter so far, and enable the Agency to better plan and prepare for its new mandate.

Organisation and administrative structure in 2019

The administrative and management structure of EASO comprises of the Management Board as well as the Executive Director and the staff of the Agency.

The Executive Director, in exercising her responsibilities laid down in Article 31 of the EASO Regulation, was supported by the Executive Office, including the Accounting Officer, the Communications and Stakeholders Unit, the Liaison Officers to the EU Institutions and to Frontex, and the Senior Adviser.

The Department of Asylum Support contributed to the implementation of the CEAS by providing support with the aim of enhancing the capacities of EU+ countries to implement the CEAS through common training, coordinated practical cooperation and through the development of operational standards and guidance.

The Department of Operations developed and implemented a comprehensive approach for EASO activities in the field of operations, bringing together situational and country of origin information and intelligence, operational planning and intra and extra-EU operational support under one coordinated framework. Operations is underpinned by operational protocols and tools and a planning and evaluation mechanism to ensure optimal results.

The Department of Administration provided support systems and services to the key areas of work.

EASO conducted its activities from the headquarters in Valletta Harbour, Malta, from three operational offices in Rome, Athens and Nicosia, and from a liaison office in Brussels.

A new, strategically developed and streamlined organisational structure proposed by the Executive Director was endorsed by the Management Board in November 2019. It took effect on 1 January 2020 and is presented in Annex III.

Organisational accountability

The Management Board shall ensure that the Agency performs the duties assigned to it. It shall be the Agency's planning and monitoring body.

The Executive Director is independent in the performance of her duties and is accountable to the Management Board for her activities. She reports to the European Parliament and to the Council on the performance of her duties when invited to do so.

The managers and staff of EASO are held to account in the exercise of their duties in accordance with their respective reporting lines within the organisational structure.

Key conclusions based on Part I, Part II and Part III

2019 demonstrated solid progress towards sustaining policy achievements as agreed with the Agency's planning and monitoring body, the Management Board. In implementing its Annual Work Programme, the Agency successfully achieved 81% (282) of 347 pre-established annual targets. EASO exceeded expectations on 43% (148) of KPIs, achieved 31% (108) of KPIs, nearly achieved 8% (26) of KPIs, and did not achieve 8% (28) of KPIs.

Following the introduction of the Agency's new internal control framework on 21st December 2018, EASO developed and implemented new policies and control activities during 2019 in order to ensure that risk and control issues are timely signaled to and discussed with the Management Team and the Management Board.

These polices and control activities are summarised in Part II and refer in particular to the following areas: Risk Management, Internal Control Self-Assessment Methodology, Exceptions Procedure, Ex-post controls function, Governance Monitoring Indicators, Fraud Risk Management methodology, and Sensitive Functions Policy. The Agency reported regularly on the state-of-play of the corrective actions to the Management Board and a status update as well follow up on Internal Audit Service and European Court of Auditors findings were presented in all Management Board meetings and Preparatory Group meetings.

EASO developed country project management action plans following external evaluations of 2019 Operating Plans for Cyprus, Greece and Italy and shared them with the EASO Management Board.

Last but not least, EASO intends to reinforce its commitment to pursue further improvements in the organisational performance by implementing horizontal evaluations into its quality assurance system.

During 2019 EASO continued further improvement towards a fully effective and efficient Internal Control System. The main control activities that are in place in EASO and functioning for the assessment of the efficiency and effectiveness of the five Internal Controls Components (a) Control Environments, b) Risk Management; c) Control Activities; d) Information and Communication and e) Monitoring Activates) together with the established internal control principles, are summarised in Part III.

The outcome of the Internal Control Self-Assessment carried out by the Management shows the status of internal control system as effective and efficient with the need of some improvements. When compared with the results of internal control self-assessment for 2018, the overall status of internal control systems in 2019 had significantly improved.

During 2019 EASO identified five fraud prevention risk management objectives, priority measures and fraud preventive and detective control activities to enable the identification and assessment of incentives, pressures, opportunities and attitude which may lead to any type of fraud.

PART I: POLICY ACHIEVEMENTS OF THE YEAR

The European Agenda on Migration, presented by the European Commission in May 2015, has guided the EU's response to immediate challenges, with regular progress reports and subsequent Communications transitioning to a longer-term approach.

The need to ensure proper application of the CEAS, as well as the need to complete its reform, has been a running theme of Commission Communications and has also been noted by European Council Conclusions, including the Strategic Agenda adopted in June 2019. Apart from its operations, EASO has continued to contribute to the application of the CEAS by supporting Member States with training, guidance, practical tools and information and data analysis across a spectrum of asylum and reception aspects. In June 2019, the Management Board approved a new version of the EASO Training and Learning Strategy.

EASO has also continued to inform policy-makers, with information and data analysis for evidence-based policy-making, including on matters that have been high on the agenda, such as the question of secondary movements and reporting on asylum trends. EASO also contributed significantly to discussions on challenges in analysing the asylum situation, raising awareness of gaps and deficiencies that exist in the statistical data collected on the basis of existing EU legislation and suggesting potential improvements, also taking into account the adoption of the Regulations on interoperability of IT Systems in May 2019.

The Commission Communication on *Managing migration in all its aspects: progress under the European Agenda on Migration*[2] acknowledged the support provided by the Agencies, including EASO, particularly in the context of the hotspots, and underlined that support would continue on the ground. This was reiterated in the March 2019 Progress Report on the Implementation of the European Agenda on Migration[3]. In this regard, in 2019 EASO continued to provide expanded operational support in Cyprus, Greece and Italy on the basis of tailored Operating Plans signed with each of these Member States. In June 2019, EASO also signed an Operating Plan with Malta, and on that basis started also providing tailor-made assistance to Malta.

Through these operations, EASO has continued to contribute to migration management and preparedness in these four Member States. It should be noted however, that securing the deployment of experts from Member States has continued to represent a major challenge. In spite of repeated calls by the European Commission, as well as Council Presidencies, Member State experts generally accounted for less than 10% of the persons working under EASO's banner in these operations. While alternatives have been resorted to in order to ensure continued provision of the required support, a sustainable solution remains desirable, taking into account difficulties that Member States may face in terms of their limited resources and their own workload, as well as specific requirements, such as language related to certain profiles.

During 2019, EASO heavily engaged in supporting relocation from Italy and Malta, following disembarkation of persons rescued at sea, under the overall coordination of the European Commission and in close cooperation with the Italian and Maltese authorities as well as the participating Member States. A process known as the Messina Model was developed in March 2019, and eventually constituted a basis for Standard Operating Procedures following the adoption of the Joint Declaration of Intent agreed by Italy, France, Malta and Germany in the presence of the Finnish Presidency and the European Commission. In the course of 2019, EASO provided such support in 26 events involving more than 2,500 persons. Experience gained and lessons learned from these activities may also inform any future policy discussions on relocation.

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[2] COM(2018) 798 final
[3] COM(2019) 126 final

Following the European Commission Recommendation of September 2017[4], Member States pledged to resettle more than 50,000 persons in need of international protection from third countries by the end of October 2019. The Recommendation invited Member States to fulfil their pledges in close cooperation with UNHCR and with support from EASO as appropriate. In April 2019, EASO launched an 18-month Pilot Project for a Resettlement Support Facility in Istanbul, Turkey, through which it supported interested Member States to fulfil their pledges, while also enhancing cooperation and operational coordination among Member States. Following the operational conclusions of the 9th EU Resettlement Forum (Brussels, 11 June 2019) work was also taken forward on an EASO Resettlement and Complementary Pathways Network, with a view to its launch in early 2020. In coordination with the Commission, EASO also contributed to the EU pledge at the December 2019 Global Refugee Forum.

Commission Communications and European Council Conclusions have repeatedly highlighted the importance of cooperation with third countries. In December 2018, the European Council addressed the implementation of its comprehensive approach to migration, reiterating that it combines more effective control of the EU's external borders, increased external action and the internal aspects, in accordance with its conclusions of June and October 2018. In February 2019, the EASO Management Board adopted the new EASO External Cooperation Strategy, setting priorities for future activities as well as geographic priorities. During 2019, EASO continued to support the Western Balkans, including through an IPA II-financed Project[5], while also engaging with the Turkish Directorate General for Migration Management, and establishing cooperation with Egypt. Work on the creation of the EASO Third Country Cooperation Network, formerly part of the EASO External Dimension Network, was also taken forward with a view to its launch in early 2020.

EASO's priorities in 2019

EASO's priorities in 2019 were:

- **Reinforcing internal governance and management systems**

  - Continue to build on the Agency's internal governance with an emphasis on further improvement of quality, risk, financial, document and records management, as well as full implementation of all actions as required by audits of the European Court of Auditors and the Internal Audit Service of the Commission.

  - The Agency is committed to prevent any future irregularities and inform the European Commission without delay of any cases of fraud, financial irregularities and investigations. To mitigate fraud and irregularities' related risks, and facilitate adequate prevention and detection, the internal control process shall be applicable at all management levels within the Agency. The primary measures to achieve this will be, but not limited to, reinforced systematic controls, risk analyses, awareness-raising and training.

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[4]   C(2017) 6504

[5]   'Regional Support to Protection-Sensitive Migration Management in the Western Balkans and Turkey', (2016 – June 2019), phase I; (July 2019 – June 2021) phase II

- **Maintaining core business activities**

  - Continue to deliver core-business activities across the Agency, with a focus on maintaining the quality of service and the output level, and where feasible, improve performance.

- **Operational support, planning and evaluation**

  - Continue to support Member States under particular pressure in terms of their asylum and reception systems, and upon specific requests, using an agreed full-cycle project management methodology.

- **External dimension**

  - Increase the Agency's support to Member States in the implementation of national or European resettlement schemes and the future Voluntary Humanitarian Admission Scheme with Turkey, private sponsorship schemes and third country support within the defined geographical areas of the Western Balkans, Turkey and MENA region.

- **Information, analysis and knowledge development**

  - Develop a comprehensive EU COI system, gathering relevant, reliable, objective, accurate and up-to-date information on relevant third countries.

  - Foster the creation of an effective situational picture on asylum-related migration, as well as an early warning functionality, through the development of a data hub in synergy with the EASO Situation Centre.

  - Further integrate different asylum information systems focusing on improving the functionalities of individual entities and creating additional interlinkages between constituent parts, notably IDS, COI Portal and the data hub.

  - Foster convergence in applying assessment criteria by coordinating efforts among Member States to engage in and develop a common analysis on the situation in specific countries of origin and guidance notes to assist Member States in the assessment of relevant applications.

- **Asylum support**

  - Continue and enhance the development of training activities, including for all EASO operations.

  - Develop operational standards, indicators, guidelines, best practices and common practical tools to support the implementation of the CEAS based on identified needs and good practices and act as a centre of expertise on asylum matters.

  - Enhance the professional development series for members of courts and tribunals.

- **Horizontal activities**

  - Increase support to the Management Board in view of their increased governance responsibilities.

  - Enhance external communication and strengthen coordination, flow of information, convergence and coherence of policies and practices related to EASO's mandate.

  - Deliver the ICT systems and solutions prioritised for development.

EASO's key performance indicator

EASO's overall Key Performance Indicator represented the Agency's ability to conduct its core business and to meet the specific objectives set out in the Work Programme.

Consequently, EASO's Key Performance Indicator was represented by a qualitative indicator aiming at demonstrating the impact of the Agency's support to the implementation of the 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 Work Programme identified a number of specific objectives which were structured according to the SMART (specific, measurable, achievable, realistic, time-bound) principle. In order to measure the Agency's performance, indicators were developed ex ante for each objective, together with the expected output and timeframe.

In overall, the Agency successfully achieved or exceeded 81% of 347 pre-established targets set for 31 activity areas in EASO Work Programme 2019.

I.1   OPERATIONAL SUPPORT

I.1.1   Italy

8 out of 9 targets were **nearly achieved**, **achieved** or **exceeded** (89%)
1 out of 9 targets was **not achieved** (11%)

Core business indicators	Forecast 2019	Actual by 31.12.2019	Status	Additional information / explanation
1. Number of monthly inter-agency coordination meetings attended.	1	1	Achieved (100%)	1 monthly inter-agency coordination meeting was attended (22 July 2019, between EASO Rome office and the IOM Italy, to align 2020 working plans and to foster synergies in ongoing activities).
2. Number of thematic meetings organised.	3	6	Exceeded (+100%)	6 thematic meetings were organised (on referral pathways).
3. Percentage utilisation and consumption of resources versus the operating plan.	90%	80% (€17.9M/ €22.3M)	Nearly achieved (-11%)	80% of resources versus the Operating Plan (OP) were consumed (C1 budget in WP2019: €22,252,000; C1 committed: €17,870,288).
Objective 1 (1)	**Contribute to enhanced capacity of the Italian authorities to implement the CEAS and to manage their asylum and reception systems.**			
Indicator	Target for 2019	Actual by 31.12.2019	Status	Additional information / explanation
4. Operating plan reflects priority needs and delivers support that has measurable impact on the Italian authorities' capacity to manage the asylum and reception systems.	Forecast of resources and activities is adequate to meet the needs. Impact can be demonstrated and measured.	Forecast is adequate, impact has been demonstrated and is being measured	Achieved (100%)	The OP was developed following an extensive needs assessment exercise and follows the agreed methodology outlined in the EASO Needs Assessment User Guide. Through meetings and workshops, EASO Italy used the Comprehensive Needs Assessment (CNA) to identify, map and prioritise needs that had emerged from three complementary approaches: i) the Normative approach; ii) the Logic approach; and, iii) the Demand-driven approach. The methodology was equally applied for the development of the OP 2020 for Italy. In 2019, a structured monitoring framework along with a set of tools was developed to monitor the progress of the implementation and allow for corrective actions when necessary. This framework is based on the collection and analysis of operational results and processes. In Q1/2019, an external independent evaluation of the OP 2018 was undertaken. The

Indicator	Target for 2019	Actual by 31.12.2019	Status	Additional information / explanation
				evaluation findings have informed a management response, which is being implemented by the Italy Team. External evaluation of the OP 2019 will be carried out in Q1/2020.
5. Percentage of support measures implemented as planned, including amendments, if applicable.	90%	71%	Nearly achieved (-21%)	71% of support measures were implemented as planned (5 out of 7 sub-measures under objective 1). This was mainly due to the following factors: - Measure IT3 'Support to the quality and standardisation of asylum procedures' was amended with Italian authorities, it was agreed to focus the implementation of sub-measure 3.1 on the development of national monitoring standards and indicators in registration procedures. - Measure IT5 'The concerned authorities enhance practical implementation related to the national and EU legal frameworks' had for sub-measure 5.1 no further monitoring plans developed, and for sub-measure 5.2 the number of planned coordination meetings was revised from 28 to 19.
6. Operating plan 2019 planned results achieved.	90%	53%	Not achieved (-41%)	53% of planned OP 2019 results were achieved. This was mainly due to the following factors: - Sub-measure 3.1 'Development of a quality management system to monitor the asylum process' had the deliverable amended with Italian authorities and postponed from Q4/2019 to Q1/2020 - Sub-measure 3.2 'Support to the Italian COI Unit in standardising high quality COI' had lower than expected results in supporting the Italian COI Unit (25%) - A contractual issue had significantly reduced EASO's capacity to deliver on specific measures, having a major impact on deliverables and results

Objective 2 (2)	Taking into account the situation on the ground, and at the request of the Italian authorities, provide relevant support to alleviate the pressure on the national asylum and reception systems, based on a full-cycle project management methodology.			
Indicator	**Target for 2019**	**Actual by 31.12.2019**	**Status**	**Additional information / explanation**
7. Operating Plan signed based on prioritised needs assessment with defined logic model for intervention.	100%	100%	Achieved (100%)	At the end of 2018, EASO Italy undertook a CNA, which was followed by a Prioritised Needs Assessment (PNA), according to which a selection of priorities were consolidated. The prioritised needs were identified under three CAN approaches: i) the policy environment, ii) the logic modelling of needs, and iii) the stakeholders' needs mapping. Further cross-cutting issues, such as the political context, initial assumptions and sustainability were also taken into account. Based on this comprehensive exercise, a new OP for Italy was developed using the agreed project management methodology, in agreement with the Italian authorities and signed by both parties on 19 December 2018. The same methodology was applied for the development and signature of the OP 2020 for Italy.
8. Percentage of support measures implemented as planned, according to the logical framework of the operating plan, including amendments, if applicable.	90%	78%	Nearly achieved (-13%)	78% of support measures were implemented as planned, according to the logical framework of the OP (7 out of 9 sub-measures under objective 2). This was mainly due to the following factors: - Measure IT1 had a changed scope, the final deliverables as accepted by the beneficiary were only partially aligned with the OP - Measure IT2 had an additional interim was assigned and deployed to the Dublin Unit (sub-measure 2.3) - A contractual issue had significantly reduced EASO's capacity to deliver on specific measures, having a major impact on deliverables and results
9. Quantitative and qualitative indicators per costed measure met by the actions implemented in the framework of the Operating Plan.	90%	97%	Exceeded (+8%)	97% of quantitative and qualitative indicators per costed measure were met by the actions implemented in the framework of the OP. The development of the OP 2019 was complementary to that of a results' framework composed of impact, output and outcome indicators. In 2019, EASO developed a monitoring plan for

Indicator	Target for 2019	Actual by 31.12.2019	Status	Additional information / explanation
				operations in Italy, allowing management to adapt interventions to changing circumstances through prioritisation and building of scenarios in real time. The monitoring plan implemented foresaw two complementary approaches and sets of indicators: - Results-based, ensuring accountability to the targeted outputs - Process-based, ensuring the integrity of the implementation processes For measures IT1, IT2 and IT4 97% of the planned output indicators were met (target outputs were met in view of the adjusted scope for IT1).

I.1.2   Greece

10 out of 12 targets were **nearly achieved**, **achieved** or **exceeded** (83%)
1 out of 12 targets was **not achieved** (8%)
1 out of 12 targets was **not applicable** (8%)

Core business indicators	Forecast 2019	Actual by 31.12.2019	Status	Additional information / explanation
10. Number of monthly inter-agency coordination meetings attended.	1	20	Exceeded (+1,900%)	20 monthly inter-agency coordination meetings were attended breakdown by location): - in Athens: 10 EURTF meetings, 8 EU-Turkey Steering Committee meetings - on the islands: 2 Financial Plan Steering Committee meetings, weekly coordination meetings, ad-hoc meetings
11. Number of thematic meetings organised.	3	16	Exceeded (+433%)	16 thematic meetings were organised, in the context of the consultation phase for the OP 2020 with national authorities and different stakeholders: - 1 Appeals Authority meeting - 4 Asylum Service meetings/workshops - 3 Reception Authorities' meetings/workshops - 2 UNHCR meetings

Core business indicators	Forecast 2019	Actual by 31.12.2019	Status	Additional information / explanation
				- 1 IOM meeting - 5 Reception Technical Assistance meetings In addition, several bilateral meetings with the Minister's Advisor at the central level were held.
12. Percentage utilisation and consumption of resources versus the operating plan.	90%	97% (€25.6M/ €26.5M)	Exceeded (+8%)	97% of resources versus the OP were consumed (C1 budget in WP2019: €26,463,129; C1 committed: €25,625,446).

Objective 1 (3)	Contribute to enhanced capacity of the Greek authorities to implement the CEAS, and to manage their asylum and reception systems.

Indicator	Target for 2019	Actual by 31.12.2019	Status	Additional information / explanation
13. Operating plan reflects priority needs and delivers support that has measurable impact on the Greek authorities' capacity to manage the asylum and reception systems.	Forecast of resources and activities is adequate to meet the needs. Impact can be demonstrated and measured.	Forecast is adequate, impact has been demonstrated and is being measured	Achieved (100%)	The OP was developed following an extensive needs assessment exercise and follows the agreed methodology outlined in the EASO Needs Assessment User Guide. Through meetings and workshops, EASO Greece used the Comprehensive Needs Assessment to identify, map and prioritise needs that had emerged from three complementary approaches: i) the Normative approach; ii) the Logic approach; and, iii) the Demand-driven approach. The methodology was equally applied for the development of the OP 2020 for Greece. In 2019, a structured monitoring framework along with a set of tools was developed to monitor the progress of the implementation and allow for corrective actions when necessary. This framework is based on the collection and analysis of operational results and processes. In Q1/2019, an external independent evaluation of the OP 2018 was undertaken. The external evaluation of the OP 2019 will be carried out in Q1/2020.
14. Percentage of support measures implemented as planned, according to the logical framework of the operating plan, including amendments, if applicable.	90%	88% (7 out of 8)	Nearly achieved (-2%)	88% of support measures were implemented as planned (7 out of 8 sub-measures). In 2019, a monitoring plan for Greece operations was developed by EASO, allowing management to adapt interventions to changing circumstances through prioritisation and building of scenarios in real time. The monitoring plan

Indicator	Target for 2019	Actual by 31.12.2019	Status	Additional information / explanation
				implemented foresaw two complementary approaches and sets of indicators: - Results-based, ensuring accountability to the targeted outputs; - Process-based, ensuring the integrity of the implementation processes. Sub-measure EL-REC 2.2 'EASO support to the Reception Authorities to manage second-line reception' was postponed to 2020, in agreement with national authorities.
15. Percentage of outputs, including tools to support asylum and reception systems, agreed with the Greek authorities delivered.	100%	88%	Nearly achieved (-12%)	88% of outputs, including tools to support asylum and reception systems, agreed with the Greek authorities, were delivered.
16. Operating plan 2019 planned results achieved.	90%	83%	Nearly achieved (-8%)	83% of OP 2019 planned results were achieved.
Objective 2 (4)	**Taking into account the specific needs in 2019, contribute to enhance the capacity of the Greek authorities to process applications for international protection and to strengthen the national reception system, based on a full-cycle project management methodology.**			
Indicator	Target for 2019	Actual by 31.12.2019	Status	Additional information / explanation
17. Operating Plan signed based on prioritised needs assessment with defined logic model for intervention.	100%	100%	Achieved (100%)	At the end of 2018, a Comprehensive Needs Assessment (CNA) undertaken by EASO Greece was followed by a Prioritised Needs Assessment, according to which the selection of priorities was consolidated. The priority needs were identified under the three approaches used in the CNA: i) the policy environment, ii) the logic modelling of needs, and iii) the stakeholders' needs mapping. Based on this comprehensive exercise, a new OP for Greece was developed using the agreed project management methodology, and signed in December 2018. The same methodology was applied for the development and signature of the OP 2020 for Greece.

Indicator	Target for 2019	Actual by 31.12.2019	Status	Additional information / explanation

18. Percentage of support measures implemented as planned, according to the logical framework of the operating plan, including amendments, if applicable.	90%	88% (7 out of 8)	Nearly achieved (-2%)	88% of support measures were implemented as planned, according to the logical framework of the OP (7 out of 8 sub-measures). In 2019, a monitoring plan for Greece operations was developed by EASO, allowing management to adapt interventions to changing circumstances through prioritisation and building of scenarios in real time. The monitoring plan implemented foresaw two complementary approaches and sets of indicators:
				  - Results-based, ensuring accountability to the targeted outputs;
				  - Process-based, ensuring the integrity of the implementation processes.
				Sub-measure EL-REC 2.2 'EASO support to the Reception Authorities to manage second-line reception' was postponed to 2020, in agreement with national authorities.

19. Degree of adoption and implementation of the outputs of the support measures.	90%	88%	Nearly achieved (-2%)	88% of the outputs of the support measures were adopted and implemented (including tools to support asylum and reception systems).
20. Percentage of asylum interviews at first instance processed with the support of EASO.	50%	17% (8,816)	Not achieved (-66%)	17% of asylum interviews at first instance were processed with the support of EASO (6,033 border procedure and 2,783 regular procedure interviews out of 51,066).
21. Qualitative indicators per measure met by the actions implemented in the framework of the operating plan.	90%	N/A	N/A[6]	No qualitative indicators had been set for measures in the Operating Plan.

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[6] The status has been marked N/A (not applicable) throughout Part I in duly justified and reasoned cases.

I.1.3   Cyprus

9 out of 12 targets were **nearly achieved**, **achieved** or **exceeded** (75%)
1 out of 12 targets has **no data provided** (8%)
2 out of 12 targets were **not applicable** (17%)

Core business indicators	Forecast 2019	Actual by 31.12.2019	Status	Additional information / explanation
22. Number of monthly inter-agency coordination meetings attended.	1	2	Exceeded (+100%)	2 monthly inter-agency coordination meetings were attended (on Commission-led Operational Coordination Platforms). EASO also participated in a number of other meetings with UNHCR, IOM, etc.
23. Number of thematic meetings organised.	3	3	Achieved (100%)	3 thematic meetings were organised: - 1 consultation workshop on OP 2020 development - 2 needs-assessment meetings on the development of the new measure in OP 2020 on second instance support
24. Percentage utilisation and consumption of resources versus the operating plan.	90%	78% (€2.3M/ €3M)	Nearly achieved (-13%)	78% of resources versus the OP were consumed (C1 budget in WP2019: €3,000,000; C1 committed: €2,332,340).

Objective 1 (5)	Contribute to enhanced capacity of the Cypriot authorities to implement the CEAS, with particular focus on support for registration, the examination of applications for international protection and support for reception.			
Indicator	**Target for 2019**	**Actual by 31.12.2019**	**Status**	**Additional information / explanation**
25. Operating plan takes into account the needs on the ground and foresees adequate operational and technical support.	Forecast of resources and activities is adequate to meet the needs	Forecast of resources and activities is adequate to meet the needs	Achieved (100%)	The Operating Plan for Cyprus was developed following an extensive needs assessment exercise and follows the agreed methodology outlined in the EASO Needs Assessment User Guide. Through meetings and workshops, EASO Cyprus used the Comprehensive Needs Assessment to identify, map and prioritise needs that had emerged from three complementary approaches: i) the Normative approach; ii) the Logic approach; and, iii) the Demand-driven approach. The methodology was equally applied for the development of the 2020 Operating Plan for Cyprus. In 2019, a structured monitoring framework together with a set of tools was developed to monitor the progress of the implementation and allow for corrective actions, when necessary. This framework is

Indicator	Target for 2019	Actual by 31.12.2019	Status	Additional information / explanation
				based on the collection and analysis of operational results and processes. In Q1/2019, an external independent evaluation of the OP 2018 for Cyprus was undertaken. The external evaluation of the OP 2019 will be carried out in Q1/ 2020.
26. % of support measures implemented as planned, according to the logical framework of the operating plans, incl. amendments, if applicable.	100%	75%	Nearly achieved (-25%)	75% of support measures were implemented as planned, according to the logical framework of the operating plans. In 2019, a monitoring plan for Cyprus operations was developed by EASO, allowing management to adapt interventions to changing circumstances through prioritisation and building of scenarios in real time. The monitoring plan implemented foresaw two complementary approaches and sets of indicators: - Results-based, ensuring accountability to the targeted outputs - Process-based, ensuring the integrity of the implementation processes Measures CY 2.0 'Cyprus enhances the implementation of reception conditions' and CY 4.0 'Cyprus databases for backlog management systems are improved (efficient data management)' were not fully implemented as foreseen, mainly due to delays in the tender procedure (carried out by the Cypriot authorities) for preparing the groundwork for a safe zone in the first reception centre in Pournara. Measure CY 4.0 data/database and coordination related needs of the Asylum Service have constantly evolved throughout 2019, EASO activities had to be adjusted compared with the initial plan.
27. Qualitative indicators per measure met by the actions implemented in the framework of the operating plan.	90%	N/A	N/A	No qualitative indicators had been set for measures in the Operating Plan.
Objective 2 (6)				**Taking into account the specific needs in 2019, contribute to enhance the capacity of the Cypriot authorities to process applications for international protection including registration and backlog management and to strengthen the national reception system, based on a full-cycle project management methodology.**

Indicator	Target for 2019	Actual by 31.12.2019	Status	Additional information /explanation
28. Operating Plan signed based on prioritised needs assessment with defined logic model for intervention.	100%	100%	Achieved (100%)	At the end of 2018, the Comprehensive Needs Assessment (CAN) undertaken by EASO Cyprus was followed by a Prioritised Needs Assessment according to which the selection of priorities was consolidated. The priority needs were identified under the three approaches used in the CNA: i) the policy environment, ii) the logic modelling of needs, and iii) the stakeholders' needs mapping. Based on this comprehensive exercise, a new OP for Cyprus was developed using the agreed project management methodology, and signed in December 2018. The same methodology was applied for the development and signature of the OP 2020 for Cyprus.
29. Percentage of support measures implemented as planned, according to the logical framework of the operating plan, including amendments, if applicable.	90%	75%	Nearly achieved (-17%)	75% of support measures were implemented as planned, according to the logical framework of the operating plans. In 2019, a monitoring plan for Cyprus operations was developed by EASO, allowing management to adapt interventions to changing circumstances through prioritisation and building of scenarios in real time. The monitoring plan implemented foresaw two complementary approaches and sets of indicators: - Results-based, ensuring accountability to the targeted outputs - Process-based, ensuring the integrity of the implementation processes Measures CY 2.0 'Cyprus enhances the implementation of reception conditions' and CY 4.0 'Cyprus databases for backlog management systems are improved (efficient data management)' were not fully implemented as foreseen, mainly due to delays in the tender procedure (carried out by the Cypriot authorities) for preparing the groundwork for a safe zone in the first reception centre in Pournara. Measure CY 4.0 data/database and coordination related needs of the Asylum Service have constantly evolved throughout 2019, EASO activities had to be adjusted compared with the initial plan.

Indicator	Target for 2019	Actual by 31.12.2019	Status	Additional information /explanation
30. Degree of adoption and implementation of the outputs of the support measures.	90%	69%	Nearly achieved (-23%)	69% of the outputs of the support measures were adopted and implemented (9 out of 13 outputs were implemented). Measures CY 2.0 'Cyprus enhances the implementation of reception conditions' and CY 4.0 'Cyprus databases for backlog management systems are improved (efficient data management)' were not fully implemented as foreseen, mainly due to delays in the tender procedure (carried out by the Cypriot authorities) for preparing the groundwork for a safe zone in the first reception centre in Pournara. Measure CY 4.0 data/database and coordination related needs of the Asylum Service have constantly evolved throughout 2019, EASO activities had to be adjusted compared with the initial plan.
31. Percentage of registrations processed with the support of EASO.	New measure – to be agreed (was: 50%)	70%	Exceeded (+40%)	70% of registrations were processed with the support of EASO. At first the workload was foreseen being 50/50 (with EASO staff in each immigration office, roughly corresponding to that of the immigration police), however, EASO staff did on average perform more registrations, largely due to police officers being assigned to other/additional tasks.
32. % of backlog asylum interviews processed with the support of EASO.	50%	No data	No data	No data is available on the % of backlog asylum interviews processed with the support of EASO (746 interviews were conducted by EASO).
33. Qualitative indicators per measure met by the actions implemented in the framework of the operating plan.	90%	N/A	N/A	No qualitative indicators had been set for measures in the Operating Plan.

I.1.4 Malta

8 out of 12 targets were **achieved** or **exceeded** (67%)
1 out of 12 targets was **not achieved** (8%)
1 out of 12 targets has **no data provided** (8%)
2 out of 12 targets were **not applicable** (17%)

Core business indicators	Forecast 2019	Actual by 31.12.2019	Status	Additional information /explanation
34. Number of monthly inter-agency coordination meetings attended.	1	7	Exceeded (+600%)	7 monthly inter-agency coordination meetings were attended (regular coordination meetings with the Office of the Refugee Commissioner and with the Agency for the Welfare of Asylum Seekers).
35. Number of thematic meetings organised.	2	7	Exceeded (+250%)	7 thematic meetings were organised (on measure MT1 'Swift access to asylum procedure in Malta, including information provision, registration and lodging of the application' and measure MT2 'Malta has increased capacity to manage and reduce asylum backlog' to agree and develop workflows and templates).
36. Percentage utilisation and consumption of resources versus the operating plan.	90%	63% (€1M/ €1.6M)	Not achieved (-30%)	63% of resources versus the OP were consumed (R0 budget in WP2019: €1,601,340; R0 committed: €1,016,008).
Objective 1 (7)		**Contribute to enhanced capacity of the Maltese authorities to implement the CEAS, with particular focus on support for registration, the examination of applications for international protection and support the Dublin Unit**		
Indicator	Target for 2019	Actual by 31.12.2019	Status	Additional information /explanation
37. Operating plan takes into account the needs on the ground and foresees adequate operational and technical support.	Forecast of resources and activities is adequate to meet the needs.	Forecast of resources and activities is adequate to meet the needs	Achieved (100%)	The OP 2020 for Malta was developed following the agreed methodology outlined in the EASO Needs Assessment User Guide. Through meetings and workshops, EASO used the Comprehensive Needs Assessment to identify, map and prioritise needs that had emerged from three complementary approaches: i) the Normative approach; ii) the Logic approach; and, iii) the Demand-driven approach. This resulted in the signature of the OP 2020 for Malta.

Indicator	Target for 2019	Actual by 31.12.2019	Status	Additional information /explanation
38. % of support measures implemented as planned, according to the logical framework of the operating plans, incl. amendments, if applicable.	100%	100% Support measures implemented as planned	Achieved (100%)	100% of support measures were implemented as planned, according to the logical framework of the OP.
39. Qualitative indicators per measure met by the actions implemented in the framework of the operating plan.	90%	N/A	N/A	No qualitative indicators had been set for measures in the Operating Plan.

Objective 2 (8)	Taking into account the specific needs in 2019, contribute to enhance the capacity of the Maltese authorities to process applications for international protection including registration and backlog management and to strengthen the Dublin Unit, based on a full-cycle project management methodology.			
Indicator	**Target for 2019**	**Actual by 31.12.2019**	**Status**	**Additional information /explanation**
40. Operating Plan signed based on prioritised needs assessment with defined logic model for intervention.	100%	100%	Achieved (100%)	At the end of 2019, EASO carried out a Comprehensive Needs Assessment (CNA), followed by a Prioritised Needs Assessment according to which there was a consolidation of a selection of identified priorities. The priority needs were selected in accordance with the three approaches used in the CNA: i) the policy environment, ii) the logic modelling of needs, and iii) the stakeholders' needs mapping. Based on this comprehensive exercise, the new OP 2020 for Malta was developed using the agreed project management methodology. The OP was signed in December 2019.
41. % of support measures implemented as planned, according to the logical framework of the operating plan, incl. amendments, if applicable.	90%	100%	Exceeded (+11%)	100% of support measures were implemented as planned, according to the logical framework of the operating plan (3 out of 3 measures).

Indicator	Target for 2019	Actual by 31.12.2019	Status	Additional information /explanation
42. Degree of adoption and implementation of the outputs of the support measures.	90%	90%	Achieved (100%)	100% of the outputs of the support measures were adopted and implemented (the outstanding procedures and tools will be adopted in 2020).
43. % of registrations processed with the support of EASO.	Full registration backlog as at 24/6/19 processed by end year	100%	Achieved (100%)	Full registration backlog as at 24.06.2019 was processed by the end of 2019 (87% of registrations were processed with the support of EASO, 100% of all files assigned to EASO).
44. % of backlog asylum interviews processed with the support of EASO.	25% of backlog as at June 24 2019 processed	No data	No data	No data on % of backlog asylum interviews processed with the support of EASO (161 interviews were conducted by EASO).
45. Qualitative indicators per measure met by the actions implemented in the framework of the operating plan.	90%	N/A	N/A	No qualitative indicators had been set for measures in the Operating Plan.

I.1.5   Other Operational Activities

2 out of 3 targets were **achieved** or **exceeded** (67%)
1 out of 3 targets was **not achieved** (33%)

Core business indicators	Forecast 2019	Actual by 31.12.2019	Status	Additional information / explanation
46. Operational procedures in place to provide support when a rapid response is required.	1 procedure in place	1	Achieved (100%)	1 operational procedure was put in place to provide support when a rapid response is required (a concept paper was developed on contingency planning and internal/external rosters).
Objective 1 (9)	**Enhance EASO capacity to respond effectively to different operational scenarios across Member States whose asylum and reception systems are facing disproportionate pressure.**			
Indicator	Target for 2019	Actual by 31.12.2019	Status	Additional information /explanation

Indicator	Target for 2019	Actual by 31.12.2019	Status	Additional information /explanation
47. Number of timely operational responses put in place.	1	26	Exceeded (+2,500%)	26 timely operational responses were put in place (all events responded to as per agreed workflows under Messina model: 19 events in Italy, 7 events in Malta).
48. Number of modules of the operational toolkit developed.	3	1	Not achieved (-67%)	1 module of the operational toolkit was developed (a concept paper was developed; the operational toolkit is being developed incrementally). The activity was partially de-prioritised due to the (new) OP for Malta, which took effect on the second half of 2019, and the leading staff member being re-assigned to establish Malta operations).

I.2   EXTERNAL DIMENSION

I.2.1   External Action Strategy and External Dimension Network

5 out of 5 targets were **achieved** or **exceeded** (100%)

Objective 1 (10)	Update the External Action Strategy with reference to its current and future regulation.			
Indicator	**Target for 2019**	**Actual by 31.12.2019**	**Status**	**Additional information /explanation**
49. Number of meetings to complete revisions including consultative meetings with stakeholders.	4	5	Exceeded (+25%)	5 meetings were held to complete revisions including consultative meetings with stakeholders (a new External Cooperation Strategy was adopted by the MB in February 2019).
50. Number of meetings to embed PM Methodology.	8	8	Achieved (100%)	8 meetings were held to embed the PM Methodology: - 3 on the Resettlement Support Facility (RST) - 5 on Third Country support
Objective 2 (11)	Manage and further develop practical cooperation and information sharing among EU+ countries on activities pertaining to the Agency's external dimension mandate.			
Indicator	**Target for 2019**	**Actual by 31.12.2019**	**Status**	**Additional information /explanation**
51. Number of external dimension meetings implemented.	1	6	Exceeded (+500%)	6 external dimension meetings were implemented: - 2 External Dimension Network meetings - 2 meetings of working group on the cooperation with Turkey (DGMM)

	Forecast	Actual	Status	Additional information / explanation
				- 1 meeting of the Working Group on the cooperation with Western Balkans - 1 meeting of the Working Group on the development of the Management Knowledge tools
52. Level of satisfaction of the partner countries involved.	80%	84%	Exceeded (+4%)	Level of satisfaction of the partner countries involved: 84% - Working Group on the EASO-DGMM Roadmap 85% - Working Group on Knowledge Management 77% - Working group on cooperation with Western Balkans 90% - External Dimension Network meeting 84%
53. Number of issued External Dimension Activity Planning Calendars, and other information sharing tools, as appropriate.	6	6	Achieved (100%)	6 calendars of External Dimension Activity Planning were issued and 3 other information sharing tools were provided: - 3 network calendars (March, June, and September 2019) - 3 updates and information provision (info notes: IPA II project (2016-2019) Phase I; IPA II project (2019-2021) Phase II, the RSF Pilot Project in Turkey)

I.2.2   Third country support

10 out of 14 targets were **achieved** or **exceeded** (71%)
4 out of 14 targets were **not applicable** (29%)

Core business indicators	Forecast 2019	Actual by 31.12.2019	Status	Additional information / explanation
54. Number of technical cooperation meetings with national authorities from third countries.	20	54	Exceeded (+34%)	54 technical cooperation meetings with national authorities from third countries were held: - Western Balkans 21 - Turkey 29 - Egypt 4
55. Number of assessment completed in respect of requests for capacity building and/or operational support.	2	3	Exceeded (+50%)	3 assessments were completed in respect of requests for capacity building and/or operational support: - Egypt: 1 needs assessment - Western Balkans: 1 assessment - MARRI: 1 assessment (trainings at regional level; 6 country meetings and 1 regional assessment)

Indicator	Target for 2019	Actual by 31.12.2019	Status	Additional information / explanation
56. Number of country fact sheets developed and available for EASO staff and EU+ experts on EASO/IDS platform.	3	3	Achieved (100%)	3 country fact sheets were developed and available for EASO staff and EU+ experts on EASO/IDS platform: - 2 country fact-sheets (Egypt, Turkey) available for EASO staff, to be tested with EU+ experts in Turkey - An operational platform developed, to be tested with EU+ experts in Serbia
57. Number of third countries for which the information sharing tool has been officially launched.	1	N/A	N/A	No information-sharing tool has been officially launched for third countries, as the activity was de-prioritised due to lack of staff.
58. Level of satisfaction of the External Dimension Network on the information and coordination tools.	80%	N/A	N/A	No satisfaction of the External Dimension Network on the information and coordination tools was measured, as the activity (indicator no. 57) was de-prioritised due to lack of staff.
Objective 1 (12)		**Improve coordination and provision of clearer frameworks for cooperation with third countries, and enhance information sharing and coordination between Member States, as well as with other relevant stakeholders.**		
Indicator	**Target for 2019**	**Actual by 31.12.2019**	**Status**	**Additional information / explanation**
59. Number of working arrangements signed, with at least one including a roadmap document (i.e. action plan).	3, of which 1 includes a roadmap document	N/A	N/A	No working arrangements were signed, nor with at least one including a roadmap document, as the activity was de-prioritised due to pending MB and EC endorsement.
60. Level of satisfaction of national authorities with which a working arrangement has been signed.	80%	N/A	N/A	No satisfaction of national authorities with which a working arrangement has been signed was measured, as the activity (indicator no. 59) was de-prioritised due to pending MB and EC endorsement.
61. Number of EASO practical cooperation workshops and meetings with EU+ countries and third countries.	3	4	Exceeded (+33%)	4 EASO practical cooperation workshops and meetings were held with EU+ and third countries: - Workshop in Turkey on Palestine and statelessness (seven EU+ countries), 18-19 June 2019 - Conference on Asylum in Turkey (three EU+ countries), 26-27 June 2019

				- Participation of Serbia and Turkey/DGMM in the Joint EASO/ACCORD Conference on COI Methodology, 29-31 October 2019 - EASO Network on reception authorities (several EU+ countries), 12-13 June 2019 and 3-4 December 2019
Objective 2 (13)		**Provide capacity building and, where appropriate, support to enhance third countries' capacities to manage fluctuating migration movements and to develop and adopt improved asylum and reception systems.**		

Indicator	Target for 2019	Actual by 31.12.2019	Status	Additional information /explanation
62. Number of roadmaps, plans and projects integrated into the Operations Unit Project Management Methodology.	4	7	Exceeded (+75%)	7 roadmaps, plans and projects were integrated into the Operations Unit Project Management Methodology: - 1 EASO-DGMM Cooperation Roadmap (24 months, September 2019 - August 2021) - 4 Roadmaps being updated or developed in the Western Balkans (RS, MK, AL, BA) - 1 small-scale capacity building project for Egypt - 1 Concept Note related to the RDPP NA (regional North Africa)
63. Feasibility Studies into direct operational support completed and conclusions actioned or implemented.	2	6	Exceeded (+200%)	6 Feasibility Studies into direct operational support were completed and conclusions actioned or implemented: - 1 assessment completed on Bosnia and Herzegovina in view of potential operational short-term support - 1 assessment completed on North Macedonia - 4 desk reviews completed on AL, BA, MK, RS
64. Number of new roadmaps or plans developed or under development.	Up to 4 for Western Balkan countries; Up to 2 for Middle East and North Africa (MENA) region	6	Achieved (100%)	6 new roadmaps/plans were developed or under development: - 4 Roadmaps updated/ developed for the Western Balkans (RS, MK, AL and BA) - 1 Concept Note on the RDPP NA (regional North Africa) - 1 EASO-DGMM Cooperation Roadmap (24 months, September 2019 - August 2021)

Indicator	Target for 2019	Actual by 31.12.2019	Status	Additional information /explanation
65. Number of capacity building activities and other support measures implemented.	45 within the framework of roadmaps; 20 as part of the roadmap for Turkey; 12 in MENA region; 5 in other priority countries	67	Exceeded (+3%)	67 capacity building activities and other support measures were implemented (out of 65 planned): - within the framework of roadmaps: 39 (out of 45 planned) - as part of the roadmap for Turkey: 28 (out of 20 planned) - MENA region: de-prioritised due to lack of staff - other priority countries: de-prioritised due to lack of staff
66. Level of satisfaction of the partner countries involved.	80%	89%	Exceeded (+11%)	- WB overall satisfaction for the implemented activities: 94% - Turkey overall satisfaction for the implemented activities: 88% - Egypt overall satisfaction for the implemented activities: 86%
67. Number of third countries that have taken clear steps to establish or adjust their national asylum systems and practices.	At least 4 in Western Balkan countries; At least 1 in MENA region	5	Achieved (100%)	5 third countries have taken clear steps to establish/adjust their national asylum systems and practices: - 4 in Western Balkan countries (out of 4 estimated) - North Macedonia, Serbia, Turkey, Albania - 1 in MENA region (out of 1 estimated) - Egypt

I.2.3 Resettlement and other legal pathways to international protection

8 out of 14 targets were **achieved** or **exceeded** (57%)
1 out of 14 targets had **no data collected** (7%)
5 out of 14 targets were **not applicable** (36%)

Core business indicators	Forecast 2019	Actual by 31.12.2019	Status	Additional information / explanation
68. Number of Member States supported.	6	6	Achieved (100%)	6 Member States were supported as part of the Resettlement Support Facility (RSF).
69. Number of practical and data collection tools developed and adapted.	1	4	Exceeded (+300%)	4 practical and data collection tools were developed and adapted: - 1 RSF data collection tool developed (in collaboration with Information and Analysis Sector) - 3 practical tools finalised under EU-FRANK project

Core business indicators	Forecast 2019	Actual by 31.12.2019	Status	Additional information / explanation
70. Number of practical cooperation meetings on resettlement and legal pathways to protection organised with relevant stakeholders.	2	3	Exceeded (+50%)	3 practical cooperation meetings on resettlement and legal pathways to protection were organised with relevant stakeholders: - GRSI-MPI (Global Refugee Sponsorship Initiative) - EASO meeting on community sponsorship (February 2019) - RSF kick-off meeting (April 2019) - Consultative meeting on RST and Complementary Pathways (CP) network (September 2019)
71. Feasibility Studies into direct operational support completed and conclusions actioned or implemented.	1	N/A	N/A	No Feasibility Studies into direct operational support were completed and conclusions actioned or implemented, as the activity was de-prioritised due to lack of internal capacities (in agreement with DG HOME).

Objective 1 (14)	Support to the implementation of the Union Resettlement Framework including through piloting sharing of infrastructure between Member States and ensuring of quality services (project to implement the resettlement facility in Turkey is subject to approval by the Management Board).			
Indicator	**Target for 2019**	**Actual by 31.12.2019**	**Status**	**Additional information /explanation**
72. Number of activities aimed at assisting Member States in the implementation of their commitments under the Union Resettlement Framework.	2	2	Achieved (100%)	2 activities aimed at assisting Member States in the implementation of EU *ad hoc* schemes (the Union Resettlement Framework has not yet been adopted): - Details as per above for the RSF pilot project, now operational - Consultation process for the establishment of an EASO resettlement and complementary pathways network launched with DG HOME to support the implementation of EU schemes by Member States
73. Level of satisfaction of Member States involved in the above activities.	80%	90%	Exceeded (+13%)	Member State satisfaction with consultative meeting: 90%.
74. Number of activities aimed at enhancing technical cooperation among Member States under the Union Resettlement Framework.	2	4	Exceeded (+100%)	4 activities aimed at assisting Member States in the implementation of EU *ad hoc* schemes (the Union Resettlement Framework has not yet been adopted): - EU FRANK visit to the RSF (26-27/08/2019)

Indicator	Target for 2019	Actual by 31.12.2019	Status	Additional information /explanation
				- NL/BG mutual observation of respective missions at RSF (08/2019) - Visit of PT and BG representatives to observe NL mission at the RSF (October 2019) - DE officials based in Istanbul observed NL CO mission (November 2019)
75. Level of satisfaction of Member States involved in the above activities.	80%	No data	No data	Satisfaction of Member States involved in the above activities was not measured, however, positive feedback was received.
76. Number of activities aimed at facilitating the sharing of infrastructure and cooperation with third countries.	1	8	Exceeded (+700%)	8 activities aimed at facilitating the sharing of infrastructure and cooperation with third countries (Resettlement Support Facility activities).
77. Level of satisfaction of the Member States involved in the above activities.	80%	90%	Exceeded (+13%)	Satisfaction of Member States involved in the above activities: 90% (recorded based on mission feedback).
Objective 2 (15)	**Support the implementation of the Voluntary Humanitarian Admission Scheme (VHAS) with Turkey.**			
Indicator	Target for 2019	Actual by 31.12.2019	Status	Additional information /explanation
78. Number of activities aimed at supporting Member States' planning for the VHAS.	2	N/A	N/A	No activities aimed at supporting Member States' planning for the VHAS, as the scheme has not yet started.
79. Number of activities aimed at supporting Member States' assessment of cases.	1	N/A	N/A	No activities aimed at supporting Member States' assessment of cases, as the scheme has not yet started.
80. Number of activities aimed at supporting cooperation and coordination between Member States with regard to pre-departure and departure.	1	N/A	N/A	No activities aimed at supporting cooperation and coordination between Member States with regard to pre-departure and departure, as the scheme has not yet started.

81. Number of activities aimed at cooperating with UNHCR in matching cases with the participating countries.	1	N/A	N/A	No activities aimed at cooperating with UNHCR in matching cases with the participating countries, as the scheme has not yet started.

I.3 OPERATIONAL SUPPORT & TOOLS, MONITORING & EVALUATION OF OPERATIONS, OPERATIONAL TRAINING & QUALITY SUPPORT TO OPERATIONS

I.3.1 Operational Support and Operational Tools

17 out of 19 targets were **nearly achieved**, **achieved** or **exceeded** (90%)
1 out of 19 targets were **not achieved** (5%)
1 out of 19 targets was **not applicable** (5%)

Core business indicators	Forecast 2019	Actual by 31.12.2019	Status	Additional information / explanation
82. Planning-monitoring reports on operational and technical activities.	12	14	Exceeded (+17%)	14 planning-monitoring reports on operational and technical activities were drafted.
83. Number of practical cooperation meetings organised, including meetings with the NCP network in the EU+ countries.	2	3	Exceeded (+50%)	3 practical cooperation meetings were organised: - 2 NCP (AIP) meetings (March and October 2019) - 1 workshops on case management systems (June 2019)
84. Number of NCP network participants per meeting.	37	30	Nearly achieved (-19%)	30 participants took part of the NCP network meeting on average: - First NCP meeting in March 2019: 29 participants (external) - Second NCP meeting in October 2019: 31 participants (external)
85. Level of satisfaction of NCP network participants.	80%	90%	Exceeded (+13%)	Satisfaction with NCP network meetings: 90%.
86. Percentage of experts having access to operational platforms developed to support information sharing with deployed experts within the IDS.	100%	100%	Achieved (100%)	100% of experts had access to operational platforms developed to support information sharing with deployed experts within the IDS.
87. EAIPS deployed as end to end deployment management tool.	100%	80%	Nearly achieved	80% of the EAIPS was deployed as end-to-end deployment management tool (deployment overview and interims module were

Indicator	Target for 2019	Actual by 30.12.2019	Status	Additional information / explanation
			(-20%)	deployed for production, to be adopted by EASO Country Teams in February 2020).
88. Relevant Horizontal Tools developed and implemented.	2	2	Achieved (100%)	2 tools were developed and implemented (the entry-exit system was delivered to Cyprus and the case scheduling tool was developed).
89. Percentage of Member States providing updated information for maintenance of LAL.	50%	N/A	N/A	No Member States were providing updated information for maintenance of LAL in 2019 (the methodology for a pilot project for provision of access to remote interpretation sessions to all Member States, for a limited number of cases, was deployed on the NCP meeting held in October 2019).
Objective 1 (16)	**Operating plans are established through a consultative process based on a robust and reliable needs assessment, full-cycle project management, implementation and M & E methodologies in a timely manner.**			
Indicator	**Target for 2019**	**Actual by 30.12.2019**	**Status**	**Additional information / explanation**
90. Project management methodology developed and validated as Operations Unit framework for all plans.	3	4	Exceeded (+33%)	4 countries had the project management methodology developed and validated as Operations Unit framework for the Operating Plans (CY, EL, IT and MT).
91. Percentage of new or amended operating plans that make use of the new project management templates/ methodologies.	100%	100%	Achieved (100%)	100% of new/amended Operating Plans made use of the new project management templates/methodologies.
92. Percentage of new or amended operating plans that include the needs for specific support tools.	100%	100%	Achieved (100%)	100% of new/amended Operating Plans included needs for specific support tools (actions for a new support tool development).
93. Percentage of new or amended working instructions and roadmaps that make use of the new project management templates/ methodologies.	50%	100%	Exceeded (+100%)	100% of new/amended Working Instructions and Roadmaps made use of the new project management templates/methodologies.

Indicator	Target for 2019	Actual by 30.12.2019	Status	Additional information / explanation
94. Framework developed for the provision of operational contingency planning for Member States.	50%	50%	Achieved (100%)	A Framework was developed for the provision of operational contingency planning for Member States (a new concept note on internal and external rosters, with a view of developing and implementing ED and MB Decisions in 2020, together with a Project Board establishment in 2020).

Objective 2 (17)	Enhance the deployment of experts to asylum support teams, in close collaboration with the NCPs.

Indicator	Target for 2019	Actual by 31.12.2019	Status	Additional information / explanation
95. Deployment of experts to asylum support teams meets the needs on the ground.	100%	73%	Not achieved (-27%)	73% of deployment of experts to ASTs met the needs on the ground (MS deployment needs met): - Italy 58% - Greece 80% - Cyprus 70% - Malta 85%
96. Agreed EAIPS functionalities developed and tested.	All agreed new functionalities developed and tested	100%	Achieved (100%)	100% of agreed EAIPS functionalities were developed and tested.
97. Degree of satisfaction of EU+ countries with the EAIPS.	80%	90%	Exceeded (+13%)	Satisfaction of EU+ countries with the EAIPS: 90% (as provided during the NCP meeting).

Objective 3 (18)	Deliver required additional horizontal support tools to ensure that EASO provides optimal support to Member States

Indicator	Target for 2019	Actual by 30.12.2019	Status	Additional information / explanation
98. Studies completed into horizontal tool requirements.	4	4	Achieved (100%)	4 studies were completed into horizontal tool requirements: - Proof of concept for backlog management in Cyprus (not actioned) - Case management system business case - *Ad hoc* disembarkation business case

				- Operations toolbox business case
99. Horizontal Tools developed and tested.	2	2	Achieved (100%)	2 horizontal tools were developed and tested: - the entry-exit system to Cyprus - the case scheduling tool

Objective 4 (19)	Enhance the access of all Member States to interpretation services across the EU.			
Indicator	**Target for 2019**	**Actual by 30.12.2019**	**Status**	**Additional information / explanation**
100. Business requirements for technical solution or pilot project on remote interpretation	Completed and agreed	100%	Achieved (100%)	Business requirements for technical solution or pilot project on remote interpretation were completed. A methodology was developed and a budget secured for a pilot project on the provision of remote interpretation services to all Member States (for a limited number of cases). The pilot project was launched during the NCP meeting in October 2019 (however, no requests were received in 2019).

I.3.2 Planning, Monitoring and Evaluation of Operations

8 out of 9 targets were **nearly achieved** or **achieved** (89%)
1 out of 9 targets was **not achieved** (11%)

Core business indicators	Forecast 2019	Actual by 31.12.2019	Status	Additional information / explanation
101. Percentage of planned monthly monitoring reports completed.	100%	72%	Not achieved (-28%)	72% of planned monthly monitoring reports were completed, due to limited human resources availability and delays in the operationalisation of the monitoring function for certain interventions.
102. Percentage of operating plans not requiring an Executive Director decision to suspend or terminate, in part or in whole, deployment of asylum support teams.	<25%	25%	Achieved (100%)	25% of Operating Plans (1 out of 4) required an Executive Director decision to suspend or terminate, in part or in whole, deployment of asylum support teams (1 ED Decision to reduce the interim staff deployment in Italy due to issues in contractual arrangements).
103. Percentage of operating plans and working arrangements	100%	100%	Achieved (100%)	100% of Operating Plans and Working Arrangements expiring before the end of 2019 for which a mid-term review and/or final

Core business indicators	Forecast 2019	Actual by 31.12.2019	Status	Additional information / explanation
expiring before the end of 2019 for which a due mid-term review and/or final evaluation has been completed / will be completed.				evaluation was due, will be completed (4 countries scheduled for 2020).
104. Percentage of evaluations completed on time.	100%	100%	Achieved (100%)	100% of evaluations were completed on time (3 mid-term reviews and 4 evaluations).
105. Percentage of expired operating plans and working arrangements for which lessons learned are identified.	100%	100%	Achieved (100%)	100% of expired Operating Plans and Working Arrangements had lessons learned identified in 3 mid-term review and 4 evaluation reports (this is an integral part of evaluation exercise).
106. Percentage of operating plan and working arrangement evaluations with a satisfactory outcome, i.e. fully delivered and achieve the stated objectives.	100%	100%	Achieved (100%)	100% of Operating Plan and Working Arrangement evaluations had a satisfactory outcome, i.e. fully delivered and achieve the stated objectives (3 mid-term reviews and 4 evaluations were completed).
107. Comprehensive comparative analysis of 2018 operating plan evaluations completed.	On time	Delivered	Achieved (100%)	A comprehensive comparative analysis of 2018 Operating Plan evaluations was completed on time (presentation was held on 29 March 2019).
Objective 1 (20)	**Ensure a robust monitoring and evaluation system that contributes to the delivery and effectiveness of EASO's operations and activities in the Member States and in the external dimension.**			
Indicator	Target for 2019	Actual by 31.12.2019	Status	Additional information / explanation
108. Monitoring & evaluation chapters of Operational Manual developed, validated and implemented.	100%	75%	Nearly achieved (-25%)	Monitoring of Operations User Guide was developed and validated, implementation started. Evaluation User Guide development started, it was postponed to 2020 due to internal reorganisations.
109. Monitoring & Evaluation methodology reviewed.	Review completed	100%	Achieved (100%)	Monitoring and evaluation methodology review was completed.

I.3.3   Operational Training

10 out of 10 targets were **achieved** or **exceeded** (100%)

Core business indicators	Forecast 2019	Actual by 31.12.2019	Status	Additional information / explanation
110. Comprehensive need assessment methodology for operational training developed.	Yes	Yes	Achieved (100%)	A comprehensive methodology for a need assessment in operational training has been developed (3 out of 3 phases of the process for methodology development have been completed).
111. Number of training programmes/courses developed and/or reviewed.	3	7	Exceeded (+133%)	7 training programmes/courses were developed and/or reviewed: - 2 modules were finalised (Communication and Provision of Information to Asylum Seekers, Identification of Potential Dublin cases) - 1 training course development was finalised (Induction Session Greece) - 2 modules were under development (Registration of Applications for International Protection, Identification of Potential Exclusion Cases) - 2 training programmes/courses were reviewed (Operational Training for Team Leaders, Training on Registration)
112. Number of operational training sessions delivered.	80	157	Exceeded (+96%)	157 operational training sessions were delivered.
113. Number of trainers' deployments in training activities in operations, including EASO in-house trainers.	30	405	Exceeded (+1,250%)	405 deployments of trainers were conducted for training activities in operations, including EASO in-house trainers: - 246 EASO in-house trainer deployments - 159 external expert/trainer deployments
114. Number of participants trained.	1,000	2,316	Exceeded (+132%)	2,316 participations were registered.
115. Percentage participant satisfaction.	80%	84%	Exceeded (+5%)	Satisfaction of participants: 84%.
116. Number of on-the-job coaching sessions conducted.	20	28	Exceeded (+40%)	28 on-the-job coaching sessions were conducted.
117. Number of participants at the on-the-job coaching sessions.	150	235	Exceeded (+57%)	235 participants took part of on-the-job coaching sessions.

Core business indicators	Forecast 2019	Actual by 31.12.2019	Status	Additional information / explanation
118. Percentage of participants' satisfaction form on the job coaching session.	80%	90%	Exceeded (+13%)	Satisfaction of participants: 90%.
119. Number of representatives of national authorities receiving emergency and/or special support participating in EASO trainings.	180	471	Exceeded (+162%)	471 representatives of national authorities receiving emergency and/or special support participated in EASO trainings.

I.3.4 Quality Support to Operations

4 out of 4 targets were **exceeded** (100%)

Core business indicators	Forecast 2019	Actual by 31.12.2019	Status	Additional information / explanation
120. Number of new tools developed or existing tools refined.	4	10	Exceeded (+150%)	4 new tools were developed: - For Italy: Guidance on registration of asylum applications under the accelerated procedure for EASO caseworkers - For Italy: Note to support EASO caseworkers in the provision of information to applicants under the accelerated procedure - For Greece: 6 ad hoc guidance documents were produced in response to queries in support of the Greek operation - For Greece: EASO Quality Assurance Tool introduced for team leaders 6 existing tools were revised: - SOPs on EASO's support to the border procedure in Greece - SOPs for the procedure in Cyprus - Interview template for the procedure in Cyprus - Recommendation template for the procedure in Cyprus - Handbook on Good Practices in the Territorial Commissions in Italy - Handbook on Good Practices on registration in the Questure in Italy

Core business indicators	Forecast 2019	Actual by 31.12.2019	Status	Additional information / explanation
121. Number of reviewed acts.	120	140	Exceeded (+17%)	140 cases were reviewed: - For Greece: 125 for the border procedure, regular procedure and for thematic quality and quality assurance feedback - For Cyprus: 15 for the procedure In June 2019, an evaluation of the quality feedback system was carried out through a field survey; this led to improvements in the structure and the introduction of thematic quality reviews.
122. Number of quality reports produced.	12	13	Exceeded (+8%)	13 quality reports were produced: - 11 Quality Feedback reports for Greece: 3 reports for the regular procedure, 4 reports for the border procedure, 3 thematic reports, 1 quality assurance feedback report - 2 Quality Feedback reports for Cyprus
123. Number of support activities in relation to identification and adequate procedural guarantees for vulnerable applicants.	6	7	Exceeded (+17%)	7 support activities were delivered in relation to identification and adequate procedural guarantees for vulnerable applicants: - 1 thematic quality feedback report on cases related to vulnerability - 1 vulnerability guidance note for Samos pilot - 1 updated vulnerability guidance note for the border procedure - 1 meeting with team leaders and vulnerability experts in Greece (27 June 2019) - 1 field missions to explain the new SOPs for the Greek border procedure (July 2019) - 1 thematic meeting with the Italian National Commission (NAC) and UNHCR-Italy, to present the EASO Quality Assurance Tool (22 May 2019) - 1 thematic meeting with NAC and UNHCR on Internal Protection Alternative, to discuss the implementation of the provision in line with the CEAS

I.4 INFORMATION, ANALYSIS AND KNOWLEDGE DEVELOPMENT

I.4.1 Country of Origin Information (COI)

14 out of 18 targets were **nearly achieved**, **achieved** or **exceeded** (78%)
3 out of 18 targets were **not achieved** (17%)
1 out of 18 targets was **not applicable** (6%)

Core business indicators	Forecast 2019	Actual by 31.12.2019	Status	Additional information / explanation
124. Number of COI reports and other products produced/updated.	18	35	Exceeded (+94%)	In 2019, the following products were produced/updated: 12 COI reports published on website: AFG (2), IVC (1), ERI (1), IRQ (5), PAK (1), SYR (2); 1 report on Turkey, content of protection delivered to EASO Operations in Greece; 12 link lists on countries of origin were drafted and delivered to EASO operations (Afghanistan, Bangladesh, Burundi, Ethiopia, Nigeria, Iraq, DRC – Nord Kivu, South Sudan, Palestine-Gaza, Cameroon, Somalia, Yemen); 10 reports on third countries updated with input UNHCR (ALB, BiH, FYR, KOS, MON, MOR, SER, TUN, TUR, UKR).
125. Number of COI methodologies/guides developed or updated.	1	2	Exceeded (+100%)	1 COI report methodology (update, published June 2019). 1 COI writing and referencing guide (published June 2019).
126. Number of COI networks managed.	10	11	Exceeded (+10%)	'Managed' refers to at least 1 network event organised, management of communication, information exchange and COI queries in the networks (National Common Portal Administration / NCPA; StratNet; Afghanistan; Eritrea / Ethiopia; Iran; Iraq; Pakistan; Russia / Ukraine; Somalia; Syria; West Africa).
127. Number of COI-related workshops, meetings and conferences organised (including in the framework of operational support).	18	21	Exceeded (+17%)	Meetings organised in 2019 include: COI Portal (1), StratNet (2), ERI (1), ETH (1), IRN (1), SYR (1), AFG (1), IRQ (1), W-AFR (1), LIB (1), S/C-AM(1), PAK(1), RUS/UKR(1) For External Dimension in Turkey: Palestine (1) and Pakistan (1); workshop on IRQ/PAK in Serbia(1); meeting on COI with civil society (1); COI conference on methodology with ACCORD (1).

Core business indicators	Forecast 2019	Actual by 31.12.2019	Status	Additional information / explanation
				For COI production: Evaluation meeting IRQ in Paris (1); Kick-off meeting SYR in Stockholm (1) Level of participants per meeting ranged from 15 until 100.
128. Level of satisfaction of participants	80%	88%	Exceeded (+10%)	Average percentage for random selection of 12out of the 21 mentioned events including both StratNet events.
129. Number of queries processed (including in the framework of operational support).	<100	30	Achieved (100%)	The 2019 Italy Operating Plan did not foresee a COI Query Helpdesk function anymore; however, 5 COI queries were still registered and answered; 5 regular COI network queries were received in 2019; 20 queries were answered under Greece support. Performance is dependent on queries received, but 100% of queries were processed.
130. Number of COI Portal visits.	45,000	35,855	Nearly achieved (-20%)	Some planned ICT project aiming at boosting the Portals content and features; and at attracting more users, were repeatedly delayed.
Objective 1 (21)	**Implement the transfer of the relevant parts of MedCOI to EASO.**			
Indicator	**Target for 2019**	**Actual by 31.12.2019**	**Status**	**Additional information / explanation**
131. Number of MedCOI factsheets produced.	4	0	Not achieved (0%)	Contract was not awarded end of 2018, and launch of new tender (EASO/2019/746) with increased budget had to be postponed until MB approved amended Annex IX of the WP 2019, which happened in August. This procedure was closed in December 2019 without awarding a contract. Lessons learned were implemented and tender relaunched still in December 2020 (EASO/2019/768). The delays and lack of success with the tender procedures prevent EASO from delivering on this objective.
132. Number of queries processed.	600	503	Nearly achieved (-16%)	462 individual availability requests + 41 individual accessibility requests.
133. Number of validations of individual query responses.	40	10	Not achieved	In 2019 EASO was involved in 10 validations on availability requests (developed together with MedCOI4/ICMPD). The contract between

Indicator	Target for 2019	Actual by 31.12.2019	Status	Additional information / explanation
			(-75%)	MedCOI4 and ICMPD ended. The plan to publish a tender in EASO for these quality services was changed, due to the need to re-prioritise activities in the MedCOI project. The tender will be published in 2020. Therefore, EASO could not continue these validations.
134. Level of satisfaction with query responses.	High level of satisfaction	97%	Achieved (100%)	EASO was involved promoting the MedCOI satisfaction survey during the 2018 User event. Responses from users were collected and gathered on the 4th MedCOI Customer Satisfaction Survey (published in 2019) showing the level of satisfaction: "Overall, MedCOI users are very satisfied with all aspects of the MedCOI services on availability and accessibility, from clarity to relevance to level of English of the answer.". ."In the survey, the average scores on 14 points related to queries, were 63.5% "fully agree"; 33.9 rather agree; and 2.4% disagree for satisfaction, indicating a total average of 97.4% positive responses on satisfaction.
135. Number of plenary/network/ steering group MedCOI meetings held.	3	3	Achieved (100%)	2 Steering Group meetings (21-22 February 2019 and 9 September). 1 accessibility network meeting (June 2019).
136. Number of Member State representatives trained using online module.	30	30	Achieved (100%)	Pilot session (June- July 2019): 134 + Session in Sept. 2019: 6 - Next sessions in November and December: 11.
137. Number of MedCOI fact-finding missions held.	1	1	Achieved (100%)	Joint fact-finding mission to Ghana.
Objective 2 (22)	**Enhancing information gathering from original sources by way of fact-finding missions to expand the source base.**			
Indicator	Target for 2019	Actual by 31.12.2019	Status	Additional information / explanation
138. Number of fact-finding missions held.	3	1	Not achieved (-67%)	A fact finding mission was held for MedCOI (reported also under 140); For other COI production, we have not been able to start this as there was no MoU or Working Agreement with EEAS to support

Indicator	Target for 2019	Actual by 31.12.2019	Status	Additional information / explanation
				the travelling to third countries. As FFMs are not a primary objective, we decided to prioritise out core business activities.
139. Number of EASO COI products incorporating interview findings.	3	3	Achieved (100%)	Although we did not organise FFMs ourselves, EASO relies on a network of sources and conducts interviews for EASO COI products. EU+ states co-drafting with EASO conduct FFMs from which interview findings are also used in EASO products, in 2019: 1. EASO COI Report on Ivory Coast (SEM) 2. EASO COI Report on Eritrea (SEM) 3. EASO Report on Iraq, security situation (EASO and OFPRA
140. Number of local interlocutors met during missions.	30	36	Exceeded (+20%)	MedCOI FFM to Ghana was conducted (reported also under 14): In total, 25 hospitals and organisations were visited, and 36 interviews with local interlocutors were held
Objective 3 (23)	**Provide information relevant for safe country designation.**			
Indicator	Target for 2019	Actual by 31.12.2019	Status	Additional information / explanation
141. Timeliness of information provision on relevant third countries to the Commission.	100%	N/A	N/A	No requests received.

I.4.2 Country guidance for convergence

7 out of 7 targets were **achieved** or **exceeded** (100%)

Core business indicators	Forecast 2019	Actual by 31.12.2019	Status	Additional information / explanation
142. Number of countries on which common analysis and guidance notes are produced, updated or reviewed, and endorsed.	3	3	Achieved (100%)	Common analysis and guidance notes developed/updated and endorsed on 3 countries: - Country guidance developed on Nigeria and Iraq. Country guidance updated on Afghanistan.
143. Time needed to reach sufficient level of acceptance needed for the guidance to be endorsed.	8-12 months (average: 10)	5.8 months average for	Exceeded	On average it took 5.8 months to develop new country guidance: - Nigeria: 4.5 months (10/2018-02/2019) - Iraq: 7 months (12/2018-06/2019)

Core business indicators	Forecast 2019	Actual by 31.12.2019	Status	Additional information / explanation
		developments 2.5 months for update	(+42% for develop-ments) (+75% for update)	It took 2.5 months to update the country guidance on Afghanistan (04-06/2019).
144. Number of revisions or updating of methodology, as required.	1	1	Achieved (100%)	The Country Guidance Methodology was reviewed on the basis of the evaluation of the pilot and further input from Member States, the EU Commission and UNHCR. It was finalised and agreed by the Management Board in June 2019.
145. Number of networks and drafting teams set up.	3	3	Achieved (100%)	3 drafting teams were set up to support the Country Guidance Network in its activities on Nigeria, Iraq and Afghanistan.
146. Number of network meetings organised.	5	6	Exceeded (+20%)	6 network meetings were organised (1 strategic meeting, 5 country-specific meetings).
147. Number of drafting team meetings organised.	12	9	Achieved (100%)	9 drafting team meetings were held (9 meetings were sufficient to complete their work).
148. Level of satisfaction with the network meetings.	80%	90%	Exceeded (+13%)	Average satisfaction with network meetings: 90%.

I.4.3   EASO Data Hub

11 out of 16 targets were **achieved** or **exceeded** (69%)
3 out of 16 targets had **no data collected** (19%)
2 out of 16 targets were **not applicable** (13%)

Core business indicators	Forecast 2019	Actual by 31.12.2019	Status	Additional information / explanation
149. Number of indicators from EPS Network managed.	21	21	Achieved (100%)	21 indicators from EPS Network were managed (the number of indicators remained but the breakdowns was changed).
150. New indicators exchanged from agencies and international organisations.	5	5	Achieved (100%)	5 new indicators were exchanged from agencies and international organisations (the Frontex indicator covering these 5 areas were improved, the UNHCR is underway).

Core business indicators	Forecast 2019	Actual by 31.12.2019	Status	Additional information / explanation
151. New indicators exchanged from third countries.	8	N/A	N/A	Activity was postponed to 2020, due to a delay from DGMM side.
152. Products delivered to summarise and visualise the situational picture.	10	10	Achieved (100%)	10 products were delivered to summarise and visualise the situational picture.
153. Products delivered to illustrate key aspects of the CEAS.	30	32	Exceeded (+7%)	32 products were delivered to illustrate key aspects of the CEAS.
154. Products delivered to quantify efficacy of support provided by EASO operations.	20	23	Exceeded (+15%)	23 products were delivered to quantify efficacy of support provided by EASO operations. Operational analyses and factsheets serve as the benchmark of EASO operational support.
155. Number of EPS network meetings held.	2	1 (out of 1 planned)	Achieved (100%)	1 EPS network meetings was held. 1 forecasted meeting was cancelled due to the meeting calendar overhaul (the EPS meetings to follow MB meetings and the release of major EASO publications).

Objective 1 (24)	Expand and reinforce the EPS information exchange to cover all key aspects of the CEAS, including for the purpose of the monitoring exercise.			
Indicator	Target for 2019	Actual by 31.12.2019	Status	Additional information / explanation
156. Percentage of indicators covered developed or brought in line with the new *acquis*.	70%	No data	No data	Indicators were developed, however, not all Member States are sharing all data related to the new *acquis* with EASO yet.
157. Number of advisory group meetings held.	2	N/A	N/A	No advisory group meetings were held as there was no operational need (the need for such meetings will be discussed on the EPS Network meeting in March 2020).
158. Use of analytical products.	Qualitative and quantitative information included in reports	100%	Achieved (100%)	Qualitative and quantitative information was included in analytical products (a new portfolio was fully developed).
159. Percentage satisfaction with analytical products.	80%	No data	No data	No satisfaction with analytical products was measured, however, informal feedback from stakeholders was very positive.

Objective 2 (25)	Develop an effective data-driven situational picture of asylum-related migration to the EU, as well as the efficacy of EASO's operational activities.			
Indicator	**Target for 2019**	**Actual by 31.12.2019**	**Status**	**Additional information / explanation**
160. Number of products on situation of asylum flows to the EU.	10	45	Exceeded (+350%)	45 products on the situation of asylum flows to the EU were drafted: - 11 Annexes for Analytical Briefs - 18 Latest Asylum Trends presentations - 16 COI presentations
161. Number of operational areas providing data and information.	4	4	Achieved (100%)	4 operational areas were providing data and information (multiple dashboards created and updated, 8 operational analysis, 11 updates of operational factsheets, 134 weekly situation reports).
162. Frequency of reporting on EASO operations.	Bi-weekly (26)	Weekly (52)	Exceeded (+100%)	Frequency of reporting on EASO operations was weekly (instead of every two weeks as initially planned). Every week DARS processed indicators collected in EASO operations and updated a series of operational dashboards, which were widely accessed throughout the Agency. DARS also processed information on the number, type and duration of deployments; this information was also fed into dashboards that were used for produce 4 situation reports each week, which were shared with the European Commission and used in the ISAA report.
163. Use of analytical products.	Qualitative and quantitative information included in reports	100%	Achieved (100%)	Qualitative and quantitative information was included in reports (operational and strategic dashboards were widely used throughout the Agency, with frequent requests for new dashboards and access for new colleagues; strategic dashboards were also used by MS members of the EPS network).
164. Percentage satisfaction with analytical products.	80%	No data	No data	No satisfaction with analytical products was measured, however, informal feedback from stakeholders was very positive.

I.4.4   Research programme on early warning and root causes

2 out of 5 targets was **achieved** or **exceeded** (40%)

3 out of 5 targets were **not applicable** (60%)

Objective 1 (26)	To build an early warning and forecasting system based on big data/internet use in third countries, and to better understand the root causes of asylum related migration by surveying asylum seekers in EU reception centres, and produce Country Intelligence Reports by contracting out open-source research.			
Indicator	**Target for 2019**	**Actual by 31.12.2019**	**Status**	**Additional information / explanation**
165. Number of surveys conducted.	3,000	N/A	N/A	No surveys were conducted as the contract was signed only in December 2019 (fieldwork will commence in Q2/2020).
166. Number of electronic products based on surveys.	10	N/A	N/A	No electronic products based on surveys were drafted as the contract was signed only in December 2019 (fieldwork will commence in Q2/2020).
167. Number of datasets based on big data and internet use.	15	19	Exceeded (+27%)	19 datasets based on big data and internet use were updated on a weekly basis (around the time of production of early warning reports).
168. Electronic products based on big data monitoring.	10	6 (out of 6 planned)	Achieved (100%)	6 electronic products based on big data monitoring were drafted (out of 6 planned). The number of products was reduced from 10 to 6 for the second half of 2019, following a need to prioritise another project.
169. Number of Country Intelligence Reports produced.	2-3 per month	N/A	N/A	No country Intelligence Reports were produced due to cancellations and postponements in public procurement procedure (from May to December 2019; alternative scenarios were under consideration such as a joint procedure, to mitigate quality related risks).

I.4.5   Strategic analysis

6 out of 10 targets were **achieved** or **exceeded** (60%)
1 out of 10 targets was **not achieved** (10%)
1 out of 10 targets had **no data collected** (10%)
2 out of 10 targets were **not applicable** (20%)

Core business indicators	Forecast 2019	Actual by 31.12.2019	Status	Additional information / explanation
170. Number of new targeted products in portfolio.	5	17	Exceeded (+240%)	17 new targeted products were added into portfolio (more *ad hoc* reports).
171. Number of advisory group meetings held.	2	1	Achieved (100%)	1 advisory group meeting was held (out of 1 planned) with participants from 14 Member States, Eurostat, Frontex, UNHCR and

Core business indicators	Forecast 2019	Actual by 31.12.2019	Status	Additional information / explanation
		(out of 1 planned)		the European Commission. The number of meetings was reduced from 2 to 1 for the second half of 2019, as 1 meeting was sufficient to cover the needs.
172. Number of weekly overviews of the asylum situation produced.	50	52	Exceeded (+4%)	52 weekly overviews of the asylum situation were produced.
173. Number of monthly overviews of the asylum situation produced.	12	N/A	N/A	No monthly overviews of the asylum situation were produced, as these overviews were replaced by an improved product (the Analytical Brief).
174. Number of bi-monthly overviews of the asylum situation produced.	6	N/A	N/A	No bi-monthly overviews of the asylum situation were produced, as these overviews were replaced by an improved product (the Analytical Brief).
175. Number of Analytical Briefs produced for the JHA Council.	4	11	Exceeded (+175%)	11 Analytical Briefs were produced for the JHA Council.
176. User satisfaction with analytical products.	80%	No data	No data	No user satisfaction with analytical products was measured, but informal feedback was very positive.

Objective 1 (27)	Underpin the production of high-quality strategic analysis products for a wide range of external stakeholders.			
Indicator	Target for 2019	Actual by 31.12.2019	Status	Additional information / explanation
177. Number of product descriptions produced.	10	5 (out of 5 planned)	Achieved (100%)	5 product descriptions were produced (out of 5 planned). In 2019 several products were under intense development and improvement, resulting in postponement of formal product descriptions until finalisation of product concepts with internal and external stakeholders.
178. Number of analytical trainings provided for EASO staff and network members.	5	0	Not achieved (0%)	No analytical trainings were provided for EASO staff or network members, due to external providers covering part of EASO staff training needs and relatively low interest from the network.
179. Number of scenario workshops delivered for network members.	1	3	Exceeded (+200%)	3 scenario workshops were delivered to the network members.

I.4.6   Information and Documentation System (IDS)

4 out of 6 targets were **exceeded** (67%)
2 out of 6 targets were **not achieved** (33%)

Core business indicators	Forecast 2019	Actual by 31.12.2019	Status	Additional information / explanation
180. Percentage share of thematic pages in IDS maintained fully up to date.	100%	41%	Not achieved (-59%)	41% of thematic pages on the IDS were updated. Lower than forecasted result was due to two vacant posts in the sector from August 2019 onwards.
181. Percentage of thematic pages in IDS validated by EU+ countries.	100%	70%	Not achieved (-30%)	70% of thematic pages on the IDS were validated by EU+ countries. Lower than forecasted result was due to low engagement of some MS in content validation.
182. Volume of daily consultations of IDS pages and platforms.	100	376	Exceeded (+276%)	376 unique daily consultations on the IDS pages and platforms were made (calculated by Matomo web analytics).
183. Number of queries processed.	25	35	Exceeded (+40%)	35 queries were processed.
184. Number of analytical outputs finalised.	15	16	Exceeded (+7%)	16 analytical outputs were finalised.
185. Number of events where use of the platform is promoted.	10	31	Exceeded (+210%)	31 events promoted the platform use.

I.4.7   Annual Report on the Situation of Asylum in the EU

3 out of 4 targets were **achieved** or **exceeded** (75%)
1 out of 4 targets was **not applicable** (25%)

Core business indicators	Forecast 2019	Actual by 31.12.2019	Status	Additional information / explanation
186. Percentage of Member States, as well as UNHCR, providing input to the annual report according to the methodology and within agreed timeframes.	100%	100%	Achieved (100%)	100% of Member States, as well as UNHCR, provided input to the annual report according to the methodology and within agreed timeframes.
187. Number of civil society organisations providing input to	20	27	Exceeded (+35%)	27 civil society organisations provided input to the annual report according to the methodology and within agreed timeframes.

Core business indicators	Forecast 2019	Actual by 31.12.2019	Status	Additional information / explanation
the annual report according to the methodology and within agreed timeframes.				
188. Percentage of sources used in the annual report that are fully referenced and made publicly available, as needed (i.e. bibliography made available in report and civil society inputs made available on Consultative Forum website).	100%	100%	Achieved (100%)	100% of sources used in the annual report were fully referenced and made publicly available, as needed.
189. Level of satisfaction with use, quality and added value of annual report.	High level	N/A	N/A	No level of satisfaction with use, quality and added value of annual report was measured in 2019, as the survey was launched only in December 2019 (to enable better capturing of the whole year).

I.4.8 Further development of a central Asylum Information System

2 out of 5 targets were **achieved** or **exceeded** (40%)
3 out of 5 targets were **not achieved** (60%)

Core business indicators	Forecast 2019	Actual by 31.12.2019	Status	Additional information / explanation
190. Number of COI Portal country homepages with integrated data.	1	0	Not achieved (0%)	No COI Portal country homepages were integrated with data, due to project delays
191. Number of COI Portal collaborative spaces with link to a query system.	11	0	Not achieved (0%)	No COI Portal collaborative spaces were linked to a query system, due to project delays.
192. Number of networks and active users of collaborative spaces.	11 networks: up to 220 users	4 networks, 53 users	Not achieved (-70%: -64% networks,	4 networks had 53 active users of collaborative spaces. Lower than expected outcome was due to project delays

Core business indicators	Forecast 2019	Actual by 31.12.2019	Status	Additional information / explanation
			-76% users)	
193. Number of consultations per day by EASO users, including deployed experts and interims, and by registered users and public users.	200	376	Exceeded (+88%)	376 consultations per day by EASO users, including deployed experts and interims, and by registered users and public users were made (number of unique consultations per day calculated by Matomo web analytics).
194. Percentage of existing regular reporting (weekly, monthly, and bi-monthly) made available through interactive dashboards.	80%	80%	Achieved (100%)	80% of existing regular reporting (weekly, monthly, and bi-monthly) was made available through interactive dashboards.

I.5   TRAINING

I.5.1   EASO Training Curriculum

18 out of 19 targets were **achieved** or **exceeded** (95%)
1 out of 19 targets was **not achieved** (5%)

Core business indicators	Forecast 2019	Actual by 31.12.2019	Status	Additional information / explanation
195. Number of training material developed or reviewed/updated/ upgraded.	5	6	Exceeded (+20%)	6 training materials were developed or reviewed/updated/ upgraded: - 1 module development was finalised (MedCOI) - 2 modules were upgraded/finalised (COI, Management in Asylum Context) - 1 module was under development (Reception of Vulnerable Persons) - 2 modules were under upgrade (Evidence Assessment, Exclusion)
196. Percentage satisfaction with the pilot session of newly developments, updates or upgrades.	80%	84%	Exceeded (+5%)	Satisfaction with pilot sessions: 84% (on completed modules, i.e. Communication and Information Provision, COI, MedCOI, Management in Asylum Context and Identification of Potential Dublin Cases).

Core business indicators	Forecast 2019	Actual by 31.12.2019	Status	Additional information / explanation
197. Number of deployed content and didactic experts for module development and updates/ upgrades/review.	12 MS experts; 6 external experts	31 MS experts, 4 external experts	Exceeded (+63%: MS +158% external: -33%)	35 content and didactic experts were deployed for module development and updates/upgrades/review (31 from Member States, 4 external ones).
198. Number of meetings organised to support developments or reviews/updates/upgrades.	30	34	Exceeded (+13%)	34 meetings were organised to support developments or reviews/updates/ upgrades.
199. Number of training modules (reviews, updates, upgrades or new developments) consulted by the members of the Reference Group and/or JHA Agencies.	5	9	Exceeded (+80%)	9 training modules were consulted with members of the Reference Group and/or JHA Agencies: - COI (upgrade) - Management in the Asylum Context (upgrade) - Exclusion (upgrade) - Evidence Assessment (upgrade) - module on MedCOI (new) - Communication and Provision of Information to Asylum Seekers (new) - Identification of Potential Dublin Cases for development (new) - Registration of applications for international protection (new) - Identification of potential exclusion cases (new)
200. Number of deployed trainers and didactic trainers for train-the- trainer sessions (including regionally and nationally).	90	138	Exceeded (+53%)	138 trainers and didactic trainers for train-the- trainer sessions (including regionally and nationally) were deployed.
201. Number of annual train-the- trainers sessions organised by EASO (incl. regional and national).	35	39	Exceeded (+11%)	39 annual train-the-trainers sessions were organised (incl. regional and national), together with ongoing sessions for which online phases had started.
202. Number of persons trained in annual train-the-trainers sessions organised directly by	550	556	Exceeded (+11%)	556 persons were trained in annual train-the-trainers sessions organised directly by EASO (including regionally and nationally),

Core business indicators	Forecast 2019	Actual by 31.12.2019	Status	Additional information / explanation
EASO (including regionally and nationally).				together with ongoing sessions for which online phases had started: - 342 EASO Malta train-the-trainers sessions - 151 EASO Regional train-the-trainers sessions - 63 national train-the-trainers sessions
203. Average satisfaction rate of participants trained in annual and regional train-the-trainer sessions.	80%	81%	Exceeded (+1%)	Average satisfaction rate of participants trained in annual and regional train-the-trainer sessions: 81%.
204. Number of national training sessions organised in EU+ and third countries.	300	371	Exceeded (+24%)	371 national training sessions were organised in EU+ and third countries, together with ongoing sessions for which online phases had started.
205. Number of participants trained in national training sessions organised in EU+ and third countries.	5,000	5,330	Exceeded (+7%)	5,330 participants were trained in national training sessions organised in EU+ and third countries, together with ongoing sessions for which online phases had started.
206. Number of module language versions available on the learning platform.	150	153	Exceeded (+2%)	153 module language versions were available on the learning platform.
207. Production and dissemination of a Newsletter.	3	3	Achieved (100%)	3 newsletters were produced and disseminated.
208. Annual update of the Trainers and Experts Pools.	1	1	Achieved (100%)	1 annual update of the Trainers and Experts Pools was performed (in Q4/2019, based on the input from the NCPs).
209. Number of trainers and content experts participating in the annual Trainers Network meeting.	27	19	Not achieved (-30%)	19 trainers and content experts took part of the annual Trainers Network meeting.
210. Percentage satisfaction of the trainers and content experts participating in the annual Trainers Network meeting.	80%	98%	Exceeded (+23%)	Satisfaction of trainers and content experts taking part of the annual Trainers Network meeting: 98%.

Core business indicators	Forecast 2019	Actual by 31.12.2019	Status	Additional information / explanation
211. Percentage satisfaction of participants in the annual National Contact Point meeting.	80%	93%	Exceeded (+16%)	Satisfaction of participants taking part of the annual National Contact Point meeting: 93%.
212. Number of training sessions organised for EASO staff.	4	5	Exceeded (+25%)	5 training sessions were organised for EASO staff.
213. Number of EASO staff participations in staff training sessions.	55	81	Exceeded (+47%)	81 EASO staff members took part of staff training sessions.

I.5.2 Certification and accreditation

4 out of 4 targets were **achieved** or **exceeded** (100%)

Core business indicators	Forecast 2019	Actual by 31.12.2019	Status	Additional information / explanation
214. Number of meetings of the Certification and Accreditation Working Group.	6	10	Exceeded (+67%)	10 meetings of the Certification and Accreditation Working Group (CAWG)were held: - 2 with *ad hoc* Reception working group to the CAWG - 1 with ad hoc Communication Working Group to the CAWG - 1 with Trainers Advisory Group to the CAWG
215. Overall satisfaction of participants to the meeting.	80%	87%	Exceeded (+9%)	Satisfaction of meeting participants: 87%.
216. Development of a European Sectoral Qualification Framework for Asylum and Reception Officials (ESQF).	Validation of the ESQF by at least 60% of Member States	Validation of the ESQF by 66% of Member States	Exceeded (+10%)	66% of Member States had validated the ESQF. Occupational standards and respective learning outcomes for the Asylum and Reception officials were identified together with Member States (Certification and Accreditation Working Group).
217. Creation of a base-line for Quality Assurance in training and an action plan for the development of a Training Governance System (TGS).	Establishment of a base line for QA and an action plan for the	A base line for QA and an action plan for the development	Achieved (100%)	A baseline for Quality Assurance in training and an action plan for the development of a Training Governance System was created. Mapping of the EASO current system against the ESG 2015 addressed each of the 10 standards of the ESG.

Core business indicators	Forecast 2019	Actual by 31.12.2019	Status	Additional information / explanation
	development of a TGS	of a TGS established		

I.5.3   e-Learning and didactic support

7 out of 9 targets were **achieved** or **exceeded** (78%)
2 out of 9 targets were **not achieved** (22%)

Core business indicators	Forecast 2019	Actual by 31.12.2019	Status	Additional information / explanation
218. Number of modules built on the LMS.	38	20	Not achieved (-47%)	20 modules were built on the LMS. Lower than expected number of modules built was due to lower than expected requests from Member States (however, all requested modules were built).
219. Number of registrations supported.	6,000	6,994	Exceeded (+17%)	6,994 registrations were supported.
220. Number of train-the-trainer sessions administrated.	30	39	Exceeded (+30%)	39 train-the-trainer sessions were administered.
221. Number of national training sessions administered.	275	421	Exceeded (+53%)	421 national training sessions were administered.
222. Number of helpdesk requests handled and resolved.	1,750	2,337	Exceeded (+34%)	2,337 helpdesk requests were handled and resolved.
223. Publication of annual training report.	1	1	Achieved (100%)	1 annual training report was published on the EASO website
224. Evaluation meeting and report on the current use of the LMS.	Yes	Yes	Achieved (100%)	Evaluation meeting was held (May) and the report on the current use of the LMS was published.
225. Report of the business process on the future infrastructure supporting a training governance system.	Yes	Yes	Achieved (100%)	Report on the business process of the future infrastructure supporting a training governance system was delivered.
226. Number of development/update/ upgrade	50	18	Not achieved (-64%)	18 development/update/upgrade meetings, including participation of the didactic expert, were held. Lower than expected number of meetings was due to the participation of didactic experts from

Core business indicators	Forecast 2019	Actual by 31.12.2019	Status	Additional information / explanation
meetings including participation of the didactic expert.				Member States being low during 2019. This was partially compensated by the use of internal resources. However, the results were achieved as intended (training materials developed/reviewed/updated/ upgraded for the EASO Training Curriculum and Operational Trainings).

I.5.4   Other training support

4 out of 4 targets were **achieved** or **exceeded** (100%)

Core business indicators	Forecast 2019	Actual by 31.12.2019	Status	Additional information / explanation
227. Number of ad hoc training plans developed.	3	3	Achieved (100%)	3 *ad hoc* training plans were developed (2 for Spain – one for the asylum and one for the reception authorities, and 1 for Malta).
228. Number of ad hoc training sessions organised.	8	50	Exceeded (+525%)	50 *ad hoc* training sessions were organised.
229. Number of participants in ad hoc training sessions.	400	746	Exceeded (+87%)	746 participants took part of *ad hoc* training sessions.
230. Percentage satisfaction of participants in ad hoc training sessions.	80%	81%	Exceeded (+1%)	Satisfaction of participants in *ad hoc* training sessions: 81%.

I.6   ASYLUM SUPPORT

I.6.1   Asylum processes

9 out of 9 targets were **achieved** or **exceeded** (100%)

Core business indicators	Forecast 2019	Actual by 31.12.2019	Status	Additional information / explanation
231. Number of meetings of the EASO Asylum Processes Network organised.	1	1	Achieved (100%)	1 EASO Asylum Processes Network meeting was organised (13-14 November 2019 in Brussels). It focused on guarantees in special procedures and hosted 26 participants (representatives from 18 Member States, the European Commission, the UNHCR and CSOs).

Core business indicators	Forecast 2019	Actual by 31.12.2019	Status	Additional information / explanation
232. Level of satisfaction with the meeting of the EASO Asylum Processes Network.	80%	92%	Exceeded (+15%)	Satisfaction with the meeting of the EASO Asylum Processes Network: 92%.
233. Number of thematic meetings organised.	1	2	Exceeded (+100%)	2 thematic meetings were organised: - 'Withdrawal of international protection with geographical focus', held in Malta on 17-18 February 2019; - 'Backlog Management' held in Athens, Greece on 16-17 October 2019.
234. Level of satisfaction with the thematic meetings.	80%	94%	Exceeded (+18%)	Satisfaction with thematic meetings: 94%.
235. Number of thematic reports prepared and published.	1	2	Exceeded (+100%)	2 thematic reports were prepared and published (Quality Matrix reports: one on quality management, and one on withdrawal of international protection).
236. Number of operational standards, indicators, guidelines, best practices and practical tools in relation to asylum processes developed and published.	2	2	Achieved (100%)	2 products related to asylum processes were developed and published (+3 started): - EASO Practical guidance 'Operational Standards and Indicators for the Asylum Procedure' EASO app on EASO Practical Tools launched, grouping the core practical guides on Personal Interview, Evidence Assessment and Qualification for International Protection
237. Number of working group meetings organised in order to develop operational standards, indicators, guidelines, best practices and practical tools.	6	7	Exceeded (+17%)	7 working group meetings were organised: - 4 meetings of the Working Group for the development of EASO guidance on the use of Country of Origin Information by the case officers3 meetings of the Working Group for the development of an EASO Practical tool on Registration (lodging of applications for international protection)
238. Number of activities and products developed to promote operational standards, indicators, guidelines, best practices and	4	7	Exceeded (+75%)	7 activities and products were promoting operational standards, indicators, guidelines, best practices and practical tools in relation to asylum processes:

Core business indicators	Forecast 2019	Actual by 31.12.2019	Status	Additional information / explanation
practical tools in relation to asylum processes.				- Participation to Eurojust Genocide Network meeting on the EASO Exclusion Network and possibilities for increasing collaboration between both networks - Participation in External Dimension activity in Belgrade on Admissibility Procedures: concepts and work processes for STC (Safe Third Country), FCA (First Country of Asylum) and subsequent applications' new elements - Participation in External Dimension activity for the establishment of a national monitoring and evaluation system on the implementation of the asylum legislation - Co-facilitation of a workshop for Turkish authorities, focusing on the use of EASO Practical Tools, including on-the-job coaching through closed cases review - Leading a mission to North Macedonia authorities, to update the SOPs on registration and for the examination at first instance - Participation in an IGC Asylum and Refugees Working Group meeting on Internal Protection Alternative (IPA) - Participation in the GDISC Annual Conference on returns
239. Number of quality management related activities organised.	1	1	Achieved (100%)	1 quality management related activity was organised (presentation of the EASO Quality Assurance Tool to Italian asylum authorities and to the UNHCR).

I.6.2 Practical cooperation networks

EASO Network on Vulnerable Groups

7 out of 8 targets were **achieved** or **exceeded** (88%)
1 out of 8 targets was **not achieved** (13%)

Core business indicators	Forecast 2019	Actual by 31.12.2019	Status	Additional information / explanation

240. Number of NCP meetings of the EASO Network on Vulnerable Applicants organised.	1	1	Achieved (100%)	The EASO network on Vulnerable applicants have been transformed into the Vulnerability Expert Network (VEN), which has a different structure compared to previous meetings on children and victims of trafficking. The current composition aims at covering more groups with special needs, and includes both CSOs and MS authorities. The NCP meeting was replaced by the VEN Steering Group Meeting (30 October 2019, Malta).
241. Number of annual conferences on children in asylum processes organised.	1	1	Achieved (100%)	Annual conferences on children in asylum processes no longer exist, as these are embedded in the VEN; the VEN mandate covers also this area together with victims of trafficking (indicator no. 242). Indicators no. 241 and no. 242 were covered by organising the following meetings: - VEN Advisory Group Meeting (4 September 2019, Malta) - VEN Annual Conference (29 October 2019, Malta)
242. Number of annual conferences on trafficking in human beings organised.	1	1	Achieved (100%)	Annual conferences on trafficking in human beings no longer exist, as these are embedded in the VEN; the VEN mandate covers also this area together with on children (indicator no. 241). Indicator no. 241 and no. 242 were covered by organising the following meetings: - VEN Advisory Group Meeting (4 September 2019, Malta) - VEN Annual Conference (29 October 2019, Malta)
243. Number of thematic expert meetings organised.	1	2	Exceeded (+100%)	2 thematic expert meetings were organised: - 'Roundtable on Age Assessment' (20-21 February 2019, Spain) - 'Trafficking in Human Beings and International Protection: Identifying and Assessing the International Protection needs in cases of victims of Trafficking in Human Beings' (16-17 April 2019, Malta)
244. Level of satisfaction with the meetings.	80%	92%	Exceeded (+15%)	Satisfaction with meetings: 92%.
245. Number of operational standards, indicators, guidelines, best practices and practical tools in relation to vulnerable	2	3	Exceeded (+50%)	3 products related to vulnerable applicants were developed and published: - EASO Practical Guide on the Best Interest of the Child - EASO Report on Asylum Procedures for Children

applicants developed and published.				- EASO Animation on Age Assessment
246. Number of working group meetings organised in order to develop operational standards, indicators, guidelines, best practices and practical tools.	6	4	Not achieved (-33%)	4 working group meetings were organised: - 2 VCs with the project team (Publication Office and production house) for the animation on age assessment - 2 working group meetings on development of Vulnerability Assessment Tool 2 working group meetings for the development of the Vulnerability Assessment tool were postponed to 2020.
247. Number of activities and products developed to promote operational standards, indicators, guidelines, best practices and practical tools in relation to vulnerable applicants.	4	5	Exceeded (+25%)	Several activities related to 5 thematic or EASO products regarding vulnerable categories have been organised to promote the use of them and to raise awareness. This is a non-exhaustive list, containing the main activities: - Facilitation and refresher training of sessions on vulnerability, 11 – 13 February, Athens; 2-6 March, Rome; 11-12 March, 2019 Rome; 19-22 June, 2019, Athens, 16-19 September, 2019, Cyprus - Activities to promote the use of the IPSN tool in support to the operational trainings in Athens; pilot in Ankara, 1-5 April, 2019; in Cyprus on 4-5 February 20219,Chiclana, 22-23 March, 2019; 13-14 May, 2019, Seville, 11 June, 1019, Mellilla; 5-9 June, 2019, Trieste; 10-11 September, 2019, Ceuta - Vulnerability team contribution to a volume for the 30th anniversary of the Convention on the right of the Child published by the Italian authority for children and adolescents: "La CRC e l'Ufficio europeo di sostegno per l'asilo" - Thematic Meeting of the consultative Forum on gender-related persecution, 10-11 July, Brussels; Integrating Gender and GBV Considerations to National Guardianship Systems" organized by UNICEF, 26/27 September 2019, Palermo, Italy - CCCPA, Support to External Dimension activities: THB Module, 14 July, 2019, Cairo; 3 September, London, THB Module, 15 October, 2019, Budapest; THB Module, Europol, 17-19 October, 2019, Lisbon

EASO Network of Dublin Units

9 out of 10 targets were **achieved** or **exceeded** (90%)
1 out of 10 targets was **not achieved** (10%)

Core business indicators	Forecast 2019	Actual by 31.12.2019	Status	Additional information / explanation
248. Number of Steering Group meetings of the EASO Network of Dublin Units organised.	2	2	Achieved (100%)	2 Steering Group meetings of the EASO Network of Dublin Units were organised (13-14 March 2019 in Brussels, 14-15 October 2019 in Malta).
249. Level of satisfaction with the NCP meetings of the EASO Network of Dublin Units.	80%	94%	Exceeded (+18%)	Satisfaction with the NCP meetings of the EASO Network of Dublin Units: 94% - First Steering Group Meeting 92% - Second Steering group Meeting 96%
250. Number of thematic expert meetings organised.	2	2	Achieved (100%)	2 thematic expert meetings were organised: - Children Under Dublin Procedure (16-17 May 2019 in Malta) - DubliNet in collaboration with eu-LISA (26 September 2019 in Brussels)
251. Level of satisfaction with the thematic meetings.	80%	96%	Exceeded (+20%)	Satisfaction with thematic meetings: 96% - Meeting on Children under Dublin Procedure 98% - DubliNet meeting in collaboration with eu-LISA 93%.
252. Number of periodic newsletters shared with members of the Network of Dublin Units.	4	4	Achieved (100%)	4 periodic newsletters were shared with members of the Network of Dublin Units.
253. Exchange programme on thematic topic regarding the implementation of the Dublin regulation.	1	1	Achieved (100%)	1 exchange programme, including 2 visits, on thematic topic regarding the implementation of the Dublin regulation were organised: - Children under the Dublin Procedure (6-7 November 2019, the Netherlands) - Children under the Dublin Procedure (13-14 November 2019, Greece)
254. Number of participants during the exchange programme.	6	10	Exceeded (+67%)	10 participants took part of the exchange programmes: - 1st exchange visit: 5 participants (5 Member States: EL, ES, DK, NL, RO)

Core business indicators	Forecast 2019	Actual by 31.12.2019	Status	Additional information / explanation
				- 2nd exchange visit: 5 participants (5 Member States: EL, ES, DK, NL, RO)
255. Number of operational standards, indicators, guidelines, best practices and practical tools in relation to the Dublin Regulation developed and published.	1	4	Exceeded (+300%)	4 products related to the Dublin Regulation were developed and published: - 1 developed: EASO Guidance on Dublin Procedure: Operational Standards and Indicators - 3 finalised and published: - EASO Practical Guide on the Implementation of Dublin III Regulation: Personal Interview and Evidence Assessment - Recommendations of the EASO Network of Dublin Units on Dublin Transfers - EASO Practical Guide on Dublin Regulation – Interview and Evidence Assessment Publication
256. Number of working group meetings organised in order to develop operational standards, indicators, guidelines, best practices and practical tools.	3	5	Exceeded (+67%)	5 working group meetings were organised (Development of EASO Guidance on Dublin Procedure: Operational Standards and Indicators).
257. Number of activities and products developed to promote operational standards, indicators, guidelines, best practices and practical tools in relation to the Dublin Regulation.	4	2	Not achieved (-50%)	2 activities were promoting products related to the Dublin Regulation: - Visit to EASO Athens office (12 November 2019) - Visit to EASO Rome office (18-19 November 2019)

EASO Network of Reception Authorities

10 out of 13 targets were **nearly achieved**, **achieved** or **exceeded** (77%)
3 out of 13 targets were **not achieved** (23%)

Core business indicators	Forecast 2019	Actual by 31.12.2019	Status	Additional information / explanation
258. Number of NCP meetings of the EASO Network of Reception Authorities organised.	2	2	Achieved (100%)	2 NCP meetings of the EASO Network of Reception Authorities were organised (12-13 June 2019 in Malta, 3-4 December 2019 in the Netherlands).
259. Level of satisfaction with the NCP meetings of the EASO Network of Reception Authorities.	80%	94%	Exceeded (+18%)	Satisfaction with the NCP meetings: 94%. - 1st NCP Reception Meeting 93% - 2nd NCP Reception Meeting 94%
260. Number of thematic expert meetings organised.	2	2	Achieved (100%)	2 thematic expert meetings were organised: - Information Provision in Reception (21-22 May 2019, Spain) - Impact of Long Stays in Reception Centres (22-23 October 2019, Czech Republic)
261. Level of satisfaction with the thematic meetings.	80%	94%	Exceeded (+18%)	Satisfaction with thematic meetings: 94% - Information Provision in Reception 95% - Impact of Long Stays in Reception Centres 92
262. Number of periodic newsletters shared with members of the Network of reception authorities.	4	4	Achieved (100%)	4 periodic newsletters were shared with members of the Network of reception authorities.
263. Number of exchange programmes.	2	2	Achieved (100%)	2 exchange programmes were organised with 3 study visits: - Study visit to Slovakia (Arrival Centre Humenne, 2-3 April 2019) - Study visit to the Netherlands (Arrival Centre Ter Apel, 10-11 April 2019) - Visit to Norway (12-14 November 2019)
264. Number of participants at exchange programmes.	12	19	Exceeded (+58%)	19 participants took part of the exchange programmes.

Core business indicators	Forecast 2019	Actual by 31.12.2019	Status	Additional information / explanation
265. Number of operational standards, indicators, guidelines, best practices and practical tools in relation to reception developed and published.	2	0	Not achieved (0%)	The development of the quality tool on self-assessment of Reception conditions is delayed due to an important delay of finalisation of the business case. The development of information toolkit regarding reception is delayed due to a more holistic and integrated approach including all asylum components.
266. Number of working group meetings organised in order to develop operational standards, indicators, guidelines, best practices and practical tools.	6	2	Not achieved (-67%)	2 working group meetings were organised: - Business Analysis on the Development of Practical Tool for the Quality Management of Reception Conditions (19-21 March 2019, Malta) - Practical Tool for the Quality Management of Reception Conditions (18-19 June 2019, Greece) Meetings of the working group for the Development of a Quality Management Tool were not organised due to delays in receiving the business analysis and development of an IT solution.
267. No. of activities and products developed to promote operational standards, indicators, guidelines, best practices and practical tools in relation to reception.	4	6	Exceeded (+50%)	Several activities and products were promoting operational standards, indicators, guidelines, best practices and practical tools in relation to reception: - Delivery of training module on Reception in Madrid (April 2019) - Promotion of the Guidance on Reception Conditions, including for UAMs, and future self-assessment tool to Italian authorities (May 2019) and 4 events to promote the Guidance on Reception Conditions, including for UAMs, to Cypriot EASO staff (social workers) (February, March and July 2019) - Observation mission in Bosnia and Herzegovina on reception and vulnerability needs(October 2019) - 2 missions to Greece, on the tool developed by the reception team and to EASO Athens office (October 2019) - Contingency planning in Turkey (January, April 2019) and Guidance on contingency planning during EMN Conference in Cyprus (June 2019)

Core business indicators	Forecast 2019	Actual by 31.12.2019	Status	Additional information / explanation
				- Mission to Dublin to present reception best practices to Irish authorities (December 2019)

Objective 1 (28)	Enhance the exchange of information and best practices through the establishment of an exchange programme of reception officials in the EU+.			
Indicator	**Target for 2019**	**Actual by 31.12.2019**	**Status**	**Additional information / explanation**
268. Number of exchange activities.	4	3	Nearly achieved (+25%)	3 exchange activities were organised (2 in April, 1 in November 2019). The 4th visit was not organised due to no interest expressed for a host country.
269. Number of participants.	40	19	Not achieved (-53%)	19 participants took part of the exchange activities). Lower than expected number of participants was due to one exchange activity not been carried out due to no hosting interest received.
270. Level of satisfaction of the participants.	80%	98%	Exceeded (+23%)	Satisfaction of participants: 98% (3rd study visit).

EASO Exclusion Network

7 out of 7 targets were **achieved** or **exceeded** (100%)

Core business indicators	Forecast 2019	Actual by 30.12.2019	Status	Additional information / explanation
271. Number of NCP meetings of the EASO Exclusion Network organised.	1	1	Achieved (100%)	1 NCP meetings of the EASO Exclusion Network was organised (14-15 November 2019 in Malta, with a thematic focus on Syria).
272. Level of satisfaction with the NCP meetings of the EASO Exclusion Network.	80%	95%	Exceeded (+19%)	Satisfaction with the NCP meetings of the EASO Exclusion Network: 95%.
273. Number of thematic expert meetings organised.	1	1	Achieved (100%)	1 thematic expert meeting was organised ('Social Media and Exclusion', 27-28 March 2019 in Brussels).
274. Level of satisfaction with the thematic meetings.	80%	96%	Exceeded (+20%)	Satisfaction with thematic meeting: 96%.

Core business indicators	Forecast 2019	Actual by 30.12.2019	Status	Additional information / explanation
275. Number of periodic newsletters shared with members of the Exclusion Network.	4	4	Achieved (100%)	October-December 2018, January-March 2019, April-June 2019, July-September 2019
276. No. of operational standards, indicators, guidelines, best practices and practical tools in relation to exclusion developed and published.	1	1	Achieved (100%)	1 product related to exclusion was developed and published (the Exclusion Screening Tool for Afghanistan; the Exclusion Screening Tool for Iraq was developed to be published in 2020).
277. No. of activities and products developed to promote operational standards, indicators, guidelines, best practices and practical tools in relation to exclusion.	2	4	Exceeded (+100%)	4 activities and products were related to exclusion (queries): - Exclusion and social media - Exclusion and Syria - Chinese official participating in forced abortions - Member of hacking group selling data

I.6.3   Cooperation with members of courts and tribunals

6 out of 7 targets were **achieved** or **exceeded** (86%)
1 out of 7 targets were **not achieved** (14%)

Core business indicators	Forecast 2019	Actual by 31.12.2019	Status	Additional information / explanation
278. New sets of professional development materials consisting of a Judicial Analysis and/or a Judicial Trainer's Guidance Note developed and made available to relevant stakeholders on a topic to be agreed in consensus with the EASO network of court and tribunal members.	1	1	Achieved (100%)	1 new set of professional development materials was completed (a Judicial Analysis and a Judicial Trainer's Guidance Note 'Reception of Applicants for International Protection').

Core business indicators	Forecast 2019	Actual by 31.12.2019	Status	Additional information / explanation
279. Existing sets of professional development materials reviewed and, if necessary, updated.	3	1	Not achieved (-67%)	1 set of professional development material was updated ('Exclusion from International Protection'). Review of the chapters of 'Ending International Protection' and 'Qualification for International Protection' was postponed to 2020 due to delays in finalising the specific contracts.
280. Number of professional development workshops or conferences organised.	11	23	Exceeded (+109%)	23 professional development workshops/conferences were organised: - 13 on courts and tribunals (C&T) events - 2 on C&T and External Dimension events - 8 on C&T and Operations events
281. Number of participants in professional development meetings.	250	461	Exceeded (+84%)	461 participants were on professional development meetings: - 289 participants on C&T events - 25 participants on C&T and External Dimension events - 147 participants on C&T and Operations events.
282. Level of satisfaction of participants in professional development sessions.	80%	95%	Exceeded (+19%)	Satisfaction of participants in professional development sessions: 95% - C&T events 96% - C&T and External Dimension events 99% - C&T and Operations events 89%
283. Number of coordination and planning meetings of the Network organised.	1	1	Achieved (100%)	1 coordination and planning meetings of the Network was organised (Annual Coordination and Planning Meeting, 21-22 January 2019).
284. Number of biannual newsletters shared with the Network.	2	2	Achieved (100%)	2 biannual newsletters were shared with the Network (28 June 2019, 20 December 2019).

I.7   HORIZONTAL ACTIVITIES

I.7.1   Consultative Forum and Civil Society

8 out of 10 targets were **achieved** or **exceeded** (80%)
1 out of 10 targets was **not achieved** (10%)
1 out of 10 targets was **not applicable** (10%)

Core business indicators	Forecast 2019	Actual by 31.12.2019	Status	Additional information / explanation
285. Number of Consultative Forum meetings.	3	5	Exceeded (+67%)	5 Consultative Forum meetings were held: - Annual Plenary meeting 'Initial steps in the asylum procedure' in Brussels (November) - Thematic meeting 'Gender-related Persecution' in Brussels (July) - Workshop with academia and think-tanks 'Emerging trends in the area of asylum and related research interests' in Brussels (March) - Follow-up workshop with academia and think-tanks 'Current trends in the area of asylum and related analytical interests' in Brussels (October) - Workshop with CSOs 'Annual Report on the Situation of Asylum 2019 - contributions from civil society organisations' in Vienna (November)
286. Number of consultations of CSOs.	10	5	Not achieved (-50%)	5 consultations were held with CSOs: - Annual Report on the Situation of Asylum 2018 - EASO Work Programme 2020 - EASO Annual General Report 2018 - Judicial Analysis on legal standards for the reception of applicants for international protection - Survey on Consultative Forum' priorities 2019
287. Number of EASO activities in which CSOs participated.	170	170 (approx.)	Achieved (100%)	170 (approx.) EASO activities had CSOs participating. This includes participation in EASO operations (weekly and bi-weekly meetings at the hotspots and with communities, consultations in the context of needs assessment for Operations), COI meetings (including input and revision of COI reports), development of practical tools,

Core business indicators	Forecast 2019	Actual by 31.12.2019	Status	Additional information / explanation
				training modules, implementation of training sessions, activities in the context of the Vulnerability Expert Network and others.
288. Number of CSOs participating in EASO meetings and activities.	250	250	Achieved (100%)	250 (approx.) CSOs were participating in EASO meetings and activities: - 240 participants on the annual CF Plenary meeting - 35 CSOs on thematic meeting 'Gender-related Persecution' - Over 30 different CSOs in 3 different workshops on the EASO Annual Report - 120 CSOs contributed through electronic consultations
289. Number of activities of other JHA Agencies' Consultative Fora in which the Agency participated or contributed to.	4	8	Exceeded (+100%)	8 activities of other JHA Agencies' Consultative Fora in which the Agency participated/contributed to: - 18th Frontex CF meeting in Warsaw (February) - 19th Frontex CF meeting in Brussels (May) - 20th Frontex CF meeting in Warsaw (October) - Co-chairing of the Frontex CF Working Group on training - Steering Group on the Frontex training consultancy - Steering Committee on the external evaluation of the Frontex CF - Contributions to various Frontex CF recommendations (e.g., third country support and returns) - Joint nomination with FRA to the Frontex CF selection committee
290. Number of civil society networks in which the Agency participated.	6	8	Exceeded (+33%)	8 civil society networks were participated by the Agency: - European Migration Forum - Contact Group on Capacity-Building and Supporting Human Rights Defenders (co-organised by the FRA and ODIHR) - CEASEVAL (on the evaluation of the CEAS) project meetings and final conference - EESC Network of Practitioners on Civil Dialogue - EPC/CEPS roundtables on 20 years of the Tampere programme - Roundtables organised by ECRE on EASO operational support and future mandate

Core business indicators		Forecast 2019	Actual by 31.12.2019	Status	Additional information / explanation
					- Participation in various Odysseus events, annual conference and summer school - Various meetings at the Martens' centre
Objective 1 (29)	Reinforce cooperation between the EASO and civil society in line with the revised format of the Consultative Forum under the EASO				
Indicator		Target for 2019	Actual by 31.12.2019	Status	Additional information / explanation
291. Total number of Consultative Forum members registered in registry.		160	160 (approx.)	Achieved (100%)	160 (approx.) Consultative Forum members were registered in registry. However, the CF contact list includes over 600 CSO contacts and no distinction is made between those who have officially registered (invitations to meetings and consultations are widely distributed to the whole contact list).
292. Number of new contacts established with CSOs in the field of international protection.		15	30	Exceeded (+100%)	30 new contacts with CSOs in the field of international protection were established.
293. Number of new contacts that constitute refugee or diaspora-led organisations.		4	4	Achieved (100%)	4 new contacts constituting refugee or diaspora-led organisations were established.
294. Number of activities/consultations with regard to the Fundamental Rights Strategy and complaints mechanism.		2	N/A	N/A	No activities/consultations with regard to the Fundamental Rights Strategy and complaints mechanism were held, due to the fact the strategy and the complaints mechanism are requirements only under the new EUAA Regulation. Under the Roadmap, the consultations for both the fundamental rights strategy and the complaints mechanism are envisaged to take place in Q2-Q4/2021 (after the appointment of the FRO).

I.7.2 EASO communication and events

15 out of 16 targets were **nearly achieved**, **achieved** or **exceeded** (94%)
1 out of 16 targets were **not achieved** (6%)

Core business indicators	Forecast 2019	Actual by 31.12.2019	Status	Additional information / explanation
295. Number of information meetings and events held.	30	30	Achieved (100%)	30 information meetings and events were held.
296. Number of press conferences and meetings.	6	5	Nearly achieved (-17%)	5 press conferences and meetings were organised.
297. Number of press interviews.	35	92	Exceeded (+163%)	92 press interviews were given.
298. Number of press visits in Member States.	4	6	Exceeded (+50%)	6 press visits were organised to Member States (Belgium, Greece, Italy).
299. Number of press releases.	25	21	Nearly achieved (-16%)	21 press releases were issued based on operational and corporate events (published on the EASO website, in the EASO newsletter and on social media). Lower than estimated number of press releases was compensated by 43 communication products published altogether in 2019.
300. Percentage change in EASO website page views.	+30%	+28%	Nearly achieved (-7%)	EASO website page views increase: +28% (1,236,500 in 2019 vs 965,000 in 2018).
301. Percentage change in EASO website average monthly users.	+30%	+40%	Exceeded (+33%)	EASO website average monthly users change: +40% (25,100 in 2019 vs 17,900 in 2018).
302. Percentage change in social media followers (on Twitter, Facebook, LinkedIn, Instagram and YouTube).	+50%	+48%	Nearly achieved (-4%)	Change in social media followers (on Twitter, Facebook, LinkedIn, Instagram and YouTube): +48% (74,700 in 2019 vs 50,600 in 2018). New means will be explored to increase the following, given the importance of social media as a core communication tool.
303. Percentage change in monthly average social media reach.	+50%	+513%	Exceeded (+513%)	Change in monthly average social media reach: +513% (1,739,400 in 2019 vs 284,000 in 2018).
304. Number of translated dossiers.	200	800	Exceeded (+300%)	800 dossiers were translated.
305. Number of published dossiers.	150	72	Not achieved (-52%)	72 dossiers were published. Lower than expected result was due to EASO starting to produces/print most of its publications in-house, saving money, dramatically improving turn-around time, and reducing environmental impact.

Core business indicators	Forecast 2019	Actual by 31.12.2019	Status	Additional information / explanation
306. Number of EASO newsletters published.	11	4 (out of 4)	Achieved (100%)	4 quarterly EASO newsletters were published, which replaced the need to issue 11 monthly ones).
307. Number of weekly social media reports produced.	50	36 (out of 36)	Achieved (100%)	36 weekly social media reports produced (100% according to the plan), until the project was discontinued in September 2019.
308. Number of monthly social media reports produced.	12	9 (out of 9)	Achieved (100%)	9 monthly social media reports were produced (100% according to the plan), until the project was discontinued in September 2019.
309. Number of social media campaigns organised.	5	6	Exceeded (+20%)	6 social media campaigns were organised: - Annual Report on the Situation of Asylum in the EU+ - Consultative Forum - Annual Asylum Trends Report - Migration Media Awards - Europe Day - Management Board Meetings
310. Number of integrated communication campaigns organised.	3	3	Achieved (100%)	3 integrated communication campaigns were organised: - Campaign on EASO Data - Campaign for civil society, including Consultative Forum Plenary meeting - Recruitment campaign

I.7.3 Stakeholder relations

4 out of 6 targets were **exceeded** (67%)
2 out of 6 targets were **not achieved** (33%)

Core business indicators	Forecast 2019	Actual by 31.12.2019	Status	Additional information / explanation
311. Number of external meetings attended or organised.	200	119 (approx.)	Not achieved (-41%)	119 (approx.) external meetings were attended or organised (e.g., 2 hearings at LIBE and CONT committees, informal and formal JHA Council meetings, informal and formal SCIFA meetings, 1 COSI meeting, 4 GDISC conference/workshops, 4 IGC expert workshops/steering meetings, 1 ICMPD conference, 13 bilateral and VC meetings with JHA Agencies, 10 JHA Agencies' Network and

Core business indicators	Forecast 2019	Actual by 31.12.2019	Status	Additional information / explanation
				JHA Agencies' expert group meetings, 6 EU Agencies' Network and sub-group meetings, 7 EMN related meetings, Tampere conferences, roundtables and workshops, Prague process Policy workshops, think-tank conferences, BLED Forum, high-level IPCR meetings, the Presidency and EASO meetings).
312. Number of meetings with key stakeholders, including Member States and MEPs.	30	129 (approx.)	Exceeded (+330%)	129 (approx.) meetings with key stakeholders, including Member States and MEPs, were held: - 24 meetings in the EP (including meetings with MEPs, MEP assistants and secretariat) - 4 meetings with IOM (including Senior Management Consultations) - 5 meetings with UNHCR - 5 meetings with IGC (including workshops and working groups, a joint workshop and the SOM) - various meetings with key stakeholders during ED missions to IT and CY - bilateral meetings on the margins of the informal JHA Councils in Helsinki, Luxembourg and Brussels - bilateral meetings in Brussels with the Council General Secretariat, the EU Counter Terrorism Coordinator, meetings with JHA Counsellors, etc.
313. Number of VIP meetings organised.	15	23	Exceeded (+53%)	23 VIP meetings were organised (e.g., a the Minister and the Protocol Director of the Maltese Ministry of Foreign Affairs, the Head of European Commission Representation in Malta, the Spanish Secretary of State for Migration, the Maltese Commissioner for Refugees, the EU Commissioner for Migration & Home Affairs, the Finnish Minister of Interior, , the Maltese Minister of EU Affairs and Equality, the BAMF President and Vice-President, ministerial and Ambassadors' and other high-level visits to Greece).

Core business indicators	Forecast 2019	Actual by 31.12.2019	Status	Additional information / explanation
314. Number of VIP visits and other visits to EASO.	15	29	Exceeded (+93%)	29 VIP and other visits were received at EASO (e.g., ministerial and Ambassadors' visits, US diplomats, new DG HOME HoU for Communication, officials from the European Commission - different DGs, officials from the Council's General Secretariat, study visits by students (DE, MT, SE), DE trainee lawyers, DE law students, foreign police officers, ICMDP stagiaires).
315. Number of briefings with Expert Public.	3	8	Exceeded (+167%)	8 briefings were held to the expert public: - but I count 8? - 1 briefing to the officials from the Maltese Ministry of EU Affairs and Equality (March) - 1 presentation to informal SCIFA (July) - 2 presentations to the LIBE Committee (EASO Annual Report on the Situation of Asylum in the EU in September, and on the Greek islands' situation in November) - 2 presentations to the CONT Committee (September) and 1 presentation on the EASO 2018 budget discharge (December) - 1 high-level lunch briefing to the diplomatic corps in Malta (October)
316. Number of replies to requests for information.	1,600	924 (approx.)	Not achieved (-42%)	924 (approx.) replies to requests for information were sent: - 900 (approx.) enquiries were received via EASO INFO mailbox (on the EASO website) and replied to - 24 Public Access to Documents (PAD) requests under Regulation (EU) 1049/2001 were received and responded to

I.7.4 Information and communications technology

18 out of 21 targets were **nearly achieved**, **achieved** or **exceeded** (86%)
1 out of 21 targets was **not applicable** (5%)
2 out of 21 targets had **no data collected** (10%)

Objective 1 (30)	Support the agencies operational deployment system.				
Indicator		**Target for 2019**	**Actual by 31.12.2019**	**Status**	**Additional information / explanation**
317. Number of connected applications to EAIPS.		2	3	Exceeded (+50%)	3 applications were connected to the EAIPS (the Information and Documentation System, the Paperless, PowerBI reporting).
Objective 2 (31)	**Support the agencies information exchange and data collection systems.**				
Indicator		**Target for 2019**	**Actual by 31.12.2019**	**Status**	**Additional information / explanation**
318. Number of field indicators captured by the tool.		80% of all collected indicators	60%	Nearly achieved (-25%)	60% of field indicators were captured by the tool (the tool is yet to be officially launched).
319. Number of EASO field operations where the tool is used.		80% of all locations	100%	Exceeded (+25%)	100% of EASO field operations use the tool (the tool is yet to be officially launched).
Objective 3 (32)	**Support the monitoring of CEAS IT landscape and media, including social media.**				
Indicator		**Target for 2019**	**Actual by 31.12.2019**	**Status**	**Additional information / explanation**
320. Number of Member States' IT systems 'As Is' analysed.		4 Member States assessed	5 Member States assessed	Exceeded (+25%)	5 Member States' IT systems 'As Is' were analysed (analysis was performed under the remit of IGC and GDISC forums in individual interviews with officials present at the venues).
321. Number of media monitoring models used by EASO on Operational basis.		3 models	6	Exceeded (+100%)	6 media monitoring models were used on Operational basis.
322. Use of media monitoring models by our external partners (MS, other organisations).		2 other partners using our models/ data	No data	No data	The use of media monitoring models by external partners (Member States and other organisations) was not recorded, due to media monitoring and the usage of the models shifting from the CSU to the IDS (difficult to quantify the number of MS using the results of EASO models).

Objective 4 (33)	Provide and improve systems for Policy towards integrated EASO Asylum Information Systems.			
Indicator	**Target for 2019**	**Actual by 31.12.2019**	**Status**	**Additional information / explanation**
323. Tools uptime.	95%	98%	Exceeded (+3%)	Tools uptime: 98% (196 hours of real downtime out of 8,760 hours).
324. Increased usage across all tools.	10% increase in users across all monitored tools	47%	Exceeded (+370%)	47% increase in users across all monitored tools (318 potential EASO staff users as of 31.12.2019 vs 219 as of 31.12.2018).
325. State of integration between tools.	COI, queries and IDS with content/feature integration	5	Exceeded (+67%)	The COI, Queries and the IDS had content/features integrated (Queries, IDS, Caselaw, EAIPS, IRMA).
326. Availability of interfaces for external partners to connect to our tools.	1 API available for externals to connect	3 APIs	Exceeded (+200%)	3 interfaces for were available for external partners to connect to the tools (IDS, COI, EAIPS).
327. Adoption rate of Quality tool and Mobile toolbox among MS.	30% use it on regular basis	No data	No data	The adoption rate of the Quality tool and the Mobile toolbox among the Member States was not measured (the Quality tool was downloaded 1,500 times in 2019).
328. Number of countries catalogued in the ExtDim GIS tool.	1	1	Achieved (100%)	1 country was catalogued in the ExtDim GIS tool (Turkey).
Objective 5 (34)	Further automate Agency administrative processes, increase efficiency, reliability and resilience of processes.			
Indicator	**Target for 2019**	**Actual by 31.12.2019**	**Status**	**Additional information / explanation**
329. Percentage of budget operations done through electronic means.	98%	100%	Exceeded (+2%)	100% of budget operations were done through electronic means.
330. Number of identified HR processes digitized.	60%	56% (5 out of 9)	Nearly achieved (-7%)	56% of HR processes were digitalised (onboarding, appraisal, training requests, recruitment, leave management).

Indicator	Target for 2019	Actual by 31.12.2019	Status	Additional information / explanation
331. Number of EASO stakeholders managed through a central CRM.	80%	N/A	N/A	EASO stakeholders were not managed through a central CRM in 2019 due to late signature of the business case.
332. Service level management statistics for IT incidents and request fulfilment.	85% achievement of all SLAs	82%	Nearly achieved (-4%)	82% of IT incidents and requests were fulfilled across all SLAs.
333. Number of additional organisational workflows managed through Paperless.	5 additional workflows	7	Exceeded (+40%)	7 additional organisational workflows were managed through Paperless.
334. Number of IT Security and Business continuity plans for applications documented and tested.	Available for all critical applications	100%	Achieved (100%)	100% of critical applications were covered by IT Security and Business continuity plans, and documented and tested (Email, Active Directory, Databases, Files and SharePoint Farms).
335. Number of operational cloud applications.	4	8	Exceeded (+100%)	8 operational cloud applications were in place.
336. Single-sign on implementation across EASO systems.	80% of all systems supported	100%	Exceeded (+25%)	100% of systems had a single-sign on implemented across EASO systems.
337. Number of data marts available in the data warehouse.	1	1	Achieved (100%)	1 data mart was available in the data warehouse.

I.7.5 Other horizontal activities

5 out of 7 targets were **achieved** (71%)
2 out of 7 targets were **not applicable** (29%)

Core business indicators	Forecast 2019	Actual by 31.12.2019	Status	Additional information / explanation
338. Status of integration of the EASO management standard with the Commission's Internal Control Framework and EASO quality management system.	Improved integrated indicators	N/A	N/A	Further development of a stand-alone EASO management standard was de-prioritised, to consolidate efforts for improving further enhancement and full integration with the new Internal Control Framework adopted by the Management Board in December 2018 (replacing the Internal Control Standards).

Core business indicators	Forecast 2019	Actual by 31.12.2019	Status	Additional information / explanation
339. Status of monitoring and reporting on the identified risks.	In line with procedure	87%	Achieved (100%)	87% of actions identified to mitigate significant and critical risks were timely implemented (13 out of 15 actions, due by 31.12.2019).
340. Status of assessment of EASO processes requiring Data Protection Impact Assessment.	Processes assessed	5	Achieved (100%)	5 Data Protection Impact Assessments were due and timely carried out (the RSF project in Turkey, Microsoft Office 365, the Social Media Monitoring Project, the EAIPS, eHR files).
341. Number of Management Board and associated meetings organised.	8	8	Achieved (100%)	8 Management Board and associated meetings were organised: - 4 Management Board Preparatory Group meetings (January, May, August, October) - 4 Management Board meetings (February, June, September, November)

Objective 1 (35)	Continue the transformation towards a fully-fledged Agency that delivers the new mandate foreseen in the EUAA Regulation.

Indicator	Target for 2019	Actual by 31.12.2019	Status	Additional information / explanation

342. Actions due completed by planned deadline.	85% of actions due completed	100%	Achieved (100%)	100% of actions foreseen were completed by planned deadline:
				- Roadmap update on the first group of priority areas (in view of a new working assumption of 1 April 2020)
				- Concept Notes on the second group of priority areas as agreed by the MB:
				  • Priority area 5 - Management Board 2.0: New tasks and responsibilities (e.g., the anti-fraud strategy, revised rules of procedure for the MB, the Executive Board, revision of existing MB decisions)
				  • Priority area 6 - Fundamental Rights (the Officer, the complaint mechanism) and the Consultative Forum
				  • Priority area 7 - External Dimension, International Organisations and Liaison Officers in Third Countries (and in Member States)
				  • Priority area 8 - Information Systems, Information Security and Data Protection

Indicator	Target for 2019	Actual by 31.12.2019	Status	Additional information / explanation
				- Work on the remaining priority areas (such as Communications and Training)
343. Stakeholder consultations held as planned.	90% of planned consultations held	N/A	N/A	No stakeholder consultations were held, as one planned consultation was postponed to 2020 (as outlined in the EUAA Roadmap).
344. Progress reports tabled at each Management Board meeting.	All reports tabled	100%	Achieved (100%)	Progress reports were tabled at each MB meeting: - Discussion on the EUAA way forward (new working assumption (MB32 June 2019) - Updating of the EUAA Roadmap on first set of priorities (MB33 September 2019) - Concept Note on Priority area 5 - MB 2.0 (MB33 September 2019) - Concept Note on Priority area 6 - Fundamental Rights and Consultative Forum (MB33 September 2019) - Concept note on Priority area 7 - External Dimension (submitted to MB34 as planned but discussion postponed to March 2020 Management Board) - Updated EUAA Roadmap The MB has been kept updated in line with internal planning and established timelines in the context of concept notes and updating of the Roadmap on the operationalisation of the EUAA.

I.7.5.1   Human resources

3 out of 3 targets were **nearly achieved** or **achieved** (100%)

Objective 1 (36)	Implement the EASO staff recruitment plan for 2019			
Indicator	**Target for 2019**	**Actual by 31.12.2019**	**Status**	**Additional information/explanation**
345. Percentage of published posts on the new posts available in 2019.	100% published	100%	Achieved (100%)	100% of new posts available in 2019 were published (altogether 93 job titles).

Indicator	Target for 2019	Actual by 31.12.2019	Status	Additional information/explanation
346. Implementation of the Establishment Plan.	95%	80%	Nearly achieved (-16%)	228 AD and AST posts out of 284 Establishment Plan posts were non-vacant (214 were filled, 14 were in recruitment process of being offered and/or accepted).
347. Staff turnover.	7%	5%	Achieved (100%)	16 departures took place throughout 2019 vs 318 non-vacant AD, AST, CA and SNE posts as of 31.12.2019.

PART II (a): MANAGEMENT

II.1   Management Board

II.1.1 Significant items approved or decided by the Management Board

In line with Article 29 of the EASO founding Regulation, the Management Board is the planning and monitoring body, and ensures that the Agency performs the duties assigned to it.

The Management Board is composed of one representative from each Member State and two members from the European Commission, and a non-voting representative of the United Nations High Commissioner for Refugees (UNHCR). Denmark is invited to attend Management Board meetings without the right to vote[7]. Countries that concluded agreements with the EU and participate in the Agency's work, i.e. Iceland, Liechtenstein, Norway and Switzerland, participate as observers in the Management Board.

Four Management Board meetings were held in 2019, on 18-19 February (31st meeting), 17-18 June (32nd meeting), 24-25 September (33rd meeting) and 26-27 November (34th meeting).

Furthermore, four Management Board Preparatory Group meetings were held in 2019, on 15-16 January (6th meeting, Brussels), 6-7 May (7th meeting, Dublin), 28-29 August (8th meeting, Malta) and 22-23 October (9th meeting, Helsinki). The latter was hosted in Helsinki in collaboration with the Finnish Presidency of the Council of the EU and the Finnish Immigration Service. The Preparatory Group meetings aim at facilitating the work of the Management Board and preparing for the discussions of the Management Board.

Frontex was invited to participate in relevant items on the agendas of all the Management Board meetings organised in 2019.

The Management Board adopted the following documents and decisions in 2019:
- EASO Consolidated Annual Activity Report 2018
- EASO Final Accounts 2018
- EASO Annual General Report 2018
- EASO Annual Report on the situation of asylum in the EU+ 2018
- EASO Single Programming Document (SPD) 2020-2022, including Work Programme 2020 and Budget 2020
- Revision 1 and 2 Single Programming Document 2019-2021 including Work Programme 2019 and Budget 2019
- Decision no 44 of 1 April 2019 on the revised Terms of Reference on the EASO Management Board Preparatory Group
- Decision no 46 of 19 February 2019 on Interim Measures with Regard to the Executive Director
- Decision no 48 of 24 April 2019 on the appointment of Ms. Nina Gregor as EASO Executive Director
- Decision no 49 of 3 June 2019 on setting up a Disciplinary Board at EASO for disciplinary procedures where the Management Board is the Appointing Authority
- Decision no 50 of 16 July 2019 on the EASO's policy on protecting the dignity of the person and preventing psychological harassment and sexual harassment
- Decision no 52 of 17 June 2019 on adopting an Opinion on the EASO Final Accounts 2018
- Decision no 53 on EASO Governance Monitoring Indicators and Quarterly Reporting
- Decision no 54 of 14 August 2019 on the EASO Financial Regulation

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[7]   Provisions on the United Kingdom are currently pending.

- Decision no 57 of 20 September 2019 establishing EASO's guidelines on whistleblowing
- Decision no 59 of 26 November 2019 on the new EASO Organogram

In addition to these, the Management Board also adopted three restricted Decisions.

The Management Board also adopted:
- EASO External Cooperation Strategy
- EASO Training and Learning Strategy
- EASO Guidance on asylum procedure: Operational Standards and Indicators
- EASO Guidance on the Dublin Procedure: Operational Standards and Indicators

The Management Board also endorsed the following documents:
- Revised Country of Origin Information (COI) Report Methodology
- Country Guidance on Nigeria
- Country Guidance on Afghanistan
- Country Guidance on Iraq

In 2019, the EASO Management Board continued to focus on governance matters and related reforms implemented by the Agency. It regularly took stock of the various audit engagements and the implementation of identified corrective measures to address findings. During the first half of 2019, EASO submitted monthly reports to the Management Board in the areas of recruitment, procurement, budget execution, internal control and on other key developments. In June 2019, in view of the significant progress made by EASO in strengthening the EASO Governance process, the Management Board adopted a new Decision on quarterly monitoring reporting.

At the same time, the Management Board closely followed the developments related to EASO operations in Greece, Italy, Cyprus and Malta as well as EASO's support to post disembarkation situations in the Mediterranean. The situation of asylum in the EU was also regularly assessed. Other aspects related to the external dimension of the CEAS, the production and endorsement of country guidance and Operational Standards and Indicators were also discussed.

The Management Board also received weekly and monthly trend analysis reports with detailed updates on the situation of asylum in the EU. Throughout the year, the Management Board has been kept informed of key developments. Furthermore, it received vacancy notices and press releases published by the Agency.

The Management Board continued discussing various aspects related to the operationalisation of the new EUAA mandate with a view to providing strategic guidance on additional priority areas identified to continue building the Agency's preparedness to fulfil the new tasks once the EUAA Regulation enters into force.

II.1.2 Significant risk and control issues signalled to and discussed with the Management Board

During 2019 the Executive Director, with the support of the ICC, has put in place the following new policies and controls activities to effectively oversee and report to the Management and the Management Board on the significant risk and internal control issues and oversee the development and performance of internal control:

- Regarding risk management, a new manual[8] has been developed in September 2019. EASO risk management exercise is. aligned with planning and programming cycle, and significant and critical risks, together with the risk responses, are reported timely to the Management Team and when appropriate to the Management Board;

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[8]   EASO/ED/2019/254 of 24 September 2019

- In accordance with the Internal Control Framework of EASO[9], the Executive Director put a methodology in place for the assessment of the internal control systems and ascertain whether the components of internal control are present and functioning, and significant risk and control issues are signaled to and discussed with the Management Team and when appropriate with the Management Board;

- In line with Principle 12 of the Internal Control Framework, Executive Director put a new procedure[10] in place to ensure that: (i) all instances of overriding controls or deviations from established control processes and procedures are documented in exception (ex-ante) or non-compliance (ex-post) reports; and (ii) all instances of ex-ante overriding controls or deviations or controls are also required to be justified and approved before action is taken, and logged centrally (iii) corrective action is applied in a timely manner.

- A methodology was developed to provide a high-level overview of the steps and benefits involved in newly established fraud risk management processes, including anti-fraud policies and controls.

Further information and details about the above processes and policies implemented in EASO to report and monitor significant risk and control issues is included in Part III and Part IV.

Appropriate working arrangements and communication channels, other than the Consolidated Annual Activity Report and the Single Programming Documents, are in place to facilitate the Management Board oversight of the Agency's significant and critical risk and control issues identified as a result of the controls activities described above.

II.2   Major developments

Several **internal developments** impacted EASO in 2019. At its 31st meeting held in February 2019, the EASO Management Board selected Ms Nina Gregori as the new Executive Director of the Agency. Ms Gregori took up office in June 2019. At this same meeting, the Management Board also elected its new Chairperson, Dr David Costello, Member of the Board from Ireland, and elected Mikael Ribbenvik, Member of the Board from Sweden, as Deputy Chairperson.

In an effort to strengthen relations with its Management Board, in June 2019 a procedure for quarterly reporting to the EASO Management Board was established, to keep track of progress made towards predefined objectives across key areas of governance: implementation of the EASO Work Programme, Human Resources, staff engagement; Internal Control, Procurement, Budget and Finance. The first such report was presented to the Management Board in October 2019 in line with Management Board Decision No. 53, which was later repealed by Management Board Decision No. 60.

An important step undertaken in 2019 was the re-establishment of the legal function within the Agency, with plans to further strengthen this function. Action was also taken to ensure compliance with a new Data Protection Regulation. The new data protection processes envisaged under the future EUAA Regulation would require added checks (in comparison to the current EASO Regulation) to ensure compliance with data protection principles.

With a focus on streamlining quality management across the Agency's activities, measures were introduced in response to requirements and principles stemming from the applicable framework, and in line with internal control principles. Priority was also given to corporate planning, monitoring and reporting capabilities, including forecasting, prioritisation and contingency planning exercises.

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[9]   Management Board Decision № 42 of 21 December 2018 adopting a new Internal Control Framework of EASO
[10]   EASO/ED/2019/417 of 2 October 2019

EASO continued to strive for full compliance with all internal control principles, through regular assessments to measure its effectiveness and to improve efficiency of its internal control system. Implementation of the internal control framework is further reinforced with *ex post* controls' function, which contributes to the overall effectiveness of the internal control framework, by conducting self-assessments and annual reviews as prioritised in the annual *ex post* controls programme. EASO has also developed a procedure on risk management for identification, assessment and responding to potential issues that could affect implementation of the Agency's activities and the achievement of its objectives.

On 26 November 2019, the Executive Director presented a new organogram of the Agency to the Management Board for its endorsement. The new structure came into effect on 1 January 2020.

The restructuring was carried out to reflect three priority areas: (i) to strengthen the Agency's operational role, (ii) to intensify the training activities and professional development for asylum experts, and (iii) to prove EASO's role as a true centre of knowledge and expertise on asylum with the production of guidance tools, and enhanced statistical, analytical and research work.

These three core activities were formed into three centres of expertise, knowledge and development: 1. Operational Support Centre (C1), 2. Training and Professional Development Centre (C2), and 3. Asylum Knowledge Centre (C3). The new organisational structure also focuses on strengthening the Executive Office and its responsibilities covering corporate planning and reporting, legal affairs and data protection, internal control, risk management, and quality management.

EASO's activities in 2019 were largely shaped by **external factors**, as evolving trends in migration and asylum continued to apply increased pressures on EU+ countries. For the first time since 2015, more applications were registered in 2019 than in the previous year in the EU+ (approximately 714,700, which is +13% compared with 2018). Upward asylum trends were not limited to the top recipient countries. Belgium, Cyprus, Ireland, Malta, as well as several EU+ countries located along the Western Balkan route, also registered more applications than in 2018. Furthermore, EASO analysis of asylum applications relative to the countries' size, population and GDP revealed that the asylum picture is far more contextual. Relative indicators clearly showed that national asylum authorities of some countries were under comparatively higher pressure than others, namely Cyprus, Greece, and Malta. Despite an overall weak relationship between irregular migration and asylum, the migratory pressure along the Eastern Mediterranean route constituted a particular concern. In the second half of the year, increased arrivals in the Greek hotspots correlated with a rise in asylum applications, and in turn caused the creation of a considerable backlog.

Acting within its mandate, EASO continued to provide its assistance to Greece, Italy, Cyprus and Malta, on the basis of support measures set out in the mutually agreed country Operating Plans. In addition to efforts deployed under these operating plans, EASO has also been involved in the framework of *ad hoc* disembarkation and voluntary relocation exercises. These activities were carried out through the year in Italy and Malta, with EASO working closely within the framework established by the European Commission throughout the process.

One should recall that 2019 was also a transitional year for the European Commission, the European Parliament and the President of the European Council. European Parliament's elections took place in May 2019, and a new President of the European Council and a new College of Commissioners took office on 1 December 2019. As part of her candidature for the President of the European Commission, President Ursula von der Leyen announced in September 2019 of the intention to present a New Pact on Migration and Asylum and to relaunch the reform of the Common European Asylum System. EASO is, as many others, awaiting for this development in hope that it will stimulate discussion and lead to the finalisation of the reform. A clear path towards the adoption of the EUAA Regulation would enable the Agency to better plan and prepare for its new mandate.

II.3 Budgetary and financial management

II.3.1 Implementation of appropriations

The distribution of appropriations by budget title, the rate of implementation and type of funds are summarised in the following paragraphs.

Revenue in 2019

Details relating to the initial budget as voted and the amending budget in 2019 are provided in Annex VI.

Budget line	Description	Voted Budget (€)	Total amendments during 2019 (€)	Final actual appropriations (€)
2000	EU Contribution (Commission subsidy - Titles 1, 2 and 3)	96,686,000.00	0.00	96,686,000.00
3000	Associate countries contributions	p.m.	5,331,003.34	5,331,003.34
4000	Other contributions	0.00	919,913.34	919,913.34
5000	Administrative operations and miscellaneous income	p.m.	p.m.	p.m.
	Total revenue	**96,686,000.00**	**6,250,916.68**	**102,936,916.68**

- **Budget execution of income appropriations per fund source**

Income appropriations					
Budget title	Fund source	Description	Current budget (€)	Revenue received (€)	Remaining balance (€)
2	IC1	EU contribution (Commission subsidy - titles 1, 2 and 3)	96,686,000.00	96,686,000.00	0.00
3	IR1	Associate countries contributions	5,331,003.34	5,331,003.34	0.00
4	IC4	Miscellaneous income	0.00	1,132.33	0.00
	IR1	Other contributions (IPA)	177,872.84	48,668.82	0.00
	IR11		742,040.50	742,040.50	0.00
5	IC1	Administrative operations	0.00	0.00	0.00
	IC1	Miscellaneous income	0.00	0.00	0.00
	IC4		0.00	11,718.75	0.00
		Total income	**102,936,916.68**	**102,820,563.74**	**0.00**

Notes:

1. Miscellaneous income was not budgeted.
2. Under-implemented amount of €129,204.02 in title 4 (IR1) was returned to Frontex on 19 December 2019.
3. Recovery order amounting €742,040.50 in title 4 (fund source IR11) was opened as of 31 December 2018 and cashed on 24 January 2019.
4. All miscellaneous income relates to recovery of expenses.

- **Associate Countries' contributions**

  - **Principality of Liechtenstein**

The European Union signed an arrangement with the Principality of Liechtenstein for its participation in EASO's activities, which entered into force on 1 January 2016. Pursuant to Article 3.1 of the Arrangement, Liechtenstein will contribute an annual sum to EASO calculated in accordance with its Gross Domestic Product (GDP) as a percentage of the GDP of all participating States in accordance with a formula laid down in Annex. For 2019, the contribution agreed by EASO and the Principality of Liechtenstein amounted to €26,707.57.

  - **Kingdom of Norway**

The European Union signed an arrangement with the Kingdom of Norway for its participation in EASO's activities, which entered into force on 1 June 2014. Pursuant to Article 3.1 of the Arrangement, Norway will contribute an annual sum to EASO calculated in accordance with its Gross Domestic Product (GDP) as a percentage of the GDP of all participating States in accordance with a formula laid down in Annex. For 2019, the contribution agreed by EASO and the Kingdom of Norway amounted to €2,029,965.02.

  - **Swiss Confederation**

The European Union signed an arrangement with the Swiss Confederation for its participation in EASO's activities, which entered into force on 1 March 2016. Pursuant to Article 3.1 of the Arrangement, Switzerland will contribute an annual sum to EASO calculated in accordance with its Gross Domestic Product (GDP) as a percentage of the GDP of all participating States in accordance with a formula laid down in Annex. For 2019, the contribution agreed by EASO and Switzerland amounted to €3,274,330.75.

- **Grants**

  – **IPA grant**

EASO signed as beneficiary a Cooperation Agreement with Frontex within the framework of a grant agreement with the Commission for the implementation of the 'Regional Support to protection-sensitive migration management in the Western Balkans and Turkey, Component 1' and received €399,882.44 in 2017 as a second instalment. The amount of €150,820.68 was carried-over from 2018 to 2019. The third and last pre-financing of IPA Phase I was received on 15 April 2019 amounting €177,872.84. The implementation of actions under IPA Phase I was terminated on 30 June 2019. The final report was submitted and approved by Frontex and the under implemented amount of €129,204.02 was returned to Frontex on 19 December 2019.

On 20 December 2018 EASO signed a Grant Agreement with the Commission for the implementation of the 'Regional Support to protection-sensitive migration management system in the Western Balkans and Turkey – Phase II – Contract 3' and the first pre-financing amounting €742,040.50 was received on 24 January 2019.

Expenditure in 2019

The 2019 EASO budget was adopted on 27 November 2018 by the Management Board amounting to €96.68 million as foreseen in the Draft EU Budget 2018. On 11 December 2018, the Budgetary Authority adopted the EU Budget 2019, confirming the EU contribution to the EASO budget of €96.68 million. EASO amended its budget once and by the end of the financial year reached a total of €102.9 million of CA and of PA (including contributions from the Associate Countries and IPA grants). All details about the budget as voted and the amending budget are provided in Annex II.

Contribution from the general budget of the European Union (EU subsidy)

The 2019 EU subsidy[11] increased from €91.97 million of 2018 to €96.69 million (+5%). EASO implemented 95.22% of CA and 89.86% of PA.

Budget title	CA budgeted (€)	CA executed (€)	CA (%)	PA budgeted (€)	PA executed (€)	PA (%)
Title 1	27 285 300.00	24 816 895.67	90.95	27 285 300.00	22 866 865.65	83.81
Title 2	12 897 200.00	12 077 824.53	93.65	12 897 200.00	7 883 835.19	61.13
Title 3	56 503 500.00	55 167 741.33	97.64	56 503 500.00	56 130 198.64	99.34
Total	**96 686 000.00**	**92 062 461.53**	**95.22**	**96 686 000.00**	**86 880 899.48**	**89.86**

Overall budget execution (all fund sources)

The following tables show the overall budget execution in 2019 for all fund sources, including the credits from Associate Countries, grant agreements and carry overs from previous year(s).

In 2019, EASO managed a total of €137.84 million of CA and €117.62 million of PA, executing 87.64% and 81.40% respectively.

Budget title	Description	CA budgeted (€)	CA implemented (€)	CA (%)	PA budgeted (€)	PA consumed (€)	PA (%)
Title 1	Staff expenditure	28,671,645.83	25,923,647.56	90.42	28,671,645.83	23,973,617.54	83.61
Title 2	Infrastructure and operating expenditure	17,065,064.28	15,865,111.04	92.97	17,065,064.28	11,671,121.70	68.39
Title 3	Operational expenditure	91,162,745.14	78,444,346.86	86.05	70,945,024.75	59,750,752.61	84.22
Title 4	Other external projects (grants)	941,530.00	564,865.58	59.99	941,530.00	344,533.48	36.59
	Total expenditure (including carry overs)	**137,840,985.25**	**120,797,971.04**	**87.64**	**117,623,264.86**	**95,740,025.33**	**81.40**

The following tables show the budget execution per budget title and fund source for CA and PA. The fund sources are:

C1: funds from the EU general budget;

C4: amounts recovered in 2019;

C5: amounts recovered in previous years;

C8: automatic carry overs from previous year(s);

R0: Associate Countries' contributions and grants.

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[11] C1 credits in the EASO financial system.

- **Budget execution of commitment appropriations per fund source**

Budget title	Fund Source	CA budgeted (€)	CA implemented (€)	CA (%)
Title 1 – Staff expenditure	C1	27,285,300.00	24,816,895.67	90.95%
	C4	5,219.75	2,233.02	42.78%
	C5	4,266.30	2,124.80	49.80%
	C8	1,376,859.78	1,102,394.07	80.07%
Total Title 1		**28,671,645.83**	**25,923,647.56**	**90.42%**
Title 2 – Infrastructure and operating expenditure	C1	12,897,200.00	12,077,824.53	93.65%
	C4	0.00	0.00	0.00
	C5	4,135.43	2,903.96	70.22%
	C8	4,153,515.45	3,784,382.55	91.11%
	R0	10,213.40	0.00	0.00%
Total Title 2		**17,065,064.28**	**15,865,111.04**	**92.97%**
Title 3 – Operational expenditure	C1	56,503,500.00	55,167,741.33	97.64%
	C4	7,631.33	0.00	0.00%
	C5	21,082.00	17,818.59	84.52%
	C8	20,217,720.39	18,109,592.38	89.57%
	R0	14,412,811.42	5,149,194.56	35.73%
Total Title 3		**91,162,745.14**	**78,444,346.86**	**86.05%**
Title 4 – Other external projects	R0	941,530.00	564,865.58	59.99%
Total Title 4		**941,530.00**	**564,865.58**	**59.99%**
Total CA		**137,840,985.25**	**120,797,971.04**	**87.64%**

- **Budget execution of payment appropriations per fund source**

Budget title	Fund Source	PA budgeted (€)	PA consumed (€)	PA (%)
Title 1 – Staff expenditure	C1	27,285,300.00	22,866,865.65	83.81%
	C4	5,219.75	2,233.02	42.78%
	C5	4,266.30	2,124.80	49.80%
	C8	1,376,859.78	1,102,394.07	80.07%
Total Title 1		**28,671,645.83**	**23,973,617.54**	**83.61%**

Budget title	Fund Source	PA budgeted (€)	PA consumed (€)	PA (%)
Title 2 – Infrastructure and operating expenditure	C1	12,897,200.00	7,883,835.19	61.13%
	C4	0.00	0.00	0.00%
	C5	4,135.43	2,903.96	70.22%
	C8	4,153,515.45	3,784,382.55	91.11%
	R0	10,213.40	0.00	0.00%
Total Title 2		**17,065,064.28**	**11,671,121.70**	**68.39%**
Title 3 – Operational expenditure	C1	56,503,500.00	56,130,198.64	99.34%
	C4	7,631.33		0.00%
	C5	21,082.00	21,082.00	100.00%
	R0	14,412,811.42	3,599,471.97	24.97%
Total Title 3		**70,945,024.75**	**59,750,752.61**	**84.22%**
Title 4 – Other external projects	R0	941,530.00	344,533.48	36.59%
Total Title 4		**941,530.00**	**344,533.48**	**36.59%**
Total PA		**117,623,264.86**	**95,740,025.33**	**81.40%**

II.3.2 Commitments for actions extending for more than one financial year

Not applicable.

II.3.3 Budget transfers

Article 27 of EASO's Financial Regulation states:

"1. The Executive Director may transfer appropriations:

a) From one title to another up to a maximum of 10% of the appropriations for the year shown on the line from which the transfer is made;

b) From one chapter to another and from one article to another without limit.

"4. The Executive Director shall inform the Management Board as soon as possible of all transfers made…"

In 2019, 11 budget transfers were executed, of which 9 were within budget titles and 2 between budget titles. The transfers between titles were effected by the Executive Director based on the Management Board approval.

More details on budget transfers are provided in Annex II.

II.3.4 Amending budget

EASO amended its budget once during the year. The operational environment continued to be dynamic during 2019. The high level of activity in the area of migration once again placed an unforeseen strain on EASO's operational budget (Title 3). Following a detailed mid-year review of the budget conducted in May, a shortfall in funds for operational expenditure was identified. In order to

reduce the shortfall, it was decided to transfer a surplus of €9 million from staff expenditure (Title 1) to operational expenditure (Title 3) and to allocate all contributions from Associate Countries of €5.33 million in operational budget (Title 3).

The amendment was adopted by the Management Board on 31 July 2019 and incorporated €5.33 million from Associate Countries. Moreover, the amendment included a budget transfer between titles of €9 M to partially cover the shortfall in operational budget as well two instalments of grant agreements: IPA Phase I and IPA Phase II of €177,872.84 and €742,040.50 respectively.

Details of the budget amendment in 2019 are provided in Annex II.

II.3.5   Appropriations carried forward from 2019 to 2020

Automatic carry forward are appropriations that were committed in previous year(s) and not paid by 31 December 2019.

The total amount carried forward from 2019 to 2020 was €23.29 M in CA and €6.14 M in PA.

As commitments carried forward on Title 3 refer to differentiated appropriations, only the CA are automatically carried over whereas PA are cancelled. Payments under differentiated appropriations will consume 2020 PA.

Overview of automatic carry-forward (C8) per budget title

Budget Title	CA budgeted (€)	PA budgeted (€)
Title 1	1,950,030.02	1,950,030.02
Title 2	4,193,989.34	4,193,989.34
Title 3	17,143,871.66	0.00
Total	**23,287,891.02**	**6,144,019.36**

II.3.6   Appropriations carried forward from 2018 to 2019

EASO carried forward €25.75M from 2018 and paid 89.31% of this amount in 2019. An amount of € 747,063.63 was carried forward again to 2020.

II.3.7   Procurement types

In 2019, EASO launched the types of procurement procedures listed in the table below. In 2019 there was no direct awards based on recorded exceptions (0% of all procedures), compared to 1 direct award (1.1% of all procedures) in 2018 and 19 direct awards (9.5% of all procedures) in 2017 based on recorded exceptions.

Type of procedure	Number	Percentage (%)
Open call	13	27.08
Negotiated with 5 competitors	4	8.33
Negotiated with 3 competitors	6	12.5
Negotiated with 1 candidate	18	37.5

Type of procedure	Number	Percentage (%)
Competitive with negotiation (Point 12 of FR Annex I)	2	4.17
Negotiated without prior publication of a contract notice (Point 11 of FR Annex I)	3	6.25
Direct award based on recorded exceptions[12]	0	0.00
Call for expression of interest	2	4.17
Total	**48**	**100.00**

II.3.8   Interest on late payments

The majority of payments need to be processed within thirty calendar days (the legal time limit) from the receipt of invoice.

In 2019 a total of 9,871 payments were executed out of which 1,312 were late. The late interest for 2019 as reported in the draft financial statements is €25,652.34 on 46 invoices booked in 2019.

In 2019, 1,145 more payments than in 2018 were processed, this increase was mainly due to an increase of 2019 budget by €4.7 million. Despite this significant increase, EASO could keep the late payments rate at 13%.

The late payment rates of the last part of the year 2019 show considerable improvements compared to the first half of the year as well as the same period of the previous year. In November and December 2019 EASO reached unprecedented results. The late payment rates were in fact 5% and 3% respectively.

Monthly data on payments performances are provided in the following graph:

	January	February	March	April	May	June	July	August	September	October	November	December
Number of payments 2019	460	686	628	810	1035	718	1030	637	643	983	1106	1135
Late payments %	31%	15%	12%	18%	30%	14%	10%	15%	9%	10%	5%	3%
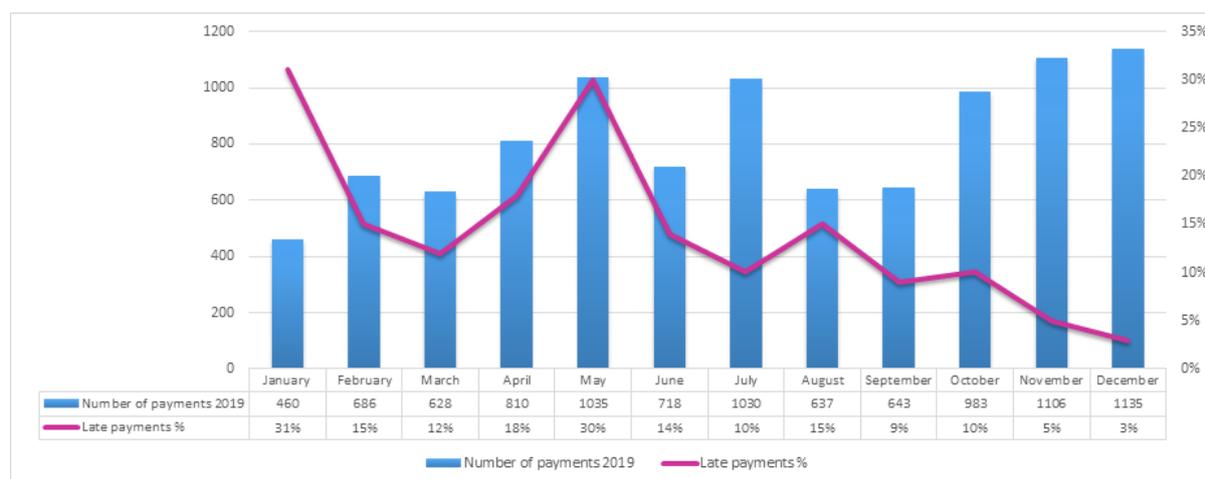
The very positive trend of the end of the year continued in 2020. In January, late payments were 11%, which represents 1/3 of the percentages registered in the same month of previous years.

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[12]   Refer to Section IV.1 for more details on exceptions in 2019.

February to April show as well improved ratios of the late payments (5%, 6% and 10% respectively), with a light increase in April mainly as a consequence of the COVID-19 outbreak. The table below confirms the considerable improvements in the first part of 2020 compared to the same period of 2019 from January to April. The trend shows increased control, and efforts will continue to ensure further improvements through time until the ratio will be steadily below 5%.
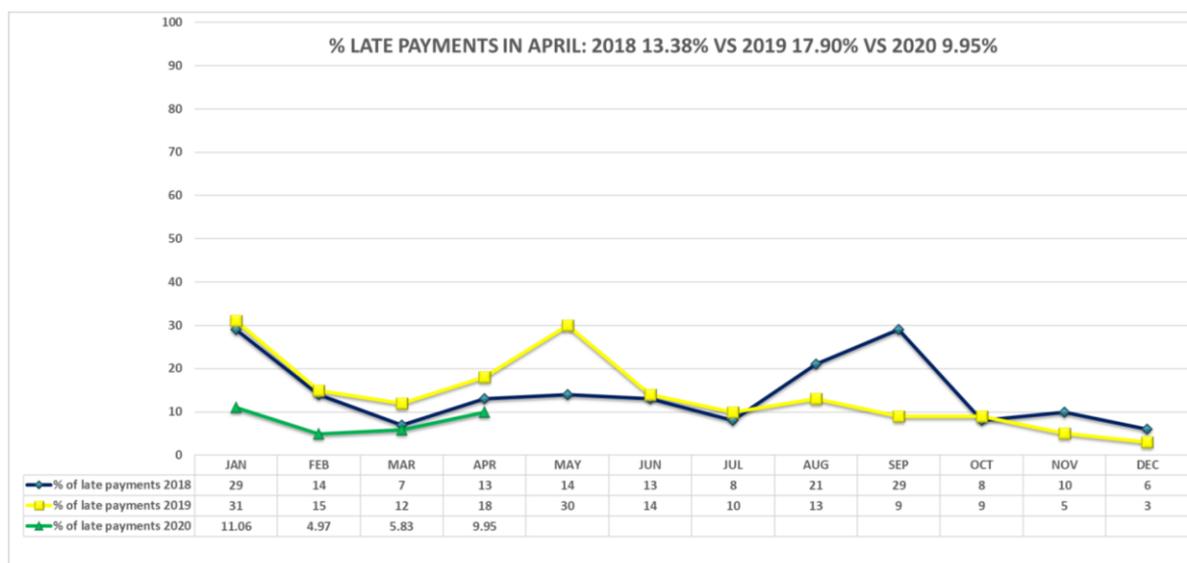
The positive result at then of 2019 and the first part of 2020 are the consequence of a new action plan that has been initiated in mid-2019 to decrease the rate of late payments. In detail, the actions proposed and, in some cases, already implemented were:

- Central follow-up of payments reaching their deadline;
- Revision of the allocation of financial actors in Budget lines;
- Measures to reduce throughput time at each level;
- Measures to reduce the rate of rejections of files and contract management;
- Intensive Financial training plan for financial actors;
- Improved capacity to register invoices;
- Improvements of the IT tool in use.

Despite the improvements during 2019 and the first part of 2020 regarding late payments, the ratio is considered high.

The EASO Management Team will further enhance monitoring and supervision tools of late payments until systemic delays are eliminated.

II.3.9   Budgetary operations in 2019

EASO's budgetary operations in 2019 are reported above and in Annex VI.

II.3.10   Budget Management Controls

II.3.10.1 Ex-post controls coverage and results

EASO recruited its first ex post controller in October 2019, and established a new internal control and ex-post controls function within the Executive Office as part of the restructuring of the Agency. . EASO expects to reinforce this function by the end of 2020 and to implement its first ex-post controls programme in 2021. EASO has established two types of ex-post controls: annual ongoing ex-post controls and ad-hoc basis ex-post engagements.

During 2019 the ex-post control coverage was limited to the assessment of the internal controls' processes and procedures in EASO. Once the adequate sourcing of the ex-post controls function is completed, EASO can expect to implement its scope and coverage from 2021 onwards. In addition to the assessment of the sound financial management of EASO processes and procedures, the ex-post control scope will also cover financial ex-post verifications for legality and regularity of procurement and financial operations.

The ex-post controls' results and coverage, including indicators of performance on legality and regularity, as defined in Article 30.2 of EASO Financial Regulation, are extensively documented and explained in detail in Part III and Annex IX:
- sound financial management (economy, efficiency, effectiveness and performance of processes and procedures);
- reliable reporting;
- prevention, detection, correction and follow-up of irregularities and fraud;
- safeguarding of assets and information;
- adequate management of risks relating to the legality and regularity of the underlying transactions.

II.3.10.2 Exceptions and non-compliances coverage and results

Exceptional circumstances may impose decisions which represent a deviation from established processes and procedures. Such exceptions must be approved at appropriate level of management before the action is taken. Moreover, sometimes non-compliance events are detected after the action was taken and reflect a gap in existing controls.

EASO has therefore put control activities in place to ensure that: (i) all instances of overriding controls or deviations from established processes and procedures are documented in exception (ex-ante) or non-compliance (ex-post) reports; and (ii) all instances of ex-ante overriding controls or deviations are also required to be justified and approved before action is taken, and logged centrally and (iii) corrective actions are applied timely.

In this regard, the Executive Director adopted a Manual on the management of exceptions and non-compliance events in October 2019. Monthly reports are addressed to the Management Team on the number of exceptions and non-compliances, including an assessment per Unit/Sector, an assessment per typology and a trend analysis compared to previous years.

During 2019, the Executive Director justified, approved and logged centrally instances of overriding controls or deviations from the established processes and procedures for a total amount of €1,721,998.44. From a quantitative point of view, the financial impact constitutes 1.67% of EASO Budget, which is below the materiality threshold of 2% and therefore there is no reason to issue a reservation.

Even if the number and amount of registered exceptions and non-compliances indicates a deficiency in EASO internal control system, it is to be acknowledged that the ratio[13] between the value of

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[13]   The ratio is calculated in the following way: total value of exceptions and non-compliances is divided by the payment appropriations executed in the particular financial year: 2017 = 11,458,803.95/69,375,750.68 EUR executed payment appropriations, 2018 = 1,481,220.07/81,005,063.37 EUR executed payment appropriations and 2019 = 1,721,998.44/ 102,936,916.68 EUR executed payment appropriations.

exceptions and con-compliances in regards to overall EASO budget has been decreasing since 2017 as showed in the following graph:

Financial impact of exceptions and non-compliances
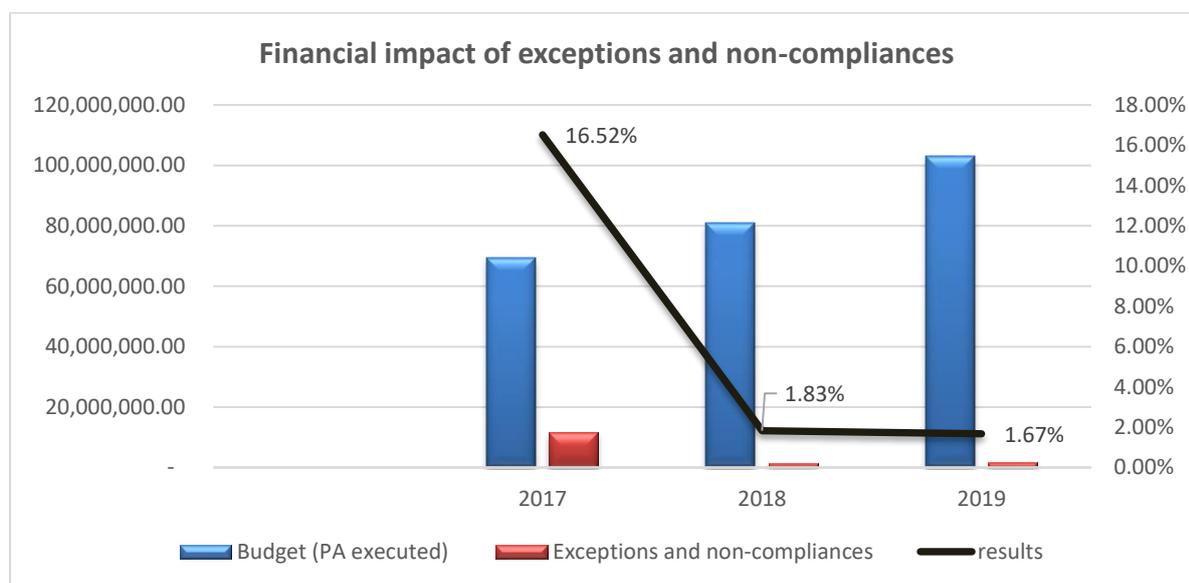
In 2019, EASO maintained the trend reduction of exception and non-compliances since 2017 despite the increased budget.

The Executive Director acknowledges the need to improve efficiency and effectiveness of EASO internal control systems, to reduce the number of exceptions and non-compliances below 1% of EASO Budget by the end of 2020, and below 0.5% by the end of 2021.

II.3.11 Cost and benefits of controls (effectiveness, efficiency and economy of controls)

Following the entry into force of the new organogram in January 2020 and in accordance with EASO Financial Regulation, EASO has started the review of its control strategy, based on risk approach and on cost and benefit analysis of all its control activities.
Cost-effectiveness of EASO controls will be achieved through risk-differentiated control strategies.

II.4 Delegation and sub-delegation of the powers of budget implementation to EASO staff

In accordance with Article 41 of EASO Financial Regulation, as the Authorising Officer, the Executive Director may delegate his/her powers of budget implementation to the staff of the Agency. Those so empowered may act only within the limits of the powers expressly conferred upon them. Those who are delegated may sub-delegate the powers received with the explicit agreement of the Executive Director.

Upon taking up duties, the new Executive Director initially confirmed all delegations and sub-delegations of powers of budgetary implementation to the staff granted by the former Executive Director ad interim.

In line with the new organogram, which entered into force on 1 January 2020, all delegations and sub-delegations of financial authority have been revised.

 EASO has 5 Authorising Officers by delegation (AOD), namely the Principal Head of Department, Head of Centres, the Head of Executive Office, who have powers of budgetary implementation up to the authorized appropriations and across all budget lines.

They have sub-delegated their powers to 41 Authorising Officers by sub-delegation (AOS). The maximum limits and budget lines of the sub-delegatees are indicated in each individual decision, in line with the standardised approach on delegations and sub-delegations put in place by EASO in 2019.

Delegations and sub-delegations are in force until revoked.

By default in consideration of the role	Minimum Grade	Optional	Maximum Amount by default	Other limits	Remarks
ED	AD14		N/A	N/A	**Budget lines to be assigned to all LMs (HoD, HoO, HoU, HoS) by default:**
Principal HoD	AD13		N/A	N/A	
HoCentre/Department/HoEXO	AD11	Senior adviser to ED + Other officers with this grade	N/A	N/A	Budget Line A01301 Administrative mission expenses Budget Line A01501 Trainings and language courses for staff Budget Line A01601 Interim services
HoU	AD10	Other officers with this grade	500,000	It does not include the power to carry out: - grants - sensitive public contracts	**Budget lines to be assigned to Head of Office + Head of COU**
HoOffice Greece and Italy	AD9	Other officers with this grade	400,000	It does not include the power to carry out: - grants - sensitive public contracts	Budget Line A01401 Restaurants and canteens Budget Chapter 21 Rental of building and associated costs
HoOffice Malta and Cyprus	AD8	Other officers with this grade	300,000	It does not include the power to carry out: - grants - sensitive public contracts	Budget Chapter 22 Information and communication technology Budget Chapter 23 Current administrative expenditure
HoS	AD8	Other officers with this grade	300,000	It does not include the power to carry out: - grants - sensitive public contracts	
	AD7	Senior Officers	150,000	It does not include the power to carry out: - grants - sensitive public contracts	
	AD6	Officers	150,000	It does not include the	

				power to carry out: - grants - sensitive public contracts	
	AD5	Officers	150,000	It does not include the power to carry out: - grants - sensitive public contracts	
	FGIV	Officers	150,000	It does not include the power to carry out: - grants - sensitive public contracts	

Transaction type for delegations:
- Individual budgetary commitments of appropriations;
- provisional budgetary commitments of appropriations;
- global commitments;
- decisions on the award of grants, prizes and public contracts (including framework contracts);
- decisions on the cancellation of the procedures for the award of grants, prizes and public contracts (including framework contracts);
- legal commitments (as well as the preliminaries);
- payment orders;
- estimates of amounts receivable;
- recovery orders;
- guarantees (acceptance and release);
- decisions (as well as the preliminaries) ruling out participation in contract and grant award procedures;
- decisions (as well as the preliminaries) ruling out the award of contracts and grants;
- transfers of appropriations;
- carry-forward/carry-over of commitment and payment appropriations.

Transaction type for sub-delegations
- individual budgetary commitments of appropriations;
- provisional budgetary commitments of appropriations;
- global commitments;
- legal commitments (as well as the preliminaries);
- payment orders;
- recovery orders
- decisions on the award of contracts (including framework contracts);
- decisions on the cancellation of the procedures for the award of contracts (including framework contracts);
- decisions (as well as the preliminaries) ruling out the award of contracts;
- carry-forward/carry-over of commitment and payment appropriations.

II.4.1 Information on the controls carried out, any weaknesses identified, and the actions taken to remedy these

EASO has put in place several preventive and detective control activities regarding delegation and sub-delegation of powers in budget implementation. The Financial (sub)delegations' process foresees several steps, i.e. initiation, verification proposal, authorisation and acceptance, and it ends with the management of access rights in the accounting system.

The following is a non-exhaustive list of the main control activities in place in this area:
- A procedure for Delegation of Financial Authority and Nomination of staff involved on the preparation and implementation of the budget is documented, approved by the Executive Director and explained to the staff (Administrative Circular on the compulsory trainings for all staff involved in budget implementation, adopted 19.09.2018);
- The process is implemented by means of electronic workflows, delegations and sub-delegations, related key documentation is recorded in EASO document management system;
- The Charter of tasks and responsibilities, by analogy to those proposed by the Commission for its own departments, are acknowledged and signed by all Responsible Authorising Officers when getting (sub)delegation of powers in budget implementation;
- In accordance with Article 74 of EASO Financial Regulation, EASO has created a compulsory competence training framework for all Responsible Authorising Officers (Administrative Circular on the compulsory trainings for all staff involved in budget implementation, adopted 19.09.2018);
- Training material on expenditure life-cycle, procurement basics, internal controls and fraud prevention have been developed locally, based on EASO needs and the risk environment, and is provided all year around by the Finance and Procurement Unit and the Executive Office;
- The compulsory training competence framework is scrutinized before granting (sub)delegations;
- Neutral verification of local profile management is done in the accounting system;
- Ex-post controls of Delegations of Financial Authority to staff involved in the budget preparation and implementation are implemented as part of the Internal Control Annual Self-Assessment.

Based on the results of the controls above, the weaknesses identified were discussed and corrective action endorsed by the Management Team as part of 2019 Internal Control Self-Assessment exercise. The weaknesses and corrective actions are documented in Annex IX.

II.5 Human Resources management

II.5.1 Major developments

In 2019 the Human Resources Unit has increased its capacity, especially in the Recruitment and Entitlement areas. This allowed to further strengthen its capability to recruit, welcome, train and retain a rapidly increasing number of staff members. Among other measures, the following was achieved in 2019:
- Review of the recruitment procedures and start of operationalisation of the new e-recruitment tool;
- Participation in the Inter-agency call for Confidential Counsellors to tackle psychological and sexual harassment. The process was initiated in Q4 of 2019 and is envisaged to be finalised in Q3 of 2020, after the compulsory training is provided. Due to current COVID-19 situation, it was postponed;
- Improvement of the onboarding and induction process for the new staff members. The onboarding process has been streamlined and the induction training is provided systematically and approximately twice per month, giving the newcomers the needed knowledge and information;

- Establishment of the 'exit' procedure's internal guidelines. Working instructions have been prepared for implementing a systematic and thorough rules practice covering administrative and financial aspects upon departure;
- Implementation of the teleworking policy in Q1;
- Establishment of the time recording policy and the time recording tool in Q4, however, the implementation phase has been postponed due to COVID-19;
- Improvement of the e-HR tool to allow for a smooth onward migration to SYSPER;
- Completion of the document management system, together with a successful migration of all HR documents into the ERDMS.

Category	Grade	No. of staff in grade in 2019[14]	Total no of flexitime recuperation days in 2019[15]	Average no of recuperation days per staff member in grade
Temporary Agents	AD 16			
	AD 15			
	AD 14	1	8	8
	AD 13			
	AD 12	3	2	2
	AD 11	2		
	AD 10	5	2	0.67
	AD 9	4	5.5	2.75
	AD 8	21	21.5	3.07
	AD 7	29	53	4.82
	AD 6	26	30.5	2.77
	AD 5	41	43	2.87
	AST 8			
	AST 7			
	AST 6			
	AST 5	2	28	14
	AST 4	27	21.5	4.3
	AST 3	39	34	3.09
	AST 2	1	1.5	1.5
	AST 1	13		
Contract Agents	FG IV	32 + 1 IPA	14	1.75
	FG III	28 + 1 IPA	41	2.93
	FG II	12	3	3
	FG I	0		
Seconded National Experts	SNE	9	5.5	1.83
Total		**295 + 2 IPA**		

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[14] Refers to the number of staff in actual service (includes also 2 IPA project staff) on 31 December 2019, without 20 offered posts.

[15] Refers to the number of flexitime recuperation days taken by the staff throughout 2019.

II.5.2   Implementing Rules

Two model decisions were adopted by the EASO MB:
- Decision no 50 of 16 July 2019 on the EASO's policy on protecting the dignity of the person and preventing psychological harassment and sexual harassment – EC Model Decision C(2016) 6595;
- Decision no 57 of 20 September 2019 establishing EASO's guidelines on whistleblowing – EC Model Decision C(2018) 1362.

II.5.3   Screening/benchmarking exercise

The results of EASO's benchmarking exercise for the years 2018 and 2019 are presented in Annex IV. The distribution of staff resources across the standard job type categories is determined based on staff numbers and the individual job profiles.

In summary, there was a 1.16% decrease in the Operational job types' category (from 63.94% in 2018 to 62.78% in 2019). The Administrative support and coordination job types' category decreased by the full 6.05% points (from 23.08% in 2018 to 17.03% in 2019). The Neutral job types' category relating to Finance and Control experienced a 9.2% increase (from 12.08% in 2018 to 20.19% in 2019).

II.6   Strategy for efficiency gains

Due to the continuous need for economy and effectiveness of measures, the Agency has reinforced its governance, internal control, quality and risk management systems as the basis for effective and efficient administrative and core operations. This intention was reaffirmed by adoption of a new EASO organogram in January 2020, primarily by reinforcing certain functions and establishing dedicated sectors, and by concentrating expertise in dedicated areas of work aligned with the principal EASO objectives.

The Agency continuously seeks to identify and implement improvements to its systems and procedures to further increase efficiency in its operations and administrative activities.

While targeting to simplify operational and administrative processes and procedures as much as possible, EASO is focusing on full compliance with the applicable rules as well as effective internal controls. In doing so, the Agency ensures that:
- Less time was spent on repetitive and labour-intensive tasks; thus more time was available to work on tasks that have higher added value;
- Fewer human errors made through the reduction of procedural steps and automation of processes (at the moment EASO has 21 fully automated administrative process in place including Budget, Finance, HR, Assets management);
- A risk-based approach is taken to ensure that efforts are more focused on tasks that require enhanced control;
- The proportion of staff working in Administration is reduced insofar as possible compared to staff working in core operations, without jeopardising the essential deliverables of the Agency.

In addition to the above, the following areas towards achieving governance and internal control excellence have been identified during the last year's internal control self-assessments (a non-exhaustive list):
- Develop the EASO's tone at the top culture, including strong leadership and ownership by its management and balanced gender representation;
- Ensure the adequacy of resource allocation in accordance with EASO's priorities and streamline processes and procedures (operational, administrative and financial);
- Engage, empower and develop staff, including talent management, well-being and better professional versus private life balance;

- Ensure a working place fostering collaboration, communication and knowledge sharing by better working together. Concrete actions are identified and monitored, and included in Governance and Internal Control Action Plans.

To ensure that further concrete actions are taken and monitored for efficiency gains, the Management Team has agreed during 2019 internal control self-assessment to prepare and report to the Management Board, within its strategic and programming cycle, a strategy on efficiency gains and synergies for operational and financial activities. EASO will work together with other agencies to develop a dedicated methodology, primarily through the inter-agency Performance Development Network (PDN).

Based on a solid agreed methodology to implement such strategy for efficiency gains and synergies, EASO expects to achieve the greatest possible impact with the number of resources available and bring together different change initiatives with a coherent approach for leading and adapting to change.

II.7   Assessment of audit and ex post evaluation results during 2019

II.7.1   Internal Audit Service (IAS)

The IAS is the internal auditor of EASO, helping to accomplish the Agency's objectives by bringing a systematic, disciplined approach to evaluating and improving the effectiveness of risk management, internal control and governance processes. Its tasks include assessing and making appropriate recommendations for the said process in accomplishment of the following objectives: promoting appropriate ethics and values within the organisation, ensuring effective organisational performance management and accountability, and effectively communicating risk and control information to appropriate areas of the organisation. It thereby promotes a culture of efficient and effective management within EASO and its Centres/Department.

During 2019, the IAS implemented the following audit and consultancy engagements:
- Upon a request from the Executive Director ad interim, the IAS carried out a consultancy engagement on de-centralisation, between October 2018 and January 2019. EASO received the final report of 'the Consulting Report on Financial Decentralisation in EASO' on 19 June 2019.
- An audit engagement on Human Resources Management and Ethics:
   o The preliminary interviews were held in Malta from 4 to 7 November 2019, to further improve the understanding of audited processes, to exchange views and clarify expectations and ultimately, to further refine the audit objectives, scope and audit approach;
   o The fieldwork was carried out in Malta from 3 to 14 February 2020.
   The final audit scope subsequently focused mainly on ethics and integrity processes, on temporary agency workers in Malta, Italy, Greece and Cyprus, and on HR processes, namely recruitment, planning (within the HR context and including staff allocation) and performance appraisal. The draft report with preliminary recommendations is expected in June 2020.
- A follow-up audit engagement on significantly delayed very important and important IAS recommendations from previous years. One outstanding recommendation from this engagement is detailed under section II.8.1 'Follow-up of recommendations from IAS'.

II.7.2   European Court of Auditors (ECA)

ECA is the external auditor of EASO. Its work is focused on the EU financial reporting, as well as on the implementation of its budget and policies. The ECA's audit reports set out clearly and concisely its findings, conclusions and recommendations, together with the replies of the audited bodies. They

help to ensure that the transparency of the audit process makes an important contribution to the EU accountability chain.

These audit reports are used by the European Parliament and Council within the annual discharge process, to hold to account those responsible for managing the EU budget. In line with other supreme audit institutions, the ECA carries out three different types of audit: financial, compliance and performance. Each audit type has different objectives and addresses different questions. Individual audits can involve one or a combination of audit types.

During 2019, the ECA implemented the following audit missions:

- For the financial year 2018, the Annual report on EU agencies was adopted by Chamber IV of the ECA on 24 September 2019. In accordance with ECA opinion, the accounts of EASO for that year presented fairly, in all material respects, the financial position of EASO at 31 December 2018, the results of its operations, its cash-flows, and the changes in net assets for the year then ended, in accordance with its Financial Regulation and with accounting rules adopted by the Commission's accounting officer. These are based on internationally accepted accounting standards for the public sector. Also, in ECA's opinion, revenue underlying the accounts for 2018 was legal and regular in all material respects. However, the Court concluded that EASO's procurement procedures for temporary agency workers in Italy were irregular. A detailed analysis of this issue and the corrective actions already implemented by EASO are documented in under section II.8.2 'Follow-up of recommendation from ECA' and under section III.4.3 'Assessment of significant weaknesses joint combined impact on the declaration of assurance'.
- For the financial year 2019, ECA carried out 2 audit missions: from 14 to 18 October 2019 and from 24 to 28 February 2020. During both missions ECA assessed the legality and regularity of EASO operations as well as the state of play of EASO internal control systems. ECA mainly analysed finance and procurement samples, relevant payments and the state of play of EASO corrective actions regarding internal control deficiencies. ECA also focused on temporary agency and posted workers, as well as sensitive data protection. EASO received ECA's preliminary observations for the financial year 2019 very close to the date of this report. At this stage, the observations are still preliminary so there is still the possibility that they are revised following a formal adversarial procedure.
- During 2019 ECA also performed an inter-agencies' horizontal audit on performance. ECA visited EASO on a fieldwork mission for this from 27 to 29 May 2019. The Chair of the EASO Management Board also participated in a video-conference with ECA auditors. EASO has received preliminary observations through the EU Agencies Network (EUAN) and has provided its replies to ECA in May 2020.

II.8 (a) Follow-up of recommendations and action plans for audits and evaluations

II.8.1 Follow-up of recommendations from IAS

The Executive Director continuously monitors and reports to the Management Board and the Internal Audit Service on the state of play of corrective measures to implement significantly delayed very important and important IAS recommendations from previous years.

At the date of this report, the following outstanding actions have been assessed as either in progress and/or implemented by EASO Management Team:

Action	Severity	Assessment by the Management Team	Expected date of implementation
Delays in payments	Very Important	Implemented	N/A

Action	Severity	Assessment by the Management Team	Expected date of implementation
Staffing and monitoring and reporting	Very Important	In progress	Q4 2020
Monitoring of the procurement plan	Very Important	Implemented	N/A
Implementing Document Management System (ERDMS)	Important	In progress	Q3 2020

The corrective actions to implement the above-mentioned recommendations are detailed in Annex IX.

It is important to note that whilst EASO has assessed the status of some actions as 'implemented' in the table above, these actions would require to be formally assessed as 'implemented' by the Internal Audit Service.

II.8.2   Follow-up of recommendations from ECA

The Executive Director continuously monitors and reports to the Management Board on the state of play of corrective measures to implement ECA's previous years' observations. The following outstanding observations from ECA have been assessed either 'in progress' and/or 'implemented' by the Management Team:

Year	ECA observation	Assessment by the Management Team	Expected date of implementation
2014	A high number of payments were made after the time limits set in the Financial Regulation.	Implemented	N/A
2017	Despite repeated attempts (36 recruitment procedures and 100 new contracts in 2017), EASO did not succeed in recruiting enough staff.	In progress	Q4 2020
2017	EASO had problems with staff retention.	In progress	Q4 2020
2017	EASO has no internal legal service and no systematic process for the internal review of its legal documents. It outsources most of its legal work, and has no clear internal decisions or guidelines in place to govern this.	Implemented	N/A
2017	Contract monitoring for compliance with national rules was poor. Also, there were significant weaknesses in the verification of timesheets and irregularities.	Implemented	N/A
2017	In 2017, we found that EASO's procedures for monitoring travel-related expenditure were weak. In particular, supporting documents were often not required. EASO is carrying out an internal inquiry into this matter.	In progress	N/A

Year	ECA observation	Assessment by the Management Team	Expected date of implementation
2017	There were significant weaknesses in the following areas: needs assessment; the drafting of tender specifications; the choice of the type of contract, the procurement procedures followed; the deadlines set for the submission of tenders; evaluation and award methods, amendments and extensions to contracts; the implementation of contracts and the verification of services provided.	Implemented	N/A
2018	Contracts with IT companies were formulated in a way that could imply the assignment ("mise à disposition") of temporary agency workers instead of clearly defined IT services or products. This would contravene the EU Staff Regulations and EU social and employment rules. EASO should ensure that contracts are drafted in a way which prevents any confusion between the procurement of IT services and of interim workers.	In progress	Q4 2020
2018	The procurement procedure to establish framework contracts for the provision of interim workers in Italy did not respect the principle of fair competition due to significant mistakes in the technical specifications and the associated negotiation. EASO should apply EU public procurement rules rigorously.	Implemented	N/A
2018	The EASO Governance Action Plan provided an assessment of the implementation of EASO's internal control standards. The assessment brought to light significant weaknesses and inefficiencies in most of the internal control standards and assessment criteria.	Implemented	N/A
2018	EASO took substantive and positive steps aimed at improving organisational governance; however, these efforts have not yet resulted in a satisfactory internal control system taking shape.	Implemented	N/A
2018	EASO should establish an internal audit capability and effective ex-post controls.	In progress	Q1 2020
2018	There was systematic procedure for the internal review of legal documents at EASO, and we noted multiple	Implemented	N/A

Year	ECA observation	Assessment by the Management Team	Expected date of implementation
	inconsistencies in the legal aspects of public procurement procedures. EASO should put in place an internal legal service, together with an effective system for managing legal procedures and documents.		
2018	EASO should establish an effective sensitive posts policy.	Implemented	N/A
2018	EASO should establish an effective policy for managing rented premises and related services.	In progress	Q4 2020

Corrective actions to address the above-mentioned recommendations are detailed in Annex IX.

It is important to note that whilst EASO has assessed the status of some actions as 'implemented' in the table above, these actions would require to be formally assessed as 'completed' by ECA.

At the moment of drafting this Report, EASO had not yet received the final audit report[16] from the ECA for the financial year 2019. According to ECA's preliminary observations there are no material irregular payments for the underlying accounts for the year ended 31 December 2019 except for the payments carried out in relation to procurement procedures, which ECA had concluded as irregular in previous years, in particular the Framework Contact for temporary agency workers in Italy. Therefore, these payments may still be considered as irregular by ECA in the final report for the financial year 2019.

II.8 (b) Follow-up of recommendations issued following investigations by the European Anti-Fraud Office

Following receipt of the OLAF report at the end of 2018, EASO has initiated three disciplinary procedures, which are currently ongoing.

II.9 Follow-up of observations from the Discharge Authority

The Discharge Authority relies in their recommendations and discharge decision on observations related to findings issued by ECA. EASO therefore did not have a separate follow-up mechanism in place in 2019 on this subject, the actions undertaken to address observations and the implementation status of action plans are covered under II.8.2 'Follow-up of recommendations from ECA'.

Given the progress made by EASO in addressing ECA findings, the European Parliament has voted on 13 May 2020 in the plenary session in favour of adopting the discharge decision in respect of the implementation of EASO's budget for the financial year 2018.

II.10 Environment Management

This section will be addressed in the Single Programming Document 2022-2024, which will include a specific annex on the environment management.

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[16] At the moment of drafting this report, the ECA's final opinion had not been issued, the observations are still preliminary, therefore, there is still the possibility that they are revised based on the reaction on these preliminary observations by EASO.

II.11 Assessment by EASO Management

The Management Team supports the Executive Director in the implementation of the EASO organisational management structure and the internal control systems. It also takes measures to improve the internal control systems and to increase awareness and understanding of these by all staff, through training, dissemination of best practices, information and support activities, to ensure a consistent and sound financial management of EASO expenditure operations.

The outcome of the Internal Control Self-Assessment carried out by the Management Team shows the status of internal control system as effective and efficient, with the need of some improvements. When compared with the results of internal control self-assessment for 2018, the overall status of internal control systems had significantly improved in 2019.

The Management Team regularly discussed internal control and reported on the state-of-play of timely implementation of corrective actions to the Management Board, through internal control status updates. Similarly, follow-up on IAS and ECA findings were regularly presented to the Management Board and to the Management Board Preparatory Group.

The Management Team has established the structures, reporting lines, appropriate authorities and responsibilities to ensure the sound financial management and implementation of the Budget and activities. When delegating authorities and responsibilities, the Executive Director and the Management Team have used appropriate processes and technologies to assign responsibilities and segregate duties as required at various organisational levels.

The Executive Director is the Authorising Officer of EASO and as appropriate delegates authority for budget implementation, by using partially decentralised financial circuits. To this end the Responsible Authorising Officers are delegated in all Units and Sectors. The Finance and Procurement Unit acts as a counter-balancing weight, providing independent ex-ante financial verification for those expenditure transactions with higher risk and financial materiality. As a result for the low risk payment transactions a cost effective simplified financial circuit is applied, where the compulsory ex-ante financial verification is implemented by the Responsible Authorising Officer. The four eyes principle is ensured for such simplified financial circuits of payments though ex-ante initiation by members of staff other than the Responsible Authorising Officers. Mitigating controls to reduce the risk of error, irregularities and management overriding control in the absence of verification by the Finance and Procurement Unit, is foreseen to be addressed through ex-post financial verification controls.

During 2019 the new Executive Director, with the support of the Management Team, assessed the challenges and opportunities for a strategic change and strengthening of governance structures. As a result, a re-organisation and a new organogram were proposed by the Executive Director and endorsed by the Management Board in November 2019.

The design and implementation of the management and supervisory structure covers all policies and activities. During 2019, the Management Team also developed and implemented new policies and control activities to support the organisational structure and financial circuits, and to ensure that risk and control issues are timely addressed and discussed with the Management Board. The new policies and procedures were introduced in the following areas and control activities: Risk Management, Internal Control Self-Assessment, Exceptions and non-compliances, Ex-post controls, Governance Monitoring Indicators, Fraud Risk Management, Sensitive Functions, and Integrity and Ethical Values.

The Management Team has also demonstrated a commitment to attract, develop and retain competent staff within a challenging and changing environment. A long-term recruitment plan based on actual needs was therefore established, facilitating planning that allowed the Agency to address the most urgent needs, that is to recruit the management staff, the staff in compliance and support areas, and in prioritised Operational areas.

Measures were also taken based on the Governance and Internal Control Corrective Action Plan to address the staff turnover EASO had been experiencing during 2018. The following measures and control activities were also taken by the Management Team to support the staff to conciliate family life, improve internal communication and tone at the top culture:

- Flexitime arrangements;
- Teleworking;
- Schooling arrangements;
- Summary reports of all MT meetings are published on the intranet;
- All internal documents are published on the intranet and staff informed accordingly;
- Regular staff meetings are held in most units and department;
- Increased number of staff 'away days';
- Continuous efforts to ensure proper communication with colleagues in the field, e.g. through weekly video conferencing have been implemented;
- Increased attention to the role played by the staff committee;
- An exit procedure that allows the Agency to gather feedback and lessons learned from staff prior to their departure from the agency has been documented.

Last but not least, despite the progress made on the management structure and control systems of EASO, the Management Team acknowledges the need for the further improvement in the following financial management and internal control related areas:

- Reduce the number of exceptions and non-compliances below 1% of EASO Budget by the end of 2020, and below 0.5% by the end of 2021;
- Further enhance monitoring and supervision tools of late payments until systemic delays are eliminated;
- Fully resource the ex-post control function in order to adequately mitigate and reduce the risk of error, irregularities and management overriding control of procurement and expenditure operations;
- To implement a strategy for achieving efficiency gains that will be reported to the Management Board;
- To accelerate the implementation of significant and very delayed recommendations and observations from ECA and IAS.

The Management Team welcomes the progress made in 2019 on the financial management and overall governance structures of the Agency, which was further reinforced by the implementation of the new organogram for the agency on 1 January 2020.

The Management Team is fully committed to continue pursuing these improvements over the coming period.

PART II (b): EXTERNAL EVALUATIONS

Article 46 of the Agency's founding Regulation states that EASO shall commission an independent external evaluation of its achievements. Following the adoption of the terms of reference by the Management Board and the conclusion of a procurement procedure, EY (formerly Ernst & Young) was commissioned by EASO to conduct an independent external evaluation of EASO's activities covering the period from February 2011 to June 2014. All activities implemented by EASO, across all the EU Member States, were included in the scope of the evaluation. The evaluation was conducted between October 2014 and July 2015.

Since then, the Management Board has been kept informed of progress made on this action plan and the final version was presented at the Management Board meeting held in September 2017. The next external evaluation of the Agency will be determined by the Management Board.

External evaluations on the implementation of Operating Plans (OP) 2018 for Greece and Italy were conducted in early 2019. Summaries of evaluation reports were shared with the Management Board in 2019.

Since 2019, six independent external evaluations have been implemented on EASO operational interventions in Italy (OP2018 and OP2019), Greece (OP2018 and OP2019) and Cyprus (Special Support Plan period 2014-2018, OP 2019). The 2014-2018 evaluations were carried out by individual experts, whereas the 2019 evaluations were performed by the company Bearing Point. The overall aim of these evaluations was to determine the relevance effectiveness and efficiency of the operational activities performed by the Agency. The evaluations provided recommendations to support EASO internal decision-making and to improve operations and future interventions. In general, the recommendations related to lessons learned and good practices in each country of EASO activities. This included approaches to measures on asylum procedures and reception, the implementation of the results and monitoring frameworks, the existence and operation of systems, tools and mechanisms to manage quality and the effect and sustainability of training activities. It also referred to internal learning within EASO and challenges and opportunities to optimise similar operations in the future.

The external evaluations of the OP2018 were adequately followed up by the respective country teams of Italy, Cyprus and Greece based on management response sheets. As there remain a number of strategic elements which go beyond the specific remits or responsibilities of the operational country teams, the OP2019 external evaluations provided for cross-country strategic recommendations which are being responded by a dedicated management response by EASO management.

EASO country project management action plans were developed as response the recommendations and were shared with the EASO Management Board. All these recommendations are documented in 'management response sheets' to follow up on the conclusions of overall external evaluation on the implementation of Operating Plans 2019 in Cyprus, Greece, and Italy.

EASO ACGU (Asylum Cooperation and Guidance Unit) has initiated an independent evaluation of the use and impact of the EASO practical guides and tools, which are publicly available. The evaluation was carried out in 2018 by the consultancy company Ramboll through an EU-wide survey and focus group discussions in selected Member States. While the quality was evaluated very positively, recommendations aimed mainly at continuing to make the guides more practical, exploring further possible IT applications and a stronger investment in outreach activities. The implementation of the recommendations started in 2019, and resulted in 1) in the publication in the beginning of 2020 of the EASO app on the core Practical Guides and tools related to the personal interview, evidence assessment and qualification, 2) the incorporation of a reflection on the target group and format in the concept note prior to the development, 3) organisation of workshops on the EASO Quality assurance tool targeted at national asylum administrations, 4) a communication plan, including promotional video's, have been developed for the most important practical tools, 5) the translation

strategy of the practical tools being revised in order to ensure they buy-in of the involved MS, 6) html versions of the tools are being developed to make them more accessible and easier to update, 7) the EASO practical guides and tools being more systematically referred to in the EASO training modules and 8) more systematic inclusion of concrete examples in the EASO practical guides and tools. EASO is further exploring the development of additional IT applications in support of the tool, more comprehensive dissemination strategies for each tool that are being published, a set program for field visits to national administrations to promote the use of the practical tools and a permanent feedback system for the end-user.

EASO TCRU (Third Country Research Unit) has a contract with an external consultant, specialised in expert networks, who performs a 2-stage evaluation of EASO's COI network approach. The first stage was finalised in 2019 with an informal report of findings, which are being implemented with regards to a new format for COI Strategic Networking meetings, the use of collaborative tools online, and finding common grounds/interests for the network members to collaborate on. The second stage is ongoing, focusing on the EASO country-specific COI networks and will be finalised in 2020.

EASO is planning to reinforce its commitment to pursue further improvements in the organisational performance by implementing horizontal evaluations into its quality assurance system. Evaluations will be carried out to assess the effectiveness and the impact across the range of the Agency's activities and deliverables. The evaluation topics will be based on the strategic and operational needs of the Agency, in line with the identified risks and non-conformities, and action plans will follow for the implementation of the evaluation recommendations.

PART III: ASSESSMENT OF THE EFFECTIVENESS OF THE INTERNAL CONTROL SYSTEMS

III.1   Effectiveness of the internal control systems

Decision No 42 of the Management Board[17] of EASO of 21 December 2018 introduced a new Internal Control Framework (further MB Decision no. 42), which replaced the former Internal Control Standards.

EASO's new Internal Control Framework consists of five internal control components which are built on 17 principles, based on the COSO 2013 Internal Control-Integrated Framework, and further supported by a number of characteristics.

III.1.1   Methodology and control activities applied for the assessment of effectiveness

The methodology for the annual assessment is documented in a Decision of the Director[18] of EASO of 17th April 2019 on the Internal Control Framework Monitoring Criteria and Internal Control Self-Assessment Methodology for 2018 and 2019 (further ED Decision no. 94).

These control activities are intended to provide quality assurance to the Executive Director on the achievement of EASO objectives This section outlines the main control activities that are in place and functioning for the assessment of the efficiency and effectiveness of the five Internal Controls Components: (a) Control Environments, b) Risk Management; c) Control Activities; d) Information and Communication and e) Monitoring Activities, together with established internal control principles.

III.1.1.1   Control environment

Principles
1. The Agency demonstrates a commitment to integrity and ethical values.
2. The Management Board demonstrates independence from management and exercises oversight of the development and performance of internal control.
3. The Management establishes, with political oversight, structures, reporting lines, and appropriate authorities and responsibilities in the pursuit of objectives.
4. The Agency demonstrates a commitment to attract, develop, and retain competent individuals in alignment with objectives.
5. The Agency holds individuals accountable for their internal control responsibilities in the pursuit of objectives.

During 2019, the Agency has made considerable efforts to improve the internal control systems and demonstrates its commitment towards continuous progress.

The main sources of information for the assessment of EASO control environment were the staff engagement survey and ex-post control implemented in house. Among others, the following effective control were identified:
  - The new Internal Control Framework was adopted by MB Decision 42 of 21 December 2018[19]. The document clearly defines the roles and responsibilities of the Management Board, Executive Director, Responsible Authorising Offices, ICC, and Finance and Procurement Unit in the implementation of the internal control framework.

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[17]   EASO/MB/2018/159
[18]   EASO/ED/2019/094
[19]   EASO/MB/2018/159

- EASO has demonstrated dedicated efforts towards increase of internal control competences of all the staff involved on the implementation of expenditure operations. Majority of staff involved in the financial circuits have been trained on Internal Control and fraud prevention through multiple training sessions in 2018, 2019 and 2020.
- An ICC was appointed in January 2019.
- EASO reorganisation contributed towards reinforcement of certain horizontal functions in EASO:
    - There is a separate Legal Affairs and Data Protection Sector established in the Executive Office. The legal function was reinforced in EASO already in 2019 by recruiting a senior legal officer;
    - The Internal Control and Risk Management Sector was established in 2020 following the reorganisation.
    - EASO established a new internal control and ex-post controls function together with guidance for implementation of ex-post controls and a code of professional standard for the staff implementing ex-post controls. EASO expect to reinforce this function on 2021;
    - Governance and quality assurance have been also reinforced.
- The ED has created several communication channels to ensure that accurate and reliable information is provided to the Management Board to enable it to exercise its role in overseeing the development and performance of the internal control.
- Ethics and integrity processes were reinforced, including awareness raising measures.
- An EASO policy on protecting the dignity of the person and preventing psychological harassment and sexual harassment was adopted by MB Decision 50 on July 2019.
- EASO also implemented a procedure for the nomination of Confidential Counsellors together with other agencies.
- An Ethics Correspondent, who is a member of the HR team, was nominated and information about this role was provided to the staff.
- An E-Recruitment solution launched in first quarter 2020 in order facilitate recruitment process in EASO, in particular, automate the recruitment process to the possible extent – both for internal and external users and to enable the potential candidates to apply and submit applications efficiently to open vacancies. It will highly contribute to successful implementation of recruitment plan for 2020.
- Training for all staff involved on the financial circuits is also implemented in house by the Finance and Procurement Unit. The Finance and Procurement Unit staff is being certified by DG BUDG to provide Expenditure Lifecycle and basic procurement trainings to all EASO staff.
- The Finance and Procurement Unit was reinforced with additional resources to increase the support and the assurance provided to other Units.
- Since 2019, appraisal exercise was run via an automated tool in e-HR, the tool provides appraisal exercise calendar and all relevant information. In addition, all necessary information is published in the dedicated intranet section and communicated to members of staff by email.
- HR has also developed a guidance on how to address underperformance and communicated it to all the line managers during 2019.

Both the Management Board and the Management Team, set the tone at the top for the importance of the internal control during 2019.

III.1.1.2 Risk assessment, including risks of fraud

Principles
6. The Agency specifies objectives with sufficient clarity to enable the identification and assessment of risks relating to objectives. 7. The Agency identifies risks to the achievement of its objectives across the organisation and analyses risks as a basis for determining how the risks should be managed. 8. The Agency considers the potential for fraud in assessing risks to the achievement of objectives. 9. The Agency identifies and assesses changes that could significantly impact the internal control system.

In 2019 EASO developed a new Risk Management Manual[20] in order to better identify, assess and respond to potential issues that could affect the execution of the Agency's activities and the achievement of its objectives that is implemented through the following five main steps:
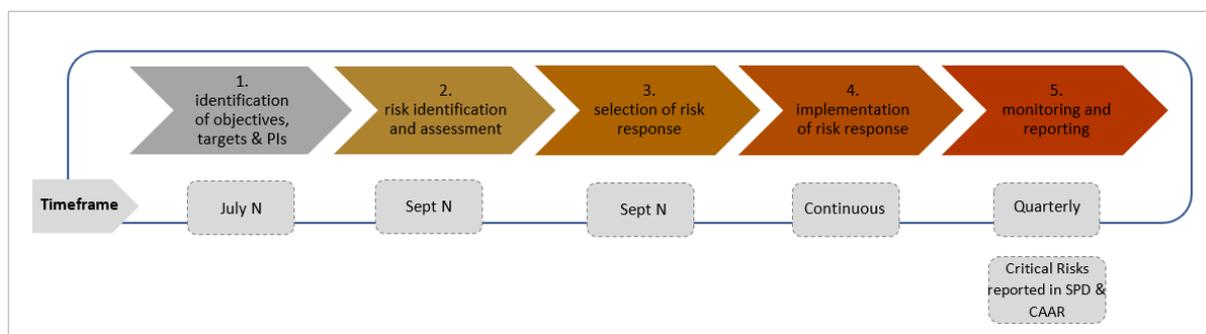
The risk identification exercise was performed by a combination of bottom-up and top-down approaches. The risks identified are assessed based on the likelihood of occurrence and significance of potential impact at a residual level, taking into consideration the existing controls.

Respective mitigating actions and controls to reduce these risks to an acceptable level are selected and implemented. The Agency's risk assessment is to be followed up periodically and updated, to appropriately reflect the changes within the organisation and the implementation of the different actions. Monitoring of and reporting on the identified critical risks and the updates on the risk responses and/or the need for further actions are to be reported periodically to the Management Board.

EASO is continuously improving its ability to identify, prioritise and manage risks. In this context, the Agency has initiated steps to ensure that the risk management exercise is performed in a more comprehensive and thorough way, and integrated in the culture and conduct of all EASO's activities.

Following the introduction of the Agency's new internal control framework and the risk management guidance applied by the Commission for its own departments, the new process allows for the alignment of the risk management exercise with planning and programming cycle. Reflecting this new methodology, a risk management manual has been approved by the Executive Director in September 2019, which is based on principles referred to in the Implementation Guide of the "Risk Management in the Commission".

EASO monitors the quarterly the state of play of risk responses for significant and critical risks:

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[20] EASO/ED/2019/254 of 24.09.2019 on the Risk Management Manual

Status of mitigating actions against critical and significant risks in Q1 2020

Owner of action	Number of mitigating actions	Number of implemented actions	Number of actions in progress	Actions not started
TOTAL	108	45	60	3
VARIOUS ACTORS IN RESPONSE TO A RISK ON COVID-19	16	14	2	0
ICT UNIT, ADMINISTRATION DEPARTMENT	3	0	3	0
FINANCE AND PROCUREMENT UNIT,…	15	11	2	2
HUMAN RESOURCES AND SECURITY UNIT,…	5	3	2	0
ASYLUM COOPERATION AND GUIDANCE UNIT (C3)	8	0	8	0
HORIZONTAL OPERATIONS AND EXTERNAL…	5	1	4	0
COUNTRY OPERATIONS UNIT (C1)	39	13	25	1
EUROPEAN AND INTERNATIONAL COOPERATION UNIT	1	1		0
COMMUNICATION AND PUBLIC RELATIONS UNIT	2	1	1	0
EXECUTIVE OFFICE	14	1	13	0

At the date of this report, 89% of risk responses had been implemented within the target deadline.

% of implementation of mitigating measures against significant and critical risk by Q1 2020

- Implemented — 11%
- Corrective Actions due — 89%
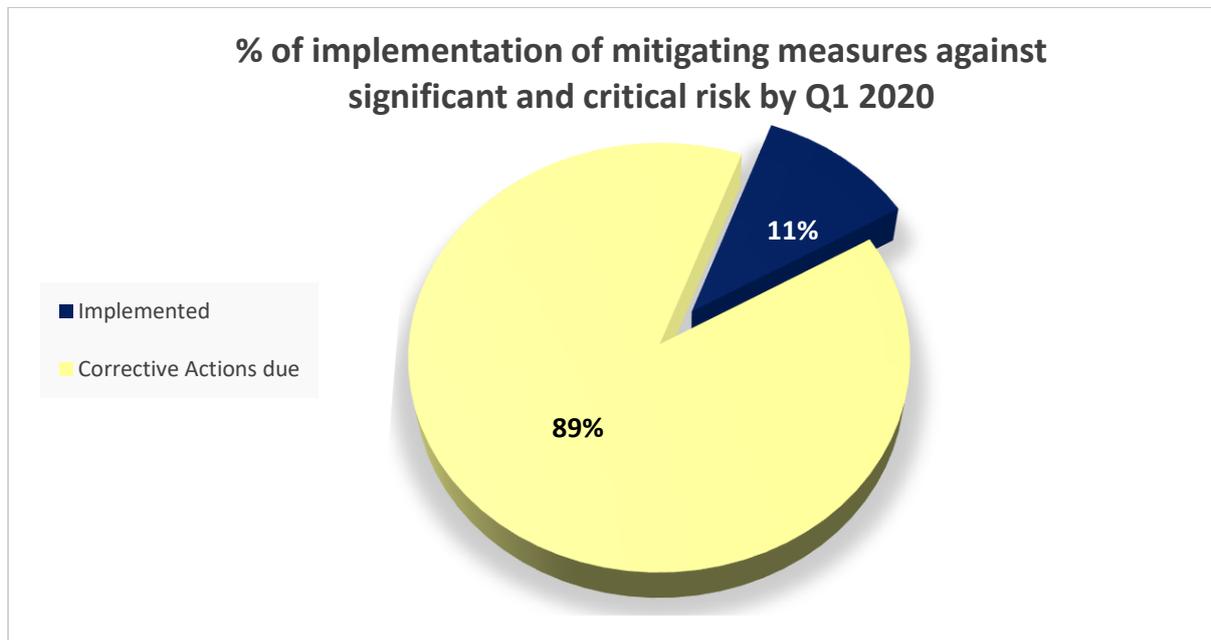
Regarding the risk of fraud, the first specific fraud risk assessment exercise conducted in EASO in April 2020.

EASO management has taken the necessary steps to ensure that the risk management exercise is performed in a more comprehensive and thorough way, and integrated in the culture and conduct of all EASO's activities. This includes an objective and thorough follow up of the proposed corrective actions contained in risk register, and the reassessment of risks. This is of paramount importance

considering that EASO operates in a very dynamic environment and undergoing changes in the internal and external conditions.

The EASO Anti-Fraud Strategy 2020-22 was discussed by the EASO Management Team in May Q2 2020 in order to define how the anti-fraud objectives and priority measures are addressed, based on priority controls activities resulted from the outcome of the fraud risk assessment exercise.

III.1.1.3 Control activities

Principles
10. The Agency selects and develops control activities that contribute to the mitigation of risks to the achievement of objectives to acceptable levels.
11. The Agency selects and develops general control activities over technology to support the achievement of objectives.
12. The Agency deploys control activities through corporate policies that establish what is expected and in procedures that put policies into action.

During 2019, EASO implemented and undertook several control activities to ensure mitigation of risks related to the achievement of policy, operational and internal control objectives. These controls activities were performed at all levels of the organisations, at various stages of business processes and across technology environment.

The following is a non-exhaustive list of the main control activities put in place during 2019 and 2020:
-   A Financial Manual and an SOP on Procurement was documented and adopted by the Executive Director in 2019 and presents the internal guidelines of the European Asylum Support Office ('EASO') related to the responsibilities, workflows, financial circuits and main reporting lines of the processes indicated below:
    •   Procurement and Contract Management
    •   Exceptions and Non-Compliance Events
    •   Governance and Control Strategy
    •   Delegations, Sub-delegations and Nominations of staff involved in budget Implementation tasks
    •   Budget and Appropriations Management
    •   Commitments
    •   Invoices, Cost Claims and Payments
    •   Missions
    •   Asset Management
    •   Single Programming Document and Consolidated Annual Activity Report
    •   Business Continuity (BC) Governance Board was established by ED Decision No 219 on 16 April 2019[21], the Board provides strategic guidance to EASO's continuity plans in case of major disruption of normal activities;
    •   Management of sensitive functions is a standard element of internal control, which aims to reduce to an acceptable level the risks of misuse of power delegated to staff members; a Policy for the identification and management of sensitive functions within EASO was adopted in September 2019[22];
    •   A new Manual for management of exceptions and non-compliance events was established as ED decision in October 2019[23];

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[21] EASO/ED/2019/219
[22] EASO/ED/2019/301
[23] EASO/ED/2019/417

- The ICT strategy for outlook 2019-2021 was adopted by the MT on 8/02/2019[24];
- Information systems security standards were approved and documented;
- External evaluations on the implementation of Operating Plans 2019 in Cyprus, Greece and Italy have been finalized in April 2020 and followed upon the evaluation results of 2019 (results of 2018). Summaries of evaluation reports were shared with MB in 2019. In addition, the outcome of evaluations (management response sheets (action plans)) are available for each country that were reported to the MT in 2019 and 2020 accordingly;
- A paperless Quality Assurance Assessment process has been put in place and the quality assurance board meets quarterly and documents the checks and propose corrective actions.

The Agency is committed to deploy control activities through corporate policies and management periodically reassess the control procedures to ensure they remain relevant. New controls activities were identified by Management Team in order to improve control activities and to be implemented during 2020. Those are documented in the "Internal Control Self-Assessment Action Plan" in Annex IX.

III.1.1.4 *Information and communication*

Principles
13. The Agency obtains or generates and uses relevant quality information to support the functioning of internal control.
14. The Agency internally communicates information, including objectives and responsibilities for internal control, necessary to support the functioning of internal control.
15. The Agency communicates with external parties about matters affecting the functioning of internal control.

EASO has developed information and document management system to process relevant data, captured from internal and external sources, to obtain the required and expected quality information, in compliance with applicable security, document management and data protection rules.

Regarding Internal Communication, the Executive Director communicates internally about objectives, actions taken and results achieved on the implementation of the internal control.

The agency has also put in place policies and processes to ensure that external communication is consistent and relevant to the audience that it is targeted.

The following is a non-exhaustive list of control activities implemented in this area to assess and ensure efficiency and effectiveness of this internal control component:
- EASO Business classification scheme, Record retention and disposal policy has been documented and will be approved in 2020.
- EASO document management system (ERDMS) was further developed and will be fully implemented in 2020.
- Training sessions on ERDMS and record management are organised proactively during the year.
- Compliance with data protection rules is ensured by implementation of Standard Operating Procedures that are duly documented.
- An internal communication plan is implemented and monitored, that includes, among others the following communication tools (a non-exhaustive list):

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[24] EASO ICT Strategy 2019-2021

- The staff is kept regularly updated on the main political/operation developments during the core business briefings and asylum policy updates are sent to all staff periodically.
- There were 14 brown bag lunches and 4 info sessions for all staff in 2019 covering administrative and core business topics.
- There were 2 all staff meetings in 2019.
- An Internal newsletter is made available to staff on a monthly basis.
- Every quarter, EASO staff receives also an external newsletter on EASO activities.
- EASO has put effort to improve internal communication by organising numerous internal events: all staff team building day, intercultural afternoon for all staff, EASO info day and 18 teambuilding, planning and brainstorming events at unit/sector.
- The EASO intranet is being revamped, including a section for governance, risk management and internal control. The intranet page offers both professional information and also contributes to social interaction between EASO staff.
- Newcomers Induction programme running successfully (14 induction sessions in 2019).
- VC facilities ensure proper participation of staff not based in headquarters in all the meetings. Internal events are also recorded and then uploaded on the EASO Intranet. Staff members can access these recordings at any time.
- Staff members responsible for internal communication are supported by a Matrix group on internal communications. The Matrix group serves for information exchange between centres/units and the communications assistant responsible for internal communications. Meetings were hold once per month.
- In 2019, EASO had already undertaken several internal communications activities in support of internal controls, including the publication of two articles in the "EASO Insider" and an interview with the ICC. In addition, staff were informed and encouraged to take part in the Internal Control training sessions. An Internal Control Survey was also launched, which was supported by internal communications. Moreover, an update of the ICRM sector intranet page was launched in 2019 and the brown bag session planned.
- Summary reports of all MT meetings are published on the intranet and are available to all staff. All internal documents are published on the intranet, archived in ERDMS and staff informed accordingly.
- EASO Guidelines on Whistleblowing were adopted by MB decision No 57 of 20 September 2019 and the staff was informed accordingly by email from EASO HR. The whistleblowing procedure is explained to staff on various occasions: training on Ethics and Integrity, induction training on the same subject, and Internal Control/Anti-fraud training.
- A new external communication strategy has been approved by the Executive Director and the Management Team. The communication strategy was presented to staff.
- The agency monitors and evaluates its communication activities base on pre-defined SMART objectives and KPIs which are reported in the CAAR.

The Agency is committed to deploy control activities through Information and communication processes. To this end, new controls activities were identified by the Management Team in order to improve efficiency and effectiveness of this component during 2020 (Annex IX).

III.1.1.5 Monitoring activities

Principles
16. The Agency selects, develops, and performs ongoing and/or separate assessments to ascertain whether the components of internal control are present and functioning.

> 17. The Agency assesses and communicates internal control deficiencies in a timely manner to those parties responsible for taking corrective action, including the Management Board and senior management, as appropriate.

Continuous and specific assessment tools are used by the Executive Director to ascertain whether each of the five components of internal control are present and functioning. The assessments are built into the business processes at different levels of the Agency and provide information of any governance, internal control and risk management deficiencies. Findings are assessed centrally by the ICC, re-assessed by the Management Team and communicated and corrective actions planned and documented.

The assessment of the Internal Control System that is carried out by the Management Team, in coordination with the ICC, was performed at three levels:
- at the level of the principles (based on the analysis of the detected strengths and deficiencies);
- at the level of the components (based on an analysis of the results at principle level);
- at the level of the internal control system as a whole (based on an analysis of the results at component level).

For the internal controls self-assessment, 81 internal control monitoring criteria indicators were assessed as the primary source of information. It was concluded that 88% of monitoring criteria were either achieved (56%) or partially achieved (32%) as shown in the graph below:

Measured values of IC Monitoring Criteria 2019

Legend:
- Achieved
- Partially Achieved
- Not Achieved

Values: 45 (56%) Achieved; 26 (32%) Partially Achieved; 10 (12%) Not Achieved
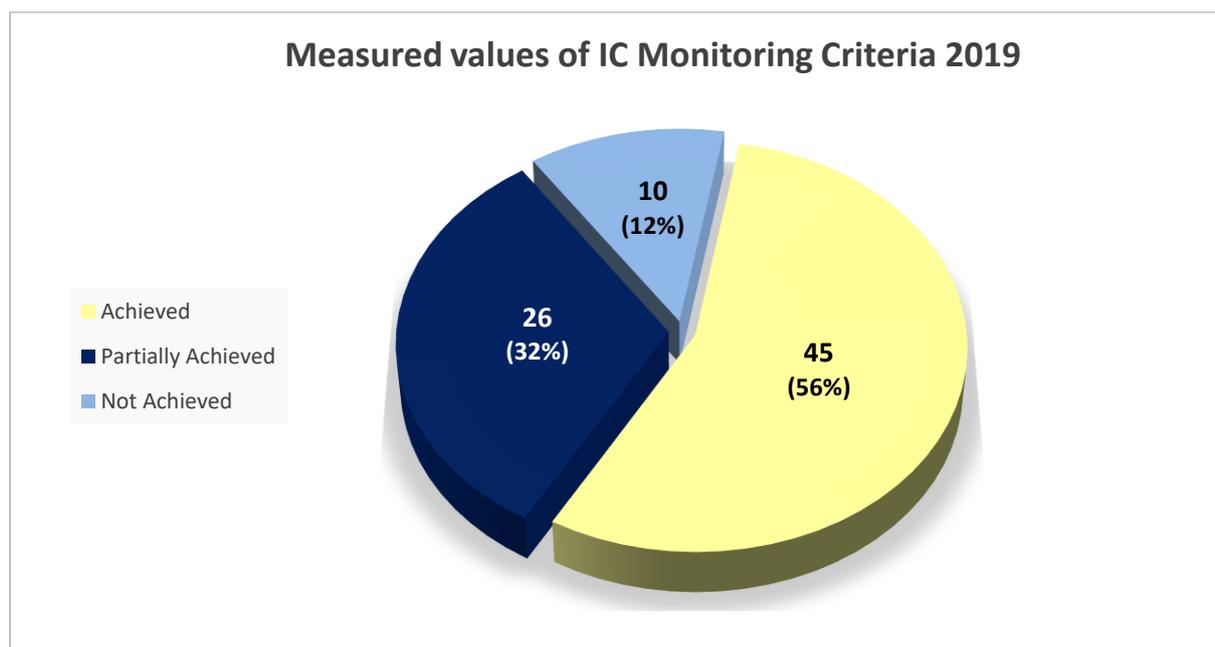
The Management Team, with the support of the ICC, classified the severity of internal control deficiencies using professional judgment. The deficiencies identified from the primary and secondary sources of information need to be categorised by severity as follows:
- **Minor deficiency** - it has a minor impact on the presence and/or functioning of the principle. The principle is in place and functions well, only minor improvements are needed.
- **Moderate deficiency** - it has a moderate impact on the presence and/or functioning of the principle. With such a deficiency, the principle is in place and functions but some improvements are needed.
- **Major deficiency** - it has a significant impact on the presence and/or functioning of the principle, but the principle is partially effective. With such a deficiency, the principle is partially in place and/or is partially functioning; substantial improvements are needed.

- **Critical deficiency** - it has a fundamental impact on the presence and/or functioning of the principle and the principle is not effective. With such a deficiency, the principle is not in place and/or essentially does not function as intended.

At principle level, the assessment was documented based on the following methodology:
- The existence of a critical internal control deficiency or combination of several major deficiencies determines that the principle in general is not effective.
- When a major deficiency or combination of moderate deficiencies exists, the Management Team shall conclude that the principle is partially effective.
- A critical/major deficiency in one principle cannot be mitigated to an acceptable level by the effectiveness of other principles.

Based on the above, the principles and characteristics were as follows:
- **Category 1 (Fully Effective)**
  The principle is present and functioning well, only minor improvements needed.
- **Category 2 (Effective)**
  The principle control system is present and functioning but some improvements are needed.
- **Category 3 (Partially Effective)**
- The principle is partially present and functioning, major improvements are needed.
- **Category 4 (Not effective)**
  The principle is not present and functioning.

The same rationale was applied subsequently at **component level** and to the **overall assessment** of the internal control system.

- If one principle is not present and functioning (category 4) or if several principles need major improvements (category 3), the Management Team concluded that the component is not present and functioning and that the system of internal control is not effective. However, management may conclude that the component is partially present and functioning and that the internal control system is partially effective if it demonstrates that the impact of the identified deficiency is compensated by other controls which increase the likelihood that the Service will achieve its objectives.
- If one principle needs major improvements (category 3) or if several principles require some improvements (category 2), the Management Team concluded that the component is partially present and functioning and that the system of internal control is partially effective. However, management may conclude that the component is present and functioning and that the internal control system is effective with some improvements needed, if it demonstrates that the impact of the identified deficiencies is compensated by other controls which increase the likelihood that the Service will achieve its objectives.
- The final conclusion was based on professional judgement of all the Management Team with the support of the ICC. In particular, the Management Team assessed whether the components are operating together in an integrated manner.

The Agency is committed to deploy effective and efficient monitoring activities. To this end, new controls activities were identified by the Management Team in order to improve efficiency and effectiveness of this component during 2020. Those are available in Annex IX, 'Internal Control Self-Assessment Action Plan'.

III.1.2 Information on how effectively the internal control principles are implemented:

The outcome of the Internal Control Self-Assessment 2019 carried out by the Management shows the status of internal control system as effective and efficient internal controls in EASO:

- 3 (18%) of the Internal Control Principles are fully effective, present and are functioning (Category 1);
- 14 (82%) of the Internal Control Principles are effective, meaning that are present and functioning, but needs some improvements (Category 2).
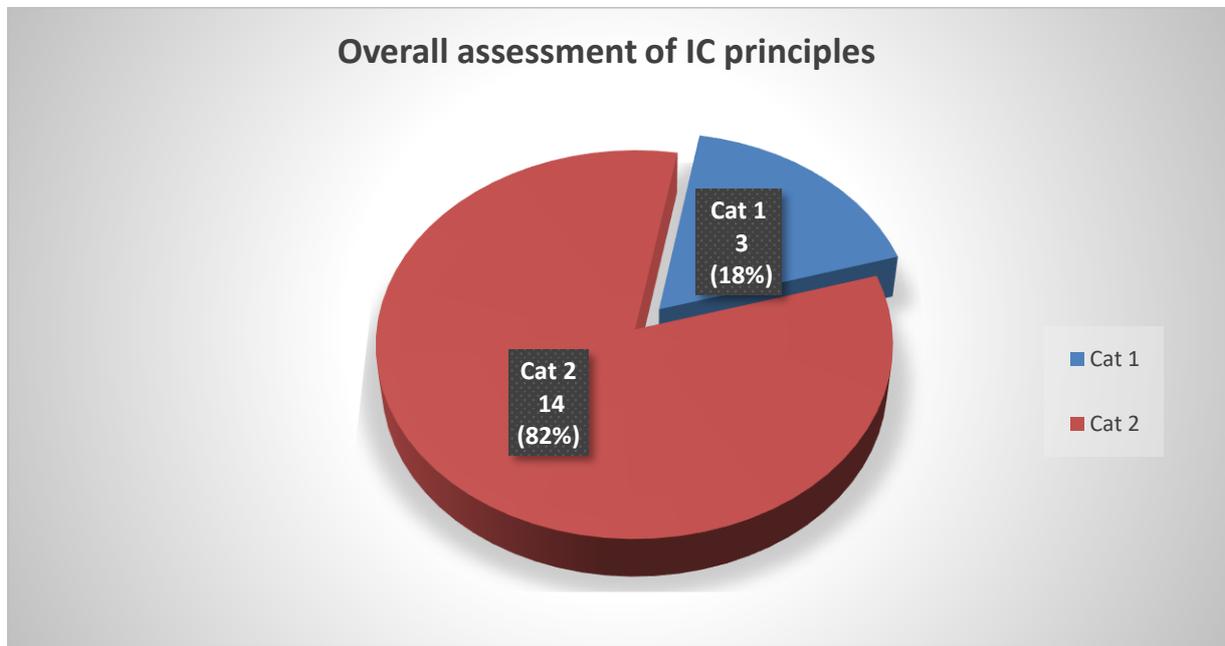
When compared with the results of internal control self-assessment for 2018, the overall status of internal control systems has improved as showed in the following picture:
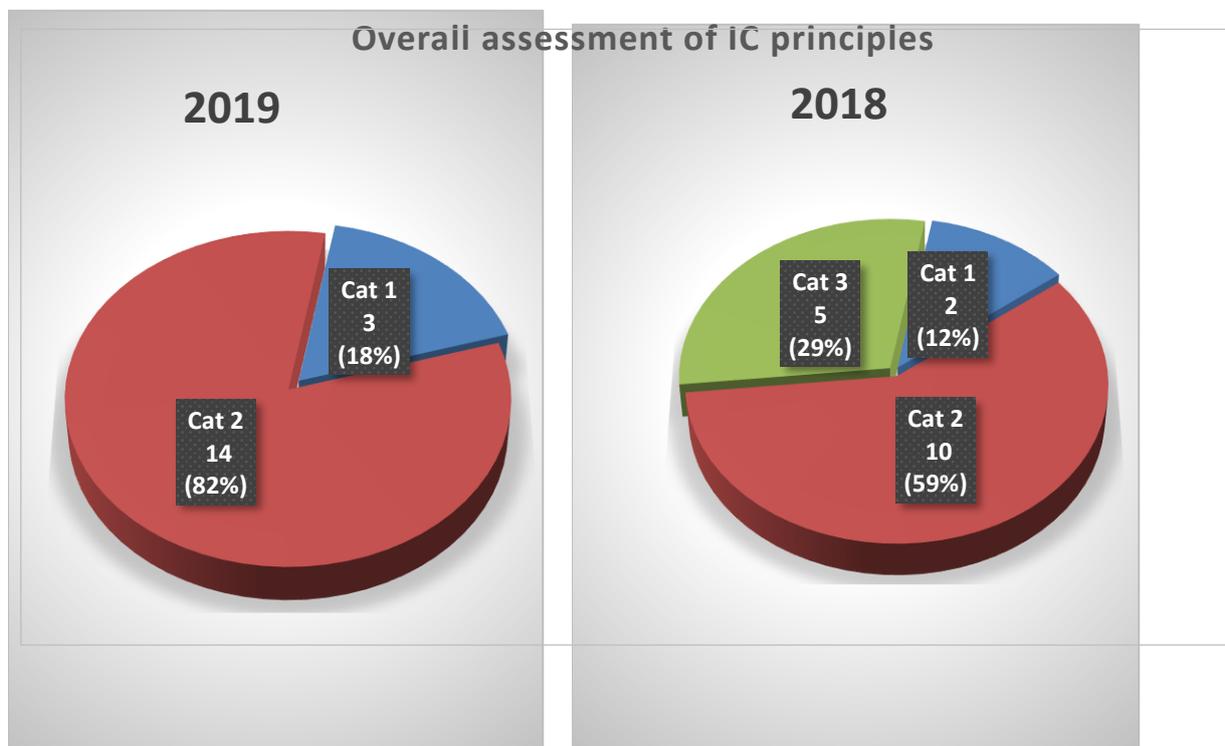
The Management Team identified 112 corrective actions (in comparison to 135 corrective actions in 2018) to immediately address 44 documented inefficiencies (in comparison to 68 of 2018) of internal control systems of EASO.

III.1.3   Information on the principles with which the agency does not comply yet

As an outcome of Internal Control Self-Assessment for the financial year 2018 there were 68 deficiencies identified and 135 corrective actions agreed in order to improve EASO internal control system. 128 corrective actions were due by Q1 2020, out of them, 94 corrective actions (73 %) to address internal control inefficiencies have been implemented within the agreed target deadline or before it. It is important to note that there are no more not started actions and all the corrective actions are either implemented or in progress.

Implemented corrective actions by the end of Q1 2020

34 actions (27%)

94 actions (73%)

■ Implemented
■ Not implemented on time
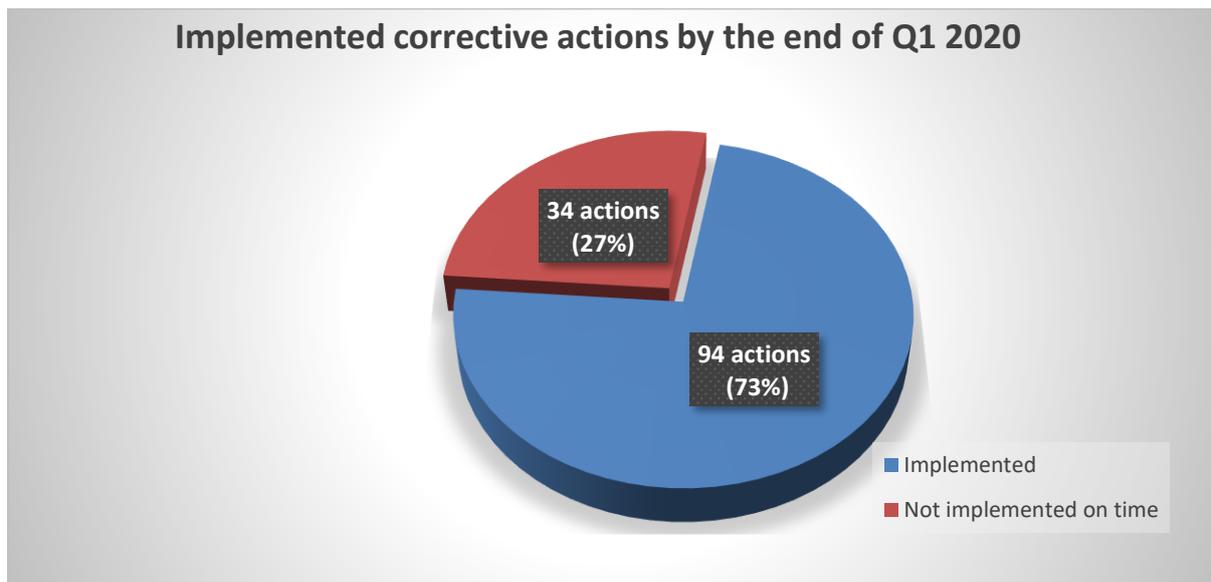
As an outcome of the Internal Control Self –Assessment for the financial year 2019, a corrective action plan has been agreed and approved by the Management Team to correct the 44 internal control inefficiencies enclosed in Annex II through 112 corrective actions agreed by the Management Team.

The status of implementation of the corrective actions at the date of this report is as following:

Status of Implementation of Corrective Actions to date

11 (10%)

52 (46%)

49 (44%)

■ Implemented
■ In Progress
■ Planned
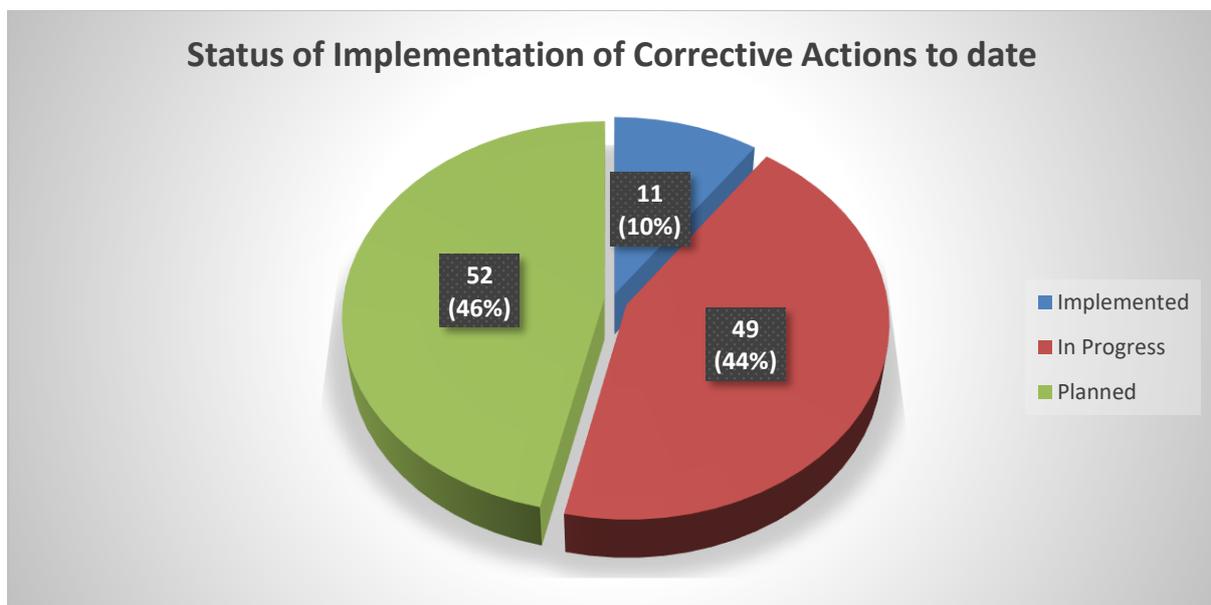
Because of the status of implementation of corrective actions in the Register of deficiencies and corrective action plan resulting from 2018, several deficiencies could not be closed and are pending and listed again as an outcome of Internal Control Self –Assessment for the financial year 2019.

In particular, 24 deficiencies are pending and there were 20 new deficiencies identified as an outcome of Internal Control Self – Assessment for the financial year 2019.
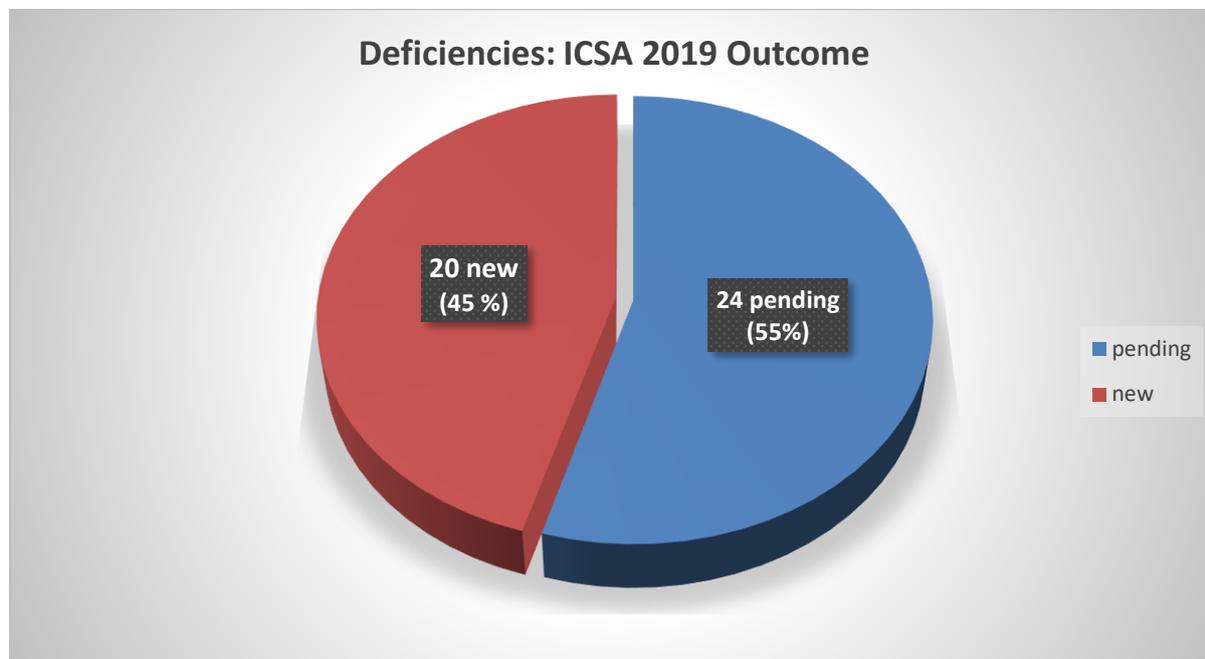
EASO monitors and reports regularly to the MB on the state of implementation of the internal control self-assessment corrective action plan available in Annex IX.

III.1.4   Prevention, detection and correction of fraud

EASO applies a zero-tolerance policy with regard to fraud. However, at the same time it recognizes that it is virtually impossible to prevent all cases of fraud. Thus, the implementation of fraud prevention objectives, priority measures and controls are set out in this Anti-Fraud Strategy aim to maximize the likelihood that fraud will be prevented or detected in a timely manner, and creating a strong fraud-deterrence effect. Such strategy has been developed in light of the results of a fraud risk assessment exercise implemented in April 2020 for the 2020-22 outlook period. An Anti-Fraud Strategy has been endorsed by EASO Management Team and will be adopted by the Management Board in June 2020.

III.1.4.1   *Implementation of the EASO anti-fraud strategy*

EASO identified **five fraud prevention risk management objectives** to enable the identification and assessment of incentives, pressures, opportunities and attitude which may lead to any type of fraud. These five fraud risk management objectives fully support, are entirely consistent with, and parallel the EASO Internal control Framework's 17 internal control principles and 5 components. Based on the pre-defined fraud prevention risk management objectives, EASO's Management Team, with the support of the ICC, has adopted the **priority measures** outlook for 2020-2022 (as set out in the table above) to consider and address possible incentives, pressures, opportunities and attitudes which may lead to any type of fraud, notably fraudulent reporting, loss of assets, disclosure of sensitive information and corruption.

For each priority measure, the Management Team has documented the **control activities**[25] defined or planned in EASO in order to provide reasonable assurance to the ED on the achievement of the fraud prevention objectives and priority measures.

The control activities linked to the priority measures and fraud prevention objectives are documented in Annex X.

III.1.4.2   Mechanisms put in place for EASO Anti-Fraud Strategy monitoring

The Anti-Fraud Strategy will be part of EASO's risk management process, but given the importance and complexity of the issue, fraud is addressed in a dedicated, comprehensive specific fraud risk management process, which runs in parallel of the annual risk management exercise, though closely interlinked with it and based on the COSO fraud risk management methodology. Therefore, despite it being part of the internal control system, the EASO fraud risk management process is deemed as a separate, additional tool to further strengthen the internal control systems.

The Fraud Risk Register is monitored quarterly feedback provided to the Management Team through quarterly reports on Risk Management.

The different aspects of the Anti-Fraud Strategy will be discussed and evaluated in an annual dedicated meeting by the Management Team on Fraud Risk Management where the Fraud Risk Register will be up-dated accordingly.

The results of the annual fraud risk assessment will be also communicated to the Management Board and when appropriate discussed as part of the Agenda of the plenary meetings.

The discussions with the Management Board, include systemic aspects, including follow-up on OLAF investigation-based recommendations, as well as the overall progress of corrective actions included in the Fraud Risk Register Action Plan.

III.1.4.3   Implementation and monitoring of EASO's policies for the prevention and management of conflicts of interest

The Common Approach on EU decentralised Agencies endorsed in July 2012 by the European Parliament, the Council of the EU and the European Commission and the roadmap thereof adopted in December 2012 mention the need to address the issue on prevention and management of conflict of interest in order to enhance the EU Agencies accountability, transparency and good management.

Based on the guidelines drafted by the European Commission, EASO adopted a policy which aims at setting out a number of principles, procedures and tools aimed at preventing, identifying and managing situations of conflict of interest. This policy is now under revision and re-assessment to ascertain it is up-dated and complete in accordance to EASO new regulatory provisions regulations and to adapt it to the new organisation structure adopted on January 2020.

This policy applies to:
–   All EASO staff and other personnel delivering services at EASO (officials, temporary agents, contract agents, SNE, trainees, and interims);
–   Members of the Management Board, including alternate members, observers and national experts;
–   EASO working parties or networks members and experts.

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

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[25]   This overview entails a 'snapshot' of the situation at the time of adoption of this present MB Decision. As such, the most up to date overview is subject to regular change over time.

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.

III.2   Conclusions of assessment of internal control systems

III.2.1   The overall result of the management assessment of the effectiveness of internal control systems

The assessment of the Internal Control System was carried out by the Management Team, in coordination with the ICC. Based on the results of this internal control self-assessment, performed as described in the objectives and scope, it is considered that the internal control system in place in EASO have highly improved during 2019 compared to 2018 and all the principles in place are effective but improvements are needed:

Components	Principles	Assessment & Category
I. **Control environment**	1. Demonstrates commitment to integrity and ethical values	Category 2 "Effective"
	2. Exercises oversight responsibility	Category 2 "Effective"
	3. Establishes structure, authority and responsibility	Category 2 "Effective"
	4. Demonstrates commitment to competence	Category 2 "Effective"
	5. Enforces accountability	Category 2 "Effective"
II. **Risk assessment**	6. Specifies suitable objectives	Category 2 "Effective"
	7. Identifies and analyses risk	Category 1 "Fully effective"
	8. Assesses fraud risk	Category 2 "Effective"
	9. Identifies and analyses significant change	Category 1 "Fully effective"
III. **Control activities**	10. Selects and develops control activities	Category 2 "Effective"
	11. Selects and develops general control over technology	Category 2 "Effective"
	12. Deploys through policies and procedures	Category 2 "Effective"
IV. **Information and communication**	13. Uses relevant information	Category 2 "Effective"
	14. Communicates internally	Category 2 "Effective"
	15. Communicates externally	Category 1 "Fully effective"
V. **Monitoring activities**	16. Conducts ongoing and/or separate assessments	Category 2 "Effective"
	17. Assesses and communicates deficiencies	Category 2 "Effective"

At the level of the components (based on an analysis of the results at principle level) all the components are effective, whilst improvements are needed:

Internal control Component	Present and functioning (Category 1/2/3/4)	Explanation/Conclusion
CONTROL ENVIRONMENT	**Effective (Category 2)**	All five principles are effective, but need improvements (category 2), the Management Team concludes that the component is present and functioning and that the system of internal control is effective, but some improvements are needed.
RISK ASSESSMENT	**Effective (Category 2)**	All four principles are effective, but two of them need improvements (category 2), the Management Team concludes that the component is present and functioning and that the system of internal control is effective, but some improvements are needed.
CONTROL ACTIVITIES	**Effective (Category 2)**	All three principles are effective, but need improvements (category 2), the Management Team concludes that the component is present and functioning and that the system of internal control is effective, but some improvements are needed.
INFORMATION AND COMMUNICATION	**Effective (Category 2)**	All three principles are effective, but two of them need improvements (category 2), the Management Team concludes that the component is present and functioning and that the system of internal control is effective, but some improvements are needed.
MONITORING ACTIVITIES	**Effective (Category 2)**	Both principles are effective, but need improvements (category 2), the Management Team concludes that the component is present and functioning and that the system of internal control is effective, but some improvements are needed.

At the level of the internal control system as a whole, given that all five component are effective (category 2) and all the principles are fully effective (category 1 – 3 principles) and efficient (category 2 – 14 principles), and after considering the residual risk after the approval of the Management team of the corrective action plan available in Annex IX, the Management Team concluded that the internal control systems of EASO are present and functioning (effective) while improvements are needed. The assessment is done with the understanding that resources will be duly allocated for the implementation of the corrective action planned by the Management Team and summarised in Annex IX.

III.3   Statement of the Manager in charge of risk management and internal control

I, the undersigned,

Manager in charge of risk management and internal control within the European Asylum Support Office,

In my capacity as manager in charge of risk management and internal control in EASO, I declare that, in accordance with Decision No. 42 of the Management Board of EASO of 21 December 2018 on the Internal Control Framework, I have reported my advice and recommendations on the overall state of internal control to the Executive Director.

I hereby certify that the information provided in Part II 'Management' and 'External Evaluation', Part III 'Assessment of effectiveness of the internal control systems' and Part IV 'Management Assurance' of the present Consolidated Annual Activity Report and in its annexes is, to the best of my knowledge, accurate, reliable and complete.

Malta, 28th May, 2019

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(original signed)

Gerardo KNOUSE RAMIREZ
Internal Control Coordinator[26]

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[26]   Mr Gerardo Knouse Ramirez took up duties of the Internal Control Coordinator in January 2019 and is the Head of the Internal Control and Risk Management Sector in the Executive Office.

PART IV: MANAGEMENT ASSURANCE

III.4 Review of the elements supporting assurance

III.4.1 Brief description of the building blocks of assurance

EASO's corporate governance framework (i.e. the way reliable information and assurance is provided to the MB in order to effectively monitor the activities implemented by the Executive Director towards the achievement of EASO's objectives) is ensured through the following three main lines of defense or building blocks of assurance:
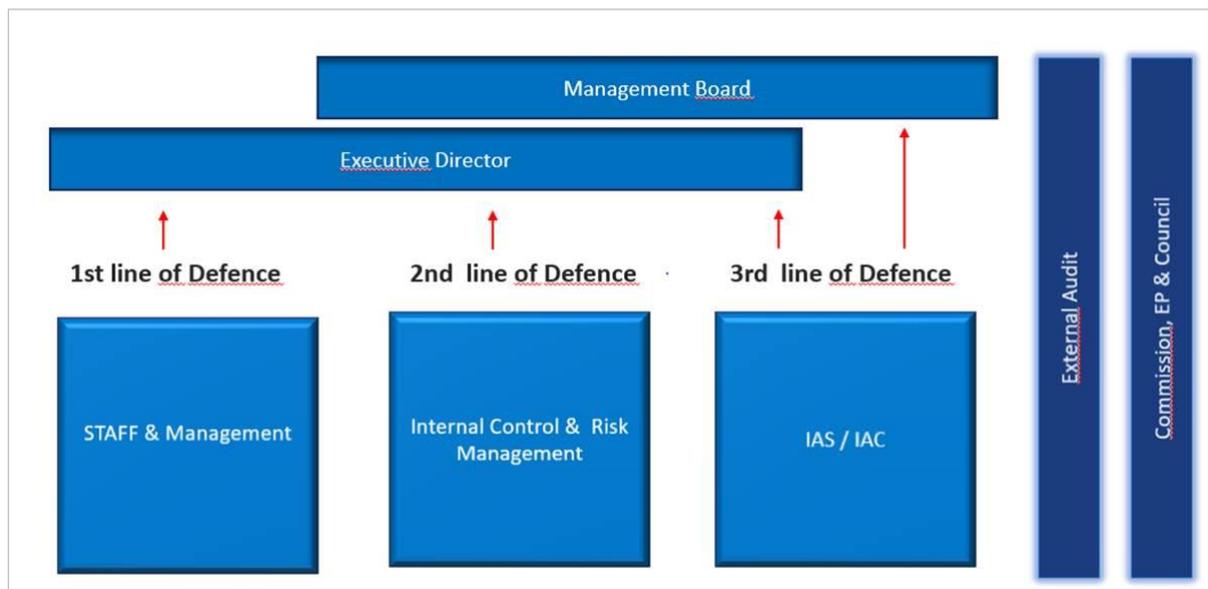
The Agency applies the COSO internal control framework promoted by the Commission especially through the Internal Control components and principles. The following is the summary of EASO's key steps towards implementing effective and efficient building blocks of assurance:
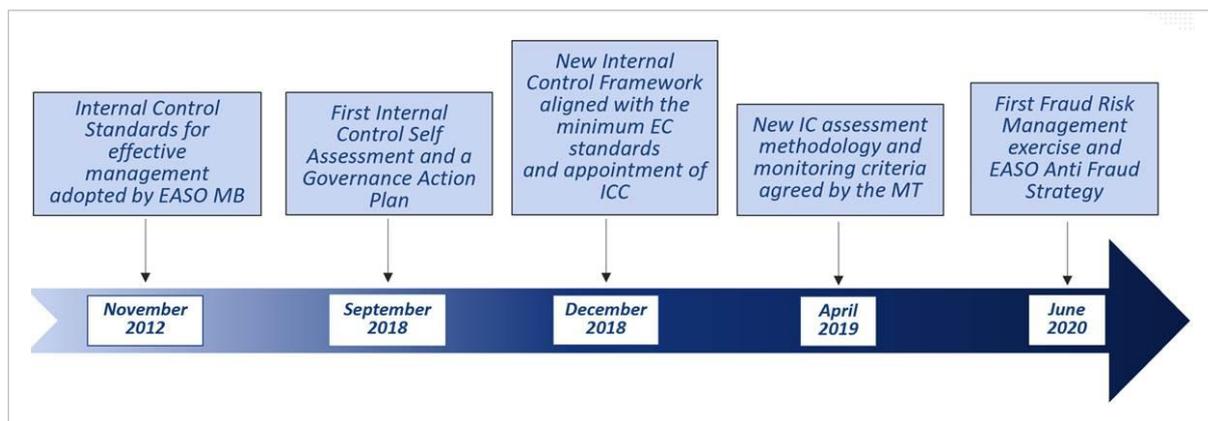
III.4.2 Summary analysis of the conclusions of any significant weaknesses reported in Part II and Part III

The analysis and assessment by the Executive Director of the efficiency and effectiveness of the building blocks of assurance defined in Part IV and of any significant weaknesses reported in Part II and Part III are the basis for the Authorising Officer's final declaration of assurance.

The summary of all the weaknesses is available in Annex IX, which includes all deficiencies addressed and assessed by EASO Management Team together with approved corrective actions. This table in Annex IX takes into account weaknesses identified by control bodies during their audit engagements for financial year 2018. However, the Internal Control Self-Assessment for financial year 2019 does not consider findings/recommendations (if any) from the control bodies as they are not available at the moment of drafting this report. Nevertheless, the Internal Control Self-Assessment considers the findings from IAS and ECA from previous years, if the corrective actions are nor implemented or finding is not yet closed by these institutions.

The inherent risk level at the end of 2019 of these weakness, for the functioning of the building blocks of assurance was initially assessed as "Major" by the Management Team and several internal control principles were assessed as partially implemented.

However, the final Management Team conclusion and assessment of significant weaknesses based on the acceptance of the new corrective actions planed, together with the actions already in progress and implemented since January 2020 by EASO, allowed the Management Team to reassess the risk as "Moderate" and to conclude that all the building blocks of assurance and overall internal control systems are effective whilst improvements are needed.

The implementation of the recommendations and corrective action suggested by the ICC and endorsed by the Management Team available in Annex IX are designed to further reduce the risk to "Minor" and reach a fully effective and efficient Internal Control System.

III.4.3 Assessment of significant weaknesses joint combined impact on the declaration of assurance

A new Executive Director was appointed in June 2019, which was subsequent to some of the events described in this report. The Executive Director received a hand over/'testament' (internal, for the use of the successor) by the former Executive Director ad interim in which the latter reported on the management of the service for the part of the year when he was in charge.

At the moment of drafting this Report, EASO had not yet received the final audit report[27] from the ECA for the financial year 2019. According to ECA's preliminary observations there are no material irregular payments for the underlying accounts for the year ended 31 December 2019 except for the payments carried out in relation to procurement procedures, which ECA had concluded as irregular in previous years, in particular the Framework Contact for temporary agency workers (interims) in Italy. Therefore, these payments may still be considered as irregular by ECA in the final report for the financial year 2019.

The new Executive Director took up duties subsequent to the signature of the framework contract for temporary agency workers services in Italy. As soon as the new Executive Director took up duties, in order to mitigate the risks of irregularities, she immediate implemented corrective actions, which included the termination of the framework contract while ensuring business continuity and launched a new procurement procedure, which resulted in a new contract in place by December 2019. It is important to highlight that ECA in its preliminary observations has assessed these corrective actions as completed.

In addition, the Executive Director has made considerable efforts to improve the EASO governance, internal control systems and risk management processes. A summary of the most relevant controls and corrective actions that have been put in place or are in progress, for each internal control principle and are included in Part II and Part III.

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[27] At the moment of drafting this report, the ECA's final opinion had not been issued, the observations are still preliminary, therefore, there is still the possibility that they are revised based on the reaction on these preliminary observations by EASO.

EASO is working closely with the Commission (in particular with DG HOME, DG BUDG, IAS, OLAF and DG HR) for the effective and efficient implementation of its governance and internal control processes.

On 26 November 2019, the Executive Director presented a new organogram for the Agency to the Management Board. One of the aims of to the new structure is to further strengthen the Agency's governance structures.

In addition, since June 2019, the Executive Director provides quarterly reports to the Management Board in the following areas of governance to assess the level of progress towards predefined objectives (pursuant to ED Decision No 53):

- Work Programme;
- Human Resources;
- Staff Engagement;
- Internal Control;
- Procurement;
- Budget and Finance.

Therefore, despite the risk mentioned above related to the 2018 procurement procedure for interim workers in Italy, the Executive Director is of the opinion that during 2019 she was provided with reasonable assurance that suitable internal controls were in place and working as intended and that significant deficiencies were identified and the corrective actions in order to mitigate their impact were timely implemented.

At the same time, the Executive Director is committed to continue with improvements and reinforcement measures to correct the weaknesses reported in Part II and Part III. Taking into account the state of play of the corrective actions (agreed by the Management Team in May 2020 and summarized in Annex IX) at the date of this report, including those planned, in progress and implemented during 2020, the Executive Director has re-assessed the severity of the deficiencies.

Moreover, based on the significant improvements made by the Agency, the budgetary authority decided to grant its discharge to EASO in respect to implementation of the budget for the financial year of 2018.

III.5 Reservations

Based on the information provided in section IV.1.2 and section IV.1.3, the Executive Director has decided not to introduce any reservations in her declaration of assurance in the CAAR 2019, as the control procedures put in place during 2019 gave her the necessary guarantees concerning the legality and regularity of the underlying transactions for this period, due to the presence of an overall effective and efficient internal control systems.

Declaration of Assurance

I, the undersigned, Executive Director of the European Asylum Support Office,

In my capacity as Authorising Officer,

Declare that the information contained in this report gives a true and fair view.

State that I have reasonable assurance that the resources assigned to the activities described in this report have been used for their intended purpose and in accordance with the principles of sound financial management, and that the control procedures put in place give the necessary guarantees concerning the legality and regularity of the underlying transactions.

This reasonable assurance is based on my own judgement and on the information at my disposal, such as the results of the self-assessment, ex-post controls, the work of the Internal Audit Service, and the lessons learnt from the reports of the Court of Auditors for years prior to the year of this declaration.

Confirm that I am not aware of anything not reported here which could harm the interests of the agency.

Valletta Harbour, 8 June 2020

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(original signed)

Nina Gregori
Executive Director[28]

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[28]   Ms Nina Gregori took up duties of the Executive Director 16 June 2019.

ANNEXES

Annex I: Core Business Statistics

A detailed performance overview under each objective, indicator and target is provided in Part I 'Policy achievements of 2019'.
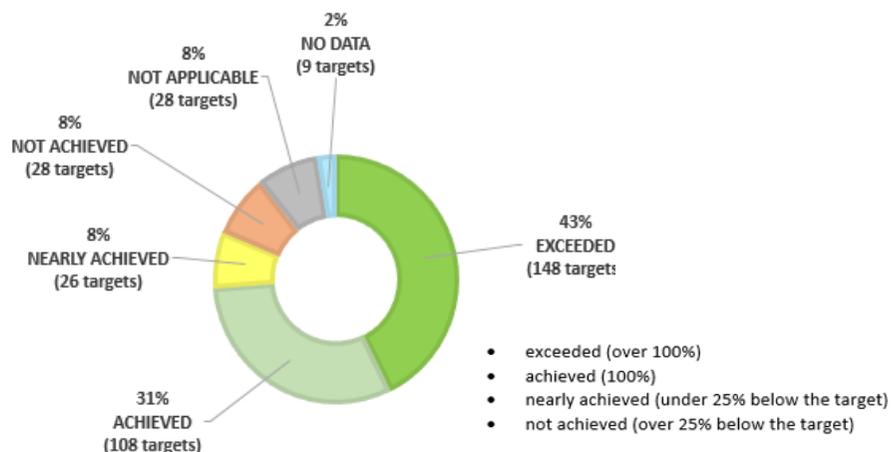
With 28 'not applicable' indicators:

- **282 targets** out of 347 were exceeded, achieved or nearly achieved
- Overall implementation rate: **81%**

Without 28 'not applicable' indicators:

- **282 targets** out of 319 were exceeded, achieved or nearly achieved
- Overall implementation rate: **88%**

- exceeded (over 100%)
- achieved (100%)
- nearly achieved (under 25% below the target)
- not achieved (over 25% below the target)

Annex II: Statistics on financial management

Calculation budget outturn

Descriptive information and justification on:
- budget outturn
- cancellation of commitment appropriations
- cancellation of payment appropriations for the year and payment appropriations carried over

Budget outturn	N-3*	N-2*	N-1*
Reserve from the previous years' surplus (+)	0.00	0.00	0.00
Revenue actually received (+)	79,642,732.37	97,733,009.88	102,820,563.74
Payments made (-)	-72,809,815.36	-82,266,979.87	-90,853,248.71
Carryover of appropriations (-)	-8,484,750.87	-14,802,701.12	-17,575,186.79
Cancellation of appropriations carried over (+)	341,189.03	313,138.59	643,598.61
Adjustment for carryover of assigned revenue appropriations from previous year (+)	3,965,310.60	4,772,319.39	9,272,325.89
Exchange rate differences (+/-)	-1,508.97	-3,205.79	-4,432.42
Adjustment for negative balance from previous year (-)	0.00	0.00	0.00
TOTAL	2,653,156.80	5,745,581.08	4,303,620.32

*N – the year covered by the programming document drafted in N-1 (as per definition in Art. 32)
** – Surplus from previous year reimbursed to Commission, it is not a Reserve for EASO

- As commitments carried forward on Title 3 refer to differentiated appropriations, only the CA are automatically carried over whereas PA are cancelled. Payments under differentiated appropriations will consume 2020 PA.
- The main cancellation of CA amounting to €1.7 million in Title 1 were related to delays in recruitment. In addition, €1.3 milion in Title 3 were not carried forward to 2020 since payments due were lower than expected.
- The late payment interest based on draft financial statements was €25,652.34 in 2019, which was paid on 46 invoices.

Detailed budget execution per fund source and budget item.

1. **Funds from the EU general budget (C1)**

Title 1

Budget line	CA budgeted (€) (1)	Executed commitment (€) (2)	% Committed (2/1)	Credit not used (€) (1-2)	PA budgeted (€) (3)	Executed payment (€) (4)	% Paid (4/3)	RAL (€) (2-4)
A-1101	15,118,300.00	14,280,636.82	94.46 %	837,663.18	15,118,300.00	14,280,636.82	94.46 %	0.00
A-1102	4,240,000.00	3,362,583.60	79.31 %	877,416.40	4,240,000.00	3,362,583.60	79.31 %	0.00
A-1103	417,500.00	386,219.64	92.51 %	31,280.36	417,500.00	386,219.64	92.51 %	0.00
A-1104	0.00				0.00	0.00		
	19,775,800.00	**18,029,440.06**	**91.17%**	**1,746,359.94**	**19,775,800.00**	**18,029,440.06**	**91.17%**	**0.00**
A-1201	750,000.00	714,460.20	95.26 %	35,539.80	750,000.00	573,987.36	76.53 %	140,472.84
	750,000.00	**714,460.20**	**95.26%**	**35,539.80**	**750,000.00**	**573,987.36**	**76.53%**	**140,472.84**
A-1301	512,000.00	466,722.83	91.16 %	45,277.17	512,000.00	376,515.18	73.54 %	90,207.65
	512,000.00	**466,722.83**	**91.16%**	**45,277.17**	**512,000.00**	**376,515.18**	**73.54%**	**90,207.65**
A-1401	164,000.00	137,517.79	83.85 %	26,482.21	164,000.00	95,582.59	58.28 %	41,935.20
A-1402	64,000.00	30,000.00	46.88 %	34,000.00	64,000.00	17,864.00	27.91 %	12,136.00
A-1403	1,676,000.00	1,670,558.80	99.68 %	5,441.20	1,676,000.00	1,465,421.96	87.44 %	205,136.84
	1,904,000.00	**1,838,076.59**	**96.54%**	**65,923.41**	**1,904,000.00**	**1,578,868.55**	**82.92%**	**259,208.04**
A-1501	493,000.00	492,995.54	100.00 %	4.46	493,000.00	238,995.08	48.48 %	254,000.46
	493,000.00	**492,995.54**	**100.00%**	**4.46**	**493,000.00**	**238,995.08**	**48.48%**	**254,000.46**
A-1601	3,393,500.00	3,015,479.73	88.86 %	378,020.27	3,393,500.00	1,942,696.09	57.25 %	1,072,783.64
A-1602	210,000.00	195,650.00	93.17 %	14,350.00	210,000.00	100,622.11	47.92 %	95,027.89
A-1603	237,000.00	62,119.07	26.21 %	174,880.93	237,000.00	23,789.57	10.04 %	38,329.50
	3,840,500.00	**3,273,248.80**	**85.23%**	**567,251.20**	**3,840,500.00**	**2,067,107.77**	**53.82%**	**1,206,141.03**
A-1701	10,000.00	1,951.65	19.52 %	8,048.35	10,000.00	1,951.65	19.52 %	0.00
	10,000.00	**1,951.65**	**19.52%**	**8,048.35**	**10,000.00**	**1,951.65**	**19.52%**	**0.00**
Total:	**27,285,300.00**	**24,816,895.67**	**90.95%**	**2,468,404.33**	**27,285,300.00**	**22,866,865.65**	**83.81%**	**1,950,030.02**

Title 2

Budget line	CA budgeted (€) (1)	Executed commitment (€) (2)	% Committed (2/1)	Credit not used (€) (1-2)	PA budgeted (€) (3)	Executed payment (€) (4)	% Paid (4/3)	RAL (€) (2-4)
A-2101	3,942,730.00	3,801,566.86	96.42 %	141,163.14	3,942,730.00	3,199,566.05	81.15 %	602,000.81
A-2102	813,170.00	795,955.66	97.88 %	17,214.34	813,170.00	658,603.55	80.99 %	137,352.11
A-2103	1,577,500.00	1,471,645.25	93.29 %	105,854.75	1,577,500.00	960,624.28	60.90 %	511,020.97
A-2104	120,000.00	43,535.65	36.28 %	76,464.35	120,000.00	43,535.65	36.28 %	0.00
	6,453,400.00	**6,112,703.42**	**94.72 %**	**340,696.58**	**6,453,400.00**	**4,862,329.53**	**75.35 %**	**1,250,373.89**
A-2201	1,159,000.00	1,149,178.58	99.15 %	9,821.42	1,159,000.00	247,762.30	21.38 %	901,416.28
A-2202	794,500.00	792,146.11	99.70 %	2,353.89	794,500.00	611,504.78	76.97 %	180,641.33
A-2203	1,480,000.00	1,436,322.15	97.05 %	43,677.85	1,480,000.00	409,276.51	27.65 %	1,027,045.64
A-2204	478,000.00	448,361.29	93.80 %	29,638.71	478,000.00	236,566.37	49.49 %	211,794.92
A-2205	52,000.00	51,283.28	98.62 %	716.72	52,000.00	9,853.50	18.95 %	41,429.78
	3,963,500.00	**3,877,291.41**	**97.82 %**	**86,208.59**	**3,963,500.00**	**1,514,963.46**	**38.22 %**	**2,362,327.95**
A-2301	105,000.00	102,553.40	97.67 %	2,446.60	105,000.00	96,829.42	92.22 %	5,723.98
A-2302	10,000.00	8,600.00	86.00 %	1,400.00	10,000.00	1,850.05	18.50 %	6,749.95
A-2303	100,000.00	92,132.50	92.13 %	7,867.50	100,000.00	13,647.25	13.65 %	78,485.25
A-2304	278,000.00	230,005.88	82.74 %	47,994.12	278,000.00	215,449.63	77.50 %	14,556.25
A-2305	121,200.00	68,030.71	56.13 %	53,169.29	121,200.00	52,402.68	43.24 %	15,628.03
A-2306	281,100.00	193,858.00	68.96 %	87,242.00	281,100.00	48,828.00	17.37 %	145,030.00
A-2307	900,000.00	880,000.00	97.78 %	20,000.00	900,000.00	837,824.88	93.09 %	42,175.12
A-2308	97,500.00	73,098.00	74.97 %	24,402.00	97,500.00	13,097.83	13.43 %	60,000.17
A-2309	400,000.00	371,468.87	92.87 %	28,531.13	400,000.00	183,771.03	45.94 %	187,697.84
A-2310	77,500.00	16,021.70	20.67 %	61,478.30	77,500.00	12,777.53	16.49 %	3,244.17
A-2311	110,000.00	52,060.64	47.33 %	57,939.36	110,000.00	30,063.90	27.33 %	21,996.74
	2,480,300.00	**2,087,829.70**	**84.18%**	**392,470.30**	**2,480,300.00**	**1,506,542.20**	**60.74%**	**581,287.50**
Total:	**12,897,200.00**	**12,077,824.53**	**93.65%**	**819,375.47**	**12,897,200.00**	**7,883,835.19**	**61.13%**	**4,193,989.34**

Title 3

Budget line	CA budgeted (€) (1)	Executed commitment (€) (2)	% Committed (2/1)	Credit not used (€) (1-2)	PA budgeted (€) (3)	Executed payment (€) (4)	% Paid (4/3)	RAL (€) (2-4)
B-3101	178,000.00	167,842.98	94.29 %	10,157.02	175,000.00	168,998.51	96.57 %	18,566.86
B-3102	660,000.00	612,596.05	92.82 %	47,403.95	750,000.00	709,330.85	94.58 %	388,163.18
B-3103	1,552,000.00	1,548,865.99	99.80 %	3,134.01	1,684,000.00	1,640,298.06	97.40 %	337,147.23
	2,390,000.00	**2,329,305.02**	**97.46 %**	**60,694.98**	**2,609,000.00**	**2,518,627.42**	**96.54 %**	**743,877.27**
B-3201	1,945,000.00	1,931,120.44	99.29 %	13,879.56	1,560,763.00	1,529,741.27	98.01 %	877,912.89
B-3202	2,235,000.00	2,234,910.79	100.00 %	89.21	1,829,945.00	1,761,114.22	96.24 %	1,176,818.37
B-3203	2,000,000.00	1,427,134.18	71.36 %	572,865.82	1,600,000.00	1,449,706.39	90.61 %	461,164.41
	6,180,000.00	**5,593,165.41**	**90.50 %**	**586,834.59**	**4,990,708.00**	**4,740,561.88**	**94.99 %**	**2,515,895.67**
B-3301	47,615,500.00	46,928,722.83	98.56 %	686,777.17	48,580,792.00	48,578,970.71	100%	13,087,592.39
	47,615,500.00	**46,928,722.83**	**98.56 %**	**686,777.17**	**48,580,792.00**	**48,578,970.71**	**100%**	**13,087,592.39**
B-3401	120,000.00	118,692.35	98.91 %	1,307.65	135,000.00	124,982.35	92.58 %	7,000.00
B-3402	198,000.00	197,855.72	99.93 %	144.28	188,000.00	167,056.28	88.86 %	39,905.86
	318,000.00	**316,548.07**	**99.54 %**	**1,451.93**	**323,000.00**	**292,038.63**	**90.41 %**	**46,905.86**
Total:	**56,503,500.00**	**55,167,741.33**	**97.64%**	**1,335,758.67**	**56,503,500.00**	**56,130,198.64**	**99.34%**	**16,394,271.19**
Grand Total:	**96,686,000.00**	**92,062,461.53**	**95%**	**4,623,538.47**	**96,686,000.00**	**86,880,899.48**	**90%**	**5,181,562.05**

2. Amounts recovered in 2019 (C4)

Budget line	CA transaction amount (€) (1)	Executed commitment amount (€) (2)	% Committed (2/1)	Credit not used (€) (1-2)	PA transaction amount (€) (3)	Executed payment amount (€) (4)	% Paid (4/3)	RAL (€) (2-4)
A-1201	3,827.54	2,233.02	58.34 %	1,594.52	3,827.54	2,233.02	58.34 %	0.00
	3,827.54	**2,233.02**	**58.34 %**	**1,594.52**	**3,827.54**	**2,233.02**	**58.34 %**	**0.00**
A-1301	716.00			716.00	716.00			
	716.00			**716.00**	**716.00**			
A-1603	676.21			676.21	676.21			
	676.21			**676.21**	**676.21**			
A-2201	6,499.00			6,499.00	6,499.00			

Budget line	CA transaction amount (€) (1)	Executed commitment amount (€) (2)	% Committed (2/1)	Credit not used (€) (1-2)	PA transaction amount (€) (3)	Executed payment amount (€) (4)	% Paid (4/3)	RAL (€) (2-4)
	6,499.00				6,499.00	6,499.00		
B-3103	1,132.33				1,132.33	1,132.33		
	1,132.33				1,132.33	1,132.33		
Total:	12,851.08	2,233.02	17.38 %	10618.06	12,851.08	2,233.02	17.38 %	0.00

3. Amounts recovered in previous years (C5)

Budget line	CA transaction amount (€) (1)	Executed commitment amount (€) (2)	% Committed (2/1)	Credit not used (€) (1-2)	PA transaction amount (€) (3)	Executed payment amount (€) (4)	% Paid (4/3)	R A L (€) (2-4)
	1,850.00	1,850.00	100.00 %	0.00	1,850.00	1,850.00	100.00 %	0.00
A-2201	4,135.43	2,903.96	70.22 %	1,231.47	4,135.43	2,903.96	70.22 %	0.00
	4,135.43	2,903.96	70.22 %	1,231.47	4,135.43	2,903.96	70.22 %	0.00
B-3103	274.00	274.00	100.00 %	0.00	274.00	274.00	100.00 %	0.00
	274.00	274.00	100.00 %	0.00	274.00	274.00	100.00 %	0.00
B-3301	20,808.00	17,544.59	84.32 %	3,263.41	20,808.00	20,808.00	100.00 %	2,536.84
	20,808.00	17,544.59	84.32 %	3,263.41	20,808.00	20,808.00	100.00 %	2,536.84
Total:	29,483.73	22,847.35	77.49 %	6636.38	29,483.73	26,110.76	88.56 %	2,536.84

4. Automatic carry-overs from previous year(s) C8

Title 1

Budget line	CA transaction amount (€) (1)	Executed commitment amount (€) (2)	% Committed (2/1)	Credit not used (€) (1-2)	PA transaction amount (€) (3)	Executed payment amount (€) (4)	% Paid (4/3)	RAL (€) (2-4)
A-1201	73,850.20	37,999.70	51.46 %	35,850.50	73,850.20	37,999.70	51.46 %	0.00
	73,850.20	37,999.70	51.46 %	35,850.50	73,850.20	37,999.70	51.46 %	0.00
A-1301	166,853.82	105,093.06	62.99 %	61,760.76	166,853.82	105,093.06	62.99 %	0.00
	166,853.82	105,093.06	62.99 %	61,760.76	166,853.82	105,093.06	62.99 %	0.00
A-1401	39,380.65	14,934.47	37.92 %	24,446.18	39,380.65	14,934.47	37.92 %	0.00
A-1402	15,000.00	13,736.71	91.58 %	1,263.29	15,000.00	13,736.71	91.58 %	0.00
A-1403	167,714.80	155,678.63	92.82 %	12,036.17	167,714.80	155,678.63	92.82 %	0.00
	222,095.45	184,349.81	83.00 %	37,745.64	222,095.45	184,349.81	83.00 %	0.00
A-1501	118,501.40	118,412.98	99.93 %	88.42	118,501.40	118,412.98	99.93 %	0.00

	118,501.40	118,412.98	99.93 %	88.42	118,501.40	118,412.98	99.93 %	0.00
A-1601	648,010.91	567,854.11	87.63 %	80,156.80	648,010.91	567,854.11	87.63 %	0.00
A-1602	28,348.00	2,505.68	8.84 %	25,842.32	28,348.00	2,505.68	8.84 %	0.00
A-1603	119,000.00	86,178.73	72.42 %	32,821.27	119,000.00	86,178.73	72.42 %	0.00
	795,358.91	656,538.52	82.55 %	138,820.39	795,358.91	656,538.52	82.55 %	0.00
A-1701	200.00	0.00	0.00 %	200.00	200.00	0.00	0.00 %	0.00
	200.00	0.00	0.00 %	200.00	200.00	0.00	0.00 %	0.00
Total:	**1,376,859.78**	**1,102,394.07**	**80.07%**	**274,465.71**	**1,376,859.78**	**1,102,394.07**	**80.07%**	**0.00**

Title 2

Budget line	CA transaction amount (€) (1)	Executed commitment amount (€) (2)	% Committed (2/1)	Credit not used (€) (1-2)	PA transaction amount (€) (3)	Executed payment amount (€) (4)	% Paid (4/3)	RAL (€) (2-4)
A-2101	597,491.25	507,740.57	84.98 %	89,750.68	597,491.25	507,740.57	84.98 %	
A-2102	82,290.59	58,007.32	70.49 %	24,283.27	82,290.59	58,007.32	70.49 %	
A-2103	255,989.44	206,121.65	80.52 %	49,867.79	255,989.44	206,121.65	80.52 %	
A-2104	42,025.75	40,875.75	97.26 %	1,150.00	42,025.75	40,875.75	97.26 %	
	977,797.03	**812,745.29**	**83.12 %**	**165,051.74**	**977,797.03**	**812,745.29**	**83.12 %**	
A-2201	813,737.91	813,737.91	100.00 %	0.00	813,737.91	813,737.91	100.00 %	
A-2202	154,855.48	143,753.66	92.83 %	11,101.82	154,855.48	143,753.66	92.83 %	
A-2203	1,405,461.77	1,376,447.77	97.94 %	29,014.00	1,405,461.77	1,376,447.77	97.94 %	
A-2204	181,692.60	155,428.78	85.54 %	26,263.82	181,692.60	155,428.78	85.54 %	
A-2205	28,655.77	28,042.16	97.86 %	613.61	28,655.77	28,042.16	97.86 %	
	2,584,403.53	**2,517,410.28**	**97.41 %**	**66,993.25**	**2,584,403.53**	**2,517,410.28**	**97.41 %**	
A-2301	24,496.42	20,802.69	84.92 %	3,693.73	24,496.42	20,802.69	84.92 %	
A-2302	4,321.83	984.81	22.79 %	3,337.02	4,321.83	984.81	22.79 %	
A-2303	12,439.16	1,777.50	14.29 %	10,661.66	12,439.16	1,777.50	14.29 %	
A-2304	42,117.62	24,889.33	59.09 %	17,228.29	42,117.62	24,889.33	59.09 %	
A-2305	16,268.82	8,266.97	50.81 %	8,001.85	16,268.82	8,266.97	50.81 %	
A-2306	49,810.00	49,810.00	100.00 %	0.00	49,810.00	49,810.00	100.00 %	
A-2307	277,367.92	217,871.71	78.55 %	59,496.21	277,367.92	217,871.71	78.55 %	
A-2308	6,000.00	1,546.69	25.78 %	4,453.31	6,000.00	1,546.69	25.78 %	

Budget line	CA transaction amount (€) (1)	Executed commitment amount (€) (2)	% Committed (2/1)	Credit not used (€) (1-2)	PA transaction amount (€) (3)	Executed payment amount (€) (4)	% Paid (4/3)	RAL (€) (2-4)
A-2309	124,257.67	117,706.51	94.73 %	6,551.16	124,257.67	117,706.51	94.73 %	
A-2311	34,235.45	10,570.77	30.88 %	23,664.68	34,235.45	10,570.77	30.88 %	
	591,314.89	**454,226.98**	**76.82%**	**137,087.91**	**591,314.89**	**454,226.98**	**76.82%**	
Total:	**4,153,515.45**	**3,784,382.55**	**91.11%**	**369,132.90**	**4,153,515.45**	**3,784,382.55**	**91.11%**	

Title 3

Budget line	CA transaction amount (€) (1)	Executed commitment amount (€) (2)	% Committed (2/1)	Credit not used (€) (1-2)	PA transaction amount (€) (3)	Executed payment amount (€) (4)	% Paid (4/3)	RAL (€) (2-4)
B-3101	25,998.57	19,722.39	75.86 %	6,276.18	0.00			0.00
B-3102	505,918.61	491,197.98	97.09 %	14,720.63	0.00			6,300.00
B-3103	721,672.69	429,633.88	59.53 %	292,038.81	0.00			1,054.58
	1,253,589.87	**940,554.25**	**75.03 %**	**313,035.62**	**0.00**			**7,354.58**
B-3201	604,642.54	504,859.72	83.50 %	99,782.82	0.00			28,326.00
B-3202	965,585.99	915,902.04	94.85 %	49,683.95	0.00			212,880.24
B-3203	641,351.11	483,736.62	75.42 %	157,614.49	0.00			0.00
	2,211,579.64	**1,904,498.38**	**86.11 %**	**307,081.26**	**0.00**			**241,206.24**
B-3301	16,680,805.60	15,242,143.33	91.38 %	1,438,662.27	0.00			498,502.81
	16,680,805.60	**15,242,143.33**	**91.38 %**	**1,438,662.27**	**0.00**			**498,502.81**
B-3401	43,058.00	13,290.00	30.87 %	29,768.00	0.00			0.00
B-3402	28,687.28	9,106.42	31.74 %	19,580.86	0.00			0.00
	71,745.28	**22,396.42**	**31.22 %**	**49,348.86**	**0.00**			**0.00**
Total:	**20,217,720.39**	**18,109,592.38**	**89.57%**	**2,108,128.01**	**0.00**			**747,063.63**
Grand Total:	**25,748,095.62**	**22,996,369.00**	**89%**	**2,751,726.62**	**5,530,375.23**	**4,886,776.62**	**88%**	**747,063.63**

5. Associate Countries contributions and grants (R0)

Budget line	CA transaction amount (€) (1)	Executed commitment amount(€) (2)	% Committed (2/1)	Credit not used (€) (1-2)	PA transaction amount (€) (3)	Executed payment amount (€) (4)	% Paid (4/3)	RAL (€) (2-4)
A-2203	4,100.00			4,100.00	4,100.00			
A-2204	6,039.08			6,039.08	6,039.08			
	10,139.08			**10,139.08**	**10,139.08**			
A-2311	74.32			74.32	74.32			
	74.32			**74.32**	**74.32**			
B-3201	149,783.00	34,000.00	22.70 %	115,783.00	219,783.00	0.00	0.00 %	34,000.00
B-3202	70,000.00	49,860.75	71.23 %	20,139.25	0.00			49,860.75
B-3203	0.00			0.00	50,000.00			
	219,783.00	**83,860.75**	**38.16 %**	**135,922.25**	**269,783.00**	**0.00**	**0.00 %**	**83,860.75**
B-3301	14,193,028.42	5,065,333.81	35.69 %	9,127,694.61	14,143,028.42	3,599,471.97	25.45 %	1,465,861.84
	14,193,028.42	**5,065,333.81**	**35.69 %**	**9,127,694.61**	**14,143,028.42**	**3,599,471.97**	**25.45 %**	**1,465,861.84**
B-4102	941,530.00	564,865.58	59.99 %	376,664.42	941,530.00	344,533.48	36.59 %	220,332.10
	941,530.00	**564,865.58**	**59.99 %**	**376,664.42**	**941,530.00**	**344,533.48**	**36.59 %**	**220,332.10**
Total:	**15,364,554.82**	**5,714,060.14**	**37.19 %**	**9650494.68**	**15,364,554.82**	**3,944,005.45**	**25.67 %**	**1,770,054.69**

Budget transfers' list per quarter

Quarter 1

Date	Budget Position Description	Budget Line	Commitment Appropriation		Pay Appropriation	
12/02/2019 C1	TA BASIC SALARIES	A01101	-	1,923,500	-	1,923,500
	INTERIM SERVICES	A01601		1,923,500		1,923,500
	BUILDING RENTAL	A02101		108,830		108,830
	BUILDING SECURITY	A02102		156,170		156,170
	FITING OUT PREMISES	A02103		480,000		480,000
	OFFICE EQUIPMENT	A02104	-	430,000	-	430,000
	STAT & OFFICE SUPP	A02301	-	275,000	-	275,000
	POSTAGE	A02311	-	40,000	-	40,000

Quarter 2

Date	Budget Position Description	Budget Line	Commitment Appropriation	Pay Appropriation
08/05/2019 - C1	ICT EQUIPMENT	A02201	- 203,000	-203,000
	ICT MAINTENANCE	A02202	80,000	80,000
	TELECOMMUNICATION	A02204	123,000	123,000
25/06/2019 - C1	SECOND NATIONAL	A01103	49,000	49,000
	MEDICAL SERVICES	A01402	-251,000	-251,000
	OTHER SOCIAL	A01403	202,000	202,000
	BUILDING RENTAL	A02101	386,400	386,400
	SECUTIRY OF BUILDING	A02102	75,000	75,000
	FITTING OUT OF PREMISIS	A02103	97,500	97,500
	OFFICE EQUIPMENT AND	A02104	-200,000	-200,000
	ICT MAINTENANCE	A02202	150,000	150,000
	ICT SUPPORT SERVICES	A02203	75,000	75,000
	TELECOMMUNICATION	A02204	40,000	40,000
	STAT & OFFICE SUPP	A02301	-60,000	-60,000
	LEGAL EXPENSES	A02303	-150,000	-150,000
	TRANSPORTATION AND	A02305	50,000	50,000
	BUISNESS CONSULTANCY	A02306	-463,900	-463,900
	DATA ANALYSIS &	B03102	-490,000	-290,000
	COI	B03103		290,000
	EASO TRAINING	B03201	-	-110,000
	ASYLUM PROCESS	B03202	170,000	110,000
	OPERATIONAL SUPPORT	B03301	242,000	-
	STAKEHOLDERS	B03402	78,000	-

Quarter 3

Date	Budget Position Description	Budget Line	Commitment Appropriation	Payment Appropriation
01/08/2019 - C1	MEDICAL SERVICES	A01402	-13,000	-13,000
	OTHER EXTERNAL SERVICES	A01602	13,000	13,000
	FITTING OUT OF PREMISIS	A02103	330,000	330,000
	MEETING EXPENSES	A02304	-75,000	-75,000
	BUISNESS CONSULTANCY	A02306	-255,000	-255,000
	IDS	B03101	30,000	30,000
	DATA ANALYSIS & RESEARCH	B03102	-30,000	330,000
01/08/2019 - C1	TA BASIC SALARIES	A01101	-6,580,000	-6,580,000
	CONTRACT AGENTS	A01102	-1,670,000	-1,670,000
	TRAINEES	A01104	-44,000	-44,000
	REST & CANTEEN	A01401	-230,000	-230,000
	INTERIM SERVICES	A01601	-300,000	-300,000
	OTHER EXTERNAL SERVICES	A01602	-13,000	-13,000
	LEGAL EXPENSES/HR	A01603	-163,000	-163,000
	OPERATIONAL SUPPORT	B03301	9,000,000	9,000,000

Quarter 4

Date	Budget Position Description	Budget Line	Commitment Appropriation	Payment Appropriation
08/10/2019 - C1	SECURITY OF BUILDING	A02102	72,000	72,000
	STAT & OFFICE SUPP	A02301	40,000	40,000
	ADMIN INTERNAL AND EXTERNAL MEETINGS	A02304	-72,000	-72,000
	PUBLICATION	A02308	-27,500	-27,500
	ADMIN SUPPORT	A02310	-12,500	-12,500
	COI	B03103	-	-78,000
	STAKEHOLDERS	B03402	-	78,000
24/10/2019 - C1	ICT EQUIPMENT	A02201	-15,500	-15,500
	ICT MAINTENANCE	A02202	15,500	15,500
	IDS	B03101	8,000	8,000
	COI	B03103	-8,000	-8,000
05/11/2019 - C1	TA BASIC SALARIES	A01101	-924,000	-924,000
	FITING OUT PREMISES	A02103	400,000	400,000
	ICT EQUIPMENT	A02201	494,000	494,000
	TELECOMMUNICATION CHARGES	A02204	30,000	30,000
21/11/2019 - C1	TA BASIC SALARIES	A01101	-260,000	-260,000

	OTHER SOCIAL ALLOWANCES	A01403	260,000	260,000
	ICT EQUIPMENT	A02201	41,000	41,000
	ICT MAINTENANCE	A02202	-41,000	-41,000
	ICT SUPPORT SERVICES	A02203	55,000	55,000
	TELECOMMUNICATION CHARGES	A02204	-55,000	-55,000
	TRANSLATIONS	A02307	100,000	100,000
	PUBLICATION	A02308	-100,000	-100,000
	EASO TRAINING	B03201	-5,000	-10,000
	COOPERATION WITH CIVIL SOCIETY	B03401	-15,000	0
	COOPERATION WITH STAKEHOLDER	B03402	20,000	10,000
03/12/2019 C1	TA BASIC SALARIES	A01101	-150,000	-150,000
	OTHER SOCIAL ALLOWANCES	A01403	150,000	150,000
	EASO TRAINING	B03201	0	-253,237
	ASYLUM PROCESS	B03202	0	-333,055
	EXTERNAL DIMENSION	B03203	0	-300,000
	OPERATIONAL SUPPORT	B03301	0	886,292
12/12/2019	IDS	B03101	0	-3,000
	DATA ANALYSIS & RESEARCH	B03102	0	-110,000
	COI	B03103	0	-80,000
	EASO TRAINING	B03201	0	-16,000
	ASYLUM PROCESS	B03202	0	-12,000
	EXTERNAL DIMENSION	B03203	0	-100,000
	OPERATIONAL SUPPORT	B03301	0	321,000

Annex III: Organisational Chart

A new EASO's organisational chart was adopted by the Management Board in November 2019, which took effect on 1 January 2020.
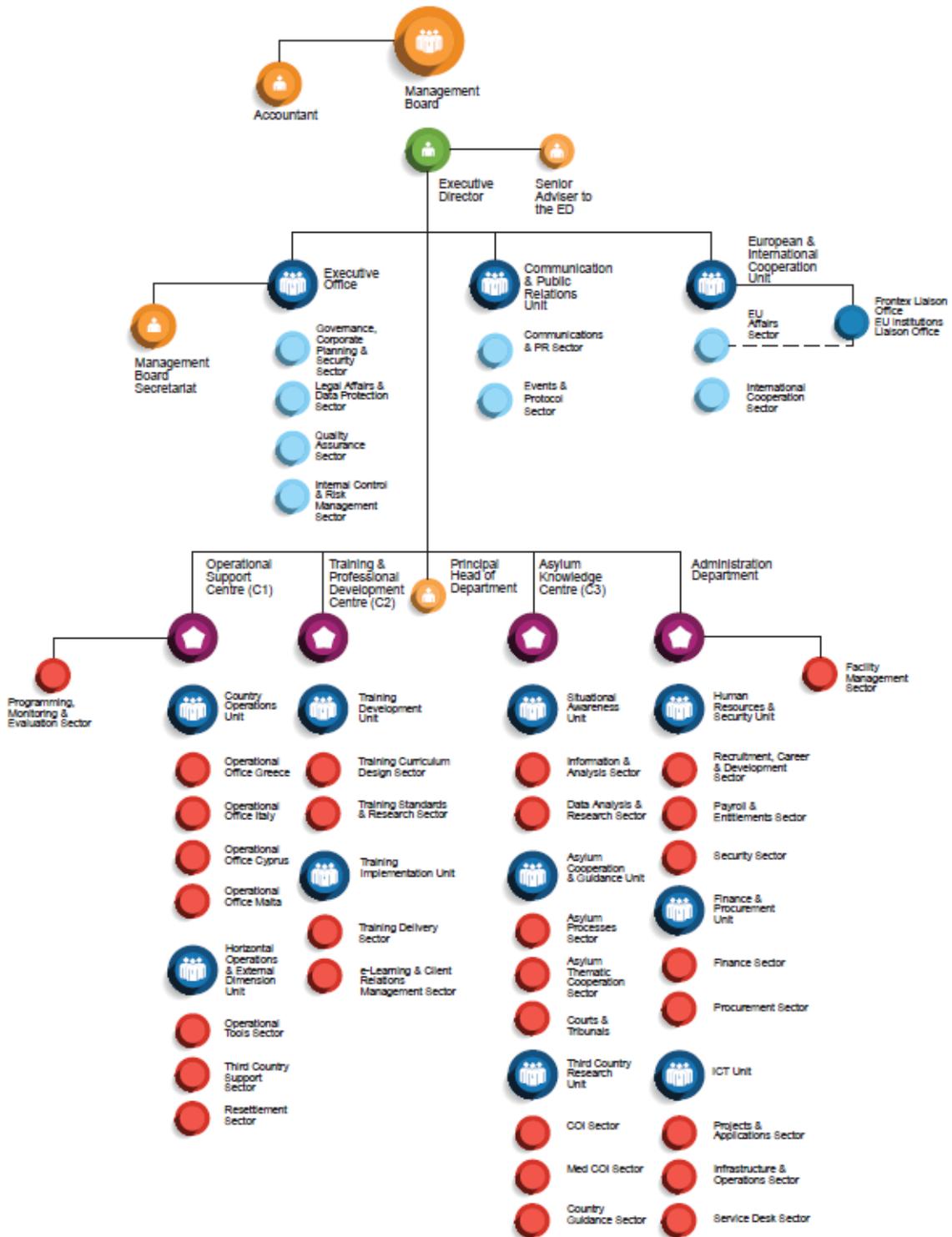
Annex IV: Establishment Plan and additional information on Human Resources management

Establishment Plan

Category and grade	Authorised under the Union Budget 2019		Amending Budget 2019		Plan at end of 2019[29]	
	Official	TA	Official	TA	Official	TA
AD 16	-	0	-	-	-	0
AD 15	-	1	-	-	-	1
AD 14	-	0	-	-	-	0
AD 13	-	2	-	-	-	2
AD 12	-	4	-	-	-	4
AD 11	-	2	-	-	-	2
AD 10	-	15	-	-	-	15
AD 9	-	15	-	-	-	15
AD 8	-	41	-	-	-	41
AD 7	-	57	-	-	-	57
AD 6	-	19	-	-	-	19
AD 5	-	23	-	-	-	23
Total AD	-	**179**	-	-	-	**179**
AST 11	-	0	-	-	-	0
AST 10	-	0	-	-	-	0
AST 9	-	0	-	-	-	0
AST 8	-	0	-	-	-	0
AST 7	-	0	-	-	-	0
AST 6	-	0	-	-	-	0
AST 5	-	10	-	-	-	10
AST 4	-	40	-	-	-	40
AST 3	-	45	-	-	-	45
AST 2	-	8	-	-	-	8
AST 1	-	2	-	-	-	2
Total AST	-	**105**	-	-	-	**105**
Total	**0**	**284**	**0**	**0**	**0**	**284**

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[29] The Establishment Plan was not modified by the budget amendment; no modifications were made during 2019 by application of the flexibility rule.

Information on recruitment grade/function group for each type of post

Key functions	Type of contract (TA or CA)	Function group, grade of recruitment	Administrative support or operations
Head of Department (level 2)[30]	TA	AD 12	- Operations - Administrative
Head of Unit (level 3)	TA	AD 10	- Operations - Administrative
Head of Sector (level 4)	TA	AD 8	- Operations - Administrative
Senior Officer / Coordinator	TA	AD 7 – AD 8	- Operations - Administrative
Officer	TA	AD 5 – AD 6	- Operations - Administrative
Assistant	TA	AST 1 – AST 5	- Operations - Administrative
Officer	CA	FG IV	- Operations - Administrative
Assistant / Coordinator	CA	FG III	- Operations - Administrative
Assistant	CA	FG II	- Operations - Administrative
Assistant / Driver	CA	FG I	- Administrative

Job screening/benchmarking against previous year results[31]

Job type (sub) category	2018 (%)	2019 (%)
Administrative support and coordination	**23.08**	**17.03**
Administrative support	19.71	14.37
Coordination	3.37	2.66
Operational	**63.94**	**62.78**
Top level operational coordination	7.21	5.37
Programme management and implementation	4.33	6.62
Evaluation and impact assessment	2.40	3.63
General operational	50.00	47.16
Neutral	**12.98**	**20.19**
Finance/control	12.98	20.19
Linguistics	0	0

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[30] Level in the Agency structure, where level 1 is the post of the Executive Director.
[31] Table as per Methodology for Agencies job screening (2014).

Implementing Rules

Implementing Rule	Adopted
1. C(2016) 6595 on protecting the dignity of the person and preventing psychological harassment and sexual harassment	16 July 2019
2. C(2018) 1362 on whistleblowing	20 September 2019

Implementing Rules

Annex V: Human and Financial Resources by activity

Financial resources represent the Commitment Appropriations (C1) by activity area.

Activity	Human resources					Financial resources (Titles 3-4)[32]	
	AD	AST	CA	SNE	Total		
3. Operational Support	**21**	**16.5**	**6**	**3**	**46.5**	**€47,624,107**	
3.1. Italy	6	3		1	**10**	€17,870,288	
3.2. Greece	8	9	5		**22**	€25,625,445	
3.3. Cyprus	0.5	1.5	1		**3**	€2,332,340	
3.4. Malta	0.75	0.5		1	**2.25**	N/A	*
3.5. Other Operational Activities	0.25	0.25			**0.5**	€368,900	
3.6. External dimension							
3.6.1. External Action Strategy and External Dimension Network	*0.5*	*2*			*2.5*	*€86,125*	
3.6.2. Third country support	*3*				*3*	*€738,382*	***
3.6.3. Resettlement and other legal pathways to international protection	*2*	*0.25*		*1*	*3.25*	*€602,628*	
4. Operational Support & Tools, Monitoring & Evaluation of Operations, Operational Training & Quality Support to Operations	**16.5**	**4**	**5**	**3**	**28.5**	**€1,170,623**	
4.1. Operational Support and Operational Tools	3.5	2.5	1		**7**	€485,643	
4.2. Planning, Monitoring and Evaluation of Operations	4		4		**8**	€246,106	
4.3. Operational Training	7	1		1	**9**	€214,450	
4.4. Quality Support to Operations	2	0.5		2	**4.5**	€224,423	
5. Information, Analysis and Knowledge Development	**22.5**	**14**	**8**	**2**	**46.5**	**€2,104,883**	
5.1. Country of Origin Information (COI)	10	4	4	1	**19**	€1,205,487	
5.2. Country Guidance for Convergence	1	1	1		**3**	€110,833	
5.3. EASO Data Hub	5.5	1	1	1	**8.5**	€122,912	
5.4. Research Programme on Early Warning and Root Causes	1	2			**3**	€437,138	
5.5. Strategic Analysis	2	2			**4**	€34,129	
5.6. Information and Documentation System	2	2.5			**4.5**	€140,887	
5.7. Annual Report on the Situation of Asylum in the EU	1	0.5	1		**2.5**	€26,956	
5.8. Further Development of a Central AIS		1	1		**2**	€26,541	

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[32] Higher than planned amounts compared with Annex I of the SPD 2019-2021 (adopted in July 2019) can occur due to subsequent budget transfers throughout 2019.

Activity	Human resources					Financial resources (Titles 3-4)
	AD	AST	CA	SNE	Total	
6. Training	**8**	**8**	**5**	**0**	**21**	**€1,716,670**
6.1. EASO Training Curriculum	5	5	1		**11**	€954,596
6.2. Certification and Accreditation	1	1	1		**3**	€186,114
6.3. e-Learning and Didactic Support	1	1	2		**4**	€458,087
6.4. Other Training Support	1	1	1		**3**	€117,874
7. Asylum Support	**19**	**6**	**3**	**1**	**29**	**€2,234,910**
7.1. Asylum Processes	9	2	1	1	**13**	€417,468
7.2. Practical Cooperation Networks	8	2			**10**	€1,012,369
7.3. Cooperation with Members of Courts and Tribunals	2	2	2		**6**	€805,073
8. Horizontal Activities	**13**	**11**	**17**	**0**	**41**	**€316,548**
8.1. Consultative Forum and Civil Society	1	1			**2**	€ 118,692
8.2. EASO communication and events	2	4	5	0	**11**	N/A
8.3. Stakeholder relations	2	1	1		**4**	€ 197,856
8.4. Information and Communications Technology	8	5	11	0	**24**	N/A
TOTAL Operational (Title 3)	**100**	**59.5**	**44**	**9**	**212.5**	**€55,167,741**
Resources allocated to governance, administrative and other horizontal activities (Title 1, Title 2)	32	22.5	28		**82.5**	€36,894,720
Ad hoc grants (Title 4)						€564,866
TOTAL	**132**	**82**	**72**	**9**	**295**	**€92,627,327** ****

* Includes €1,016,008 of R0 (pre-2019)

** Excludes 2 CA posts filled out of 5 CA posts allocated to the IPA project

*** Excludes the IPA project grant (€564,866) of Title 4

**** Excludes 2 CA posts filled out of 5 CA posts allocated to the IPA project (Title 4)

***** Excludes €1,016,008 of R0 (allocated to '3.4 Malta')

Annex VI: Contribution, grant and SLAs, Financial Framework Partnership Agreements

General information						Financial/HR Impact				
	Date of signature	Total amount	Duration	Counterpart	Short Description		N-1		N	
Grant Agreement										
IPA/2015/369-697	22/12/2015	5,500,000	3 years, 1 January 2016 - 31 December 2018 with no-cost extension until 30 June 2019	DG NEAR / FRONTEX / IOM / UNHCR	"Regional Support to protection-sensitive migration management in Western Balkans and Turkey"	Amount	CA	PA	CA	PA
					Overall objective: develop a comprehensive and protection-sensitive migration management system in the Western Balkans and Turkey.		0.00	0.00	177,872.84	177,872.84
		EASO SHARE 1,325,436				Number of CA	3		3	
					Specific objective: improve the capacity of the national authorities to offer a protection-sensitive response to mixed migration flows by strengthening identification mechanism, registration, improving systematic information exchange and preparing sustainable return solutions.	Number of SNE	0		0	
					Indirect objective: Support to the EU accession (chapter 24 negotiations where applicable).					
					EASO has a key role in implementing activities within contract 1:					
					Intervention 1. Strengthening identification mechanism regarding irregular migrants and asylum seekers including screening on nationality (strong involvement of EASO).					

					Intervention 2. Enhancing the capacity and tools of IPA II beneficiaries in the WB to perform the registration of mixed migration flows in a harmonised manner, observing future interoperability with EU/Schengen MS systems and practices, and in full respect of fundamental rights (no specific role for EASO).					
					Intervention 3. Setting up referral system into national mechanisms (lead by EASO).					
					Intervention 4. Support in establishing EU compatible systems for persons in need of international protection (lead by EASO).					
					Intervention 5: Establishing appropriate non-voluntary return mechanism at regional level and operational cooperation with the selected countries of origin (no specific role for EASO)					
IPA/2018/404-2018	20/12/2018	1,475,500	2 years, 1 July 2019 - 31 June 2021	DG NEAR	"Regional Support to protection-sensitive migration management in Western Balkans and Turkey"	Amount	CA	PA	CA	PA
					AIM:		0.00	0.00	742,040.50	742,040.50
					Result 1: Identification, registration and referral of mixed migration flows at first and second points of contact and within the territory as well as pre-screening, screening on nationalities improved.	Number of CA	0		5	
					Result 2: Improved Asylum procedures that take vulnerabilities into consideration and are in line with EU standards in all Western Balkans.	Number of SNE	0		0	
					Specific EASO deliverables: 4 Roadmaps to support the establishment or further development of asylum and reception systems in line with EU standards with North Macedonia, Serbia, Albania and Bosnia and Herzegovina. EASO's target groups: Asylum case workers but also social workers, reception officers, policy makers, first contact officials and members of second and final instance of Courts and Tribunals. Modalities of support: trainings (EASO curriculum and operational training TBC), study visits, on-the-job coaching, technical assistance missions (such as legislative review, M&E etc.), thematic workshops, translations etc.					

EASO's report on budgetary and financial management as required under the provisions of Article 47 of the EASO Financial Regulation[33] is available on the Agency's website (https://www.easo.europa.eu/governance-documents).

Revenue in 2019

Details relating to the initial budget as voted and of the amending budget in 2019.

Budget line	Description	Voted Budget (€)	Budget amendment (€)	Final budget (€)
2000	EU Contribution (Commission subsidy - Titles 1, 2 and 3)	96,686,000.00	-	96,686,000.00
3000	Associate countries contributions	p.m.	5,331,003.34	5,331,003.34
4000	Other contributions	-	919,913.34	919,913.34
5000	Administrative operations and miscellaneous income	-	-	-
	Total revenue	**96,686,000.00**	**6,250,916.68**	**102,936,916.68**

Expenditure in 2019

Details relating to the initial budget as voted and of the amending budget in 2019.

Commitment appropriations (CA)

Budget title	Description	CA		
		Voted Budget (€)	Budget amendment including budget transfers (€)	Final budget (€)
1	Staff expenditure	37,209,300.00	-9,000,000.00	28,209,300.00
2	Infrastructure and operating expenditures	11,973,200.00	-	11,973,200.00
3	Operational expenditures	47,503,500.00	14,331,003.34	61,834,503.34
4	Other external projects	p.m.	919,913.34	919,913.34

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[33] 'The authorising officer shall report to the management board on the performance of her duties in a form of a consolidated annual activity report containing: (a) information on … the report on budgetary and financial management without prejudice to Articles 92, 96 and 97.'

Budget title	Description	CA		
		Voted Budget (€)	Budget amendment including budget transfers (€)	Final budget (€)
	Total expenditure	**96,686,000.00**	**6,250,916.68**	**102,936,916.68**

Payment appropriations (PA)

Budget title	Description	PA		
		Voted Budget (€)	Budget amendment (€)	Final budget (€)
1	Staff expenditure	37,209,300.00	-9,000,000.00	28,209,300.00
2	Infrastructure and operating expenditures	11,973,200.00	-	11,973,200.00
3	Operational expenditures	47,503,500.00	14,331,003.34	61,834,503.34
4	Other external projects	p.m.	919,913.34	919,913.34
	Total expenditure	**96,686,000.00**	**6,250,916.68**	**102,936,916.68**

Annex VII: Environment management

This section will be applicable upon adoption of the Single Programming Document 2022-2024, which will include a specific annex on the environment management.

Annex VIII: Annual Accounts

EASO's Final Annual Accounts 2019 are available after approval by the Management Board on the Agency's website at https://www.easo.europa.eu/governance-documents

Annex IX: Internal Control Self-Assessment Corrective Action Plan

No.	CAAR proposal	No of corrective action	Corrective action proposed	Initial Target Date	State of play of implementation (implemented, in progress, planned)	Affected IC Principle
Principle 1 - The Agency demonstrates commitment to integrity and ethical values.						
1	There is room to increase staff awareness on integrity and ethical values.	1	The HR Unit made available to all staff in a dedicated intranet site for Ethics and Integrity the following documents adopted by the Commission for its own departments.	Q1 2020	Implemented	1
		2	An annual reminder about these rules is sent by the EASO Ethics Correspondent to all staff.	Q1 2020	Implemented	
2	Anti-harassment policy to be effectively implemented.	3	Training of selected counsellors.	Q3 2020	In progress	1
		4	Confidential counsellors appointed.	Q4 2020	In progress	
3	Policy for the prevention and management of conflicts of interest to be updated, reported and adopted by the MB.	5	The ICC to introduce a summary of the main measures to prevent recurrence of cases of conflict of interest in the CAAR.	Q2 2020	In progress	1
		6	EASO policy for the prevention and management of conflicts of interest, as for the provisions of the FR and guidelines on the Communication from the Commission C(2020) 2297, to be updated and reported in CAAR 2020.	Q4 2020	In progress	
		7	Declarations of CoI of the members of the MB were signed in the beginning of 2020 and are published on EASO website.	Q1 2010	In progress	
		8	The programming document 2021-2023 to include the strategy for preventing recurrence of cases of conflict of interest.	Q4 2020	In progress	
4	There is room to improve the perception of EASO staff of the tone at the top MT culture.	9	A dedicated workshop to assess the possible measure to increase tone at top perception to be organised.	Q1 2021	Not started	1
5	An Ethics Correspondent might be appointed to serve as the main contact point for all ethics related issues and to ensure a consistent approach to ethical issues throughout the Agency.	10	An Ethics Correspondent to be nominated and job description up-dated accordingly.	Q1 2020	Implemented	1

No.	CAAR proposal	No of corrective action	Corrective action proposed	Initial Target Date	State of play of implementation (implemented, in progress, planned)	Affected IC Principle
**Principle 2 - The MB demonstrates independence from management and exercises oversight of the development and performance of Internal control.**					
6	There is room to improve SLAs record management and to document a procedure defining roles and responsibilities of the actors involved on SLA approval and signature process.	11	As part of the Budgetary and financial management CAAR reporting packages (Part II.2.3.), EASO to include a summary of the information SLAs as per the guidelines provided in Annex VI of the CAAR.	Q2 2020	In Progress	2
		12	The Finance and Procurement Unit to document the procedure on how to implement SLA and the roles and responsibilities of the actors involved (RAO, IA and VA).	Q4 2020	Planned	
		13	Comprehensive overview/database of all service level agreements (SLAs) signed to be created in ERDMS.	Q4 2020	Planned	
7	EASO to report to the MB in the CAAR on the detection and correction controls activities in place (EASO anti-fraud strategy & fraud risk register).	14	A dedicated sub-section on prevention, detection and correction of fraud should be included in the EASO SPD and CAAR in order for the MB to be able to have oversight on the implementation of the agency's fraud risk register and antifraud strategy (indicating the date of its last update) during the year and on the mechanisms put in place for its monitoring.	Q2 2020	In Progress	2
8	The statement of the ICC in the CAAR should be accompanied by a Declaration by all Heads of Departments/ Centres taking responsibility for the completeness and reliability of management reporting on the result and achievements of objectives	15	In order to increase accountability and in accordance with legal requirements, it is suggested that all Heads of Departments/Centres sign a declaration	Q2 2020	In Progress	2
9	There is room to improve the coverage of ex-post controls and reporting on completeness of main control activities (evaluations, ex-	16	Completeness of the coverage of ex-ante financial controls implemented by FPU: a) Coverage per kind of expenditure operation (financial and in number of transactions); b) Analysis of rejections and data analysis per ex-expenditure operation (procurement, payments, commitments, contracts, etc.);	Q2 2021	Planned	2

No.	CAAR proposal	No of corrective action	Corrective action proposed	Initial Target Date	State of play of implementation (implemented, in progress, planned)	Affected IC Principle
ante and ex-post controls in EASO by introducing in the CAAR an assessment of the main control activities by category (ex-ante financial verification, ex-post financial verification and evaluations) accompanied by an overall analysis, which demonstrates the completeness, performance and the adequate coverage of controls activities in place.			c) Indicators of the 'legality and regularity' of the underlying transactions; d) Corrective actions; e) Late payment Analysis trend analysis (simplified/not simplified); f) Resource allocation trend analysis and performance.			
		17	Completeness of the coverage of ex-post financial controls: a) Coverage per kind of expenditure operation (financial and in number of transactions); b) Differentiated analysis by simplified financial circuits and not simplified financial circuits; c) Findings and data analysis per ex-expenditure operation (procurement, payments, commitments, contracts, etc.); d) Indicators of the 'legality and regularity' of the underlying transactions); e) Corrective actions and recommendations proposed; f) Resource allocation trend analysis and performance.	Q2 2021	Planned	
		18	Completeness of the coverage of evaluation controls: a) Coverage based on pre-defined and documented risk-tolerance by MT "High level expenditure activities" PMES Q3 2020; b) Management response sheet (serves as action plan as a result of evaluation) analysis state of play of recommendations; PMES Q2 2020; c) % Corrective actions and recommendations (accepted) implemented within agreed deadlines PMES annually starting with Q1 2021 d) Resource allocation trend analysis and performance.	Q2 2021	Planned	
Principle 3 - Management establishes, with political oversight, structures, reporting lines, and appropriate authorities and responsibilities in the pursuit of objectives.						
10	Strategy for efficiency gains and synergies for operational and financial activities	19	The MT to decide which service in EASO should coordinate the implementation of the strategy for efficiency gains and decide a timeline for the strategy to be reported in the coming SPD 2021 and CAAR 2020.	Q2 2020	In progress	3

No.	CAAR proposal	No of corrective action	Corrective action proposed	Initial Target Date	State of play of implementation (implemented, in progress, planned)	Affected IC Principle
	needs to be put in place.	20	Preparation of an ex-post control programme on efficiency gains and synergies for such a strategy to be the result of ad-hoc ex-post controls recommendations on the final report endorsed by the MT.	Q2 2021	Planned	
11	The ED to report to the MB on the cost (resources) and benefits of controls (the balance between effectiveness (including benefits), efficiency and economy of controls).	21	The EASO Control Strategy to define and include the relevant preventive and detective control activities to prevent fraud and irregularities and identify efficiency gains, by estimating, assessing and concluding on: • the trend analysis of the costs and resources deployed to such controls; • the benefits, efficiency, effectiveness and economy of these controls; • improvement of the cost-benefit of controls. The Control Strategy to further explain to what extent the applied control activities are best suited to fulfil the intended prevention internal control objectives efficiently and at reasonable cost.	Q2 2019	In Progress	3
		22	Provision of a workshop to all RAO on performance supervision arrangements and cost effectiveness analysis of controls.	Q4 2020	Planned	
		23	Proposal of an ad-hoc ex-post controls programme to be implemented on the definition of performance supervision arrangement for RAO to assess cost effectiveness of the controls under their responsibility	Q3 2020	Planned	
		24	The EASO MT to consider, assess and document the adequacy of IAS consultancy engagement report and recommendations on the decentralisation of EASO's financial and administrative services.	Q3 2020	Planned	

No.	CAAR proposal	No of corrective action	Corrective action proposed	Initial Target Date	State of play of implementation (implemented, in progress, planned)	Affected IC Principle
12	There is room to improve the design and implementation of management supervision structures in EASO. For example, RAOs report annually to be addressed to the AO.	25	Developing and documenting a supervision and reporting process from RAO to the ED. The report will be submitted annually including a declaration of assurance by each RAO and information from each Head of Department to the AO on: – the results of activities, operations or measures by reference to the objectives set; – the risks associated with these activities, operations or measures; – the use made of the resources provided; – remarks on the action taken to follow up the observations made in connection with earlier discharges or reports by the Court of Auditors or internal auditors; – remarks on action taken on any reservations expressed by the RAOs where such qualifications pointed to measures taken or to be taken to remedy malfunctioning.	Q1 2021	Planned	3
13	The financial delegations and nomination process has been significantly improved and standardized. Stronger controls will be performed at the level of the local profile management in the accounting system.	26	ED Decision on Delegations and Nomination to be amended in accordance with the new provisions of EASO financial regulation adopted by the MB in August 2019 and the reorganisation of EASO in December 2019 (effective as from January 2020).	Q2 2020	Planned	3
		27	To include an additional step after the LMP in the delegations and nominations workflow in paperless.	Q3 2020	Planned	
		28	Based on the feedback from HR, IT to revise all Delegations ABAC access rights to ensure that staff who left the agency did not retain rights and that ABAC access rights are given at budget line level.	Q4 2020	Planned	
		29	ABAC neutral verification to be implemented quarterly till the number of findings is reduced to adequate risk level.	Q2 2020	Planned	
		30	Finance Manual to be updated with new FR provisions particularly regarding governance and roles and responsibilities of financial actors regarding conflict of interest, fraud and irregularities reporting, financial	Q2 2020	Planned	

No.	CAAR proposal	No of corrective action	Corrective action proposed	Initial Target Date	State of play of implementation (implemented, in progress, planned)	Affected IC Principle
			irregularities panel, Governance and Internal Control.			
		31	An info session to be provided to all RAOs to explain them how EASO internal control systems in place (components, principles and characteristics) and new EASO FR provisions mitigates the risk of management overriding of control as well as their roles and responsibilities within EASO corporate governance framework.	Q3 2020	In progress	
**Principle 4 - The agency demonstrates a commitment to attract, develop, and retain competent individuals in alignment with objectives.**					
14	EASO competence model to be further developed and finalised.	32	A competence model to be developed for all the functions	Q4 2020	In Progress	4
		33	Completion of the ongoing process to up-date EASO book of job descriptions.	Q3 2020	In Progress	
15	There is room to improve control activities to ensure that the compulsory training competence framework for all the staff involved in the Financial Circuits is implemented.	34	Continuous training, focusing governance, risk management and internal controls is compulsory and needs to be provided regularly (every two years) to all staff involved on financial circuits and budget implementation.	Q3 2020	In Progress	4
		35	Training related table used for the nomination process to be improved by indicating nominee's role (FIA, OIA, OVA, FVA) and to facilitate follow-up.	Q2 2020	In Progress	
		36	Implement a detailed revision of attendance to mandatory training per unit/sector to ensure that only properly trained staff is executing relevant role.	Q1 2021	Planned	
		37	Nomination of contract managers' process to be revised by assessing the possibility to nominate contract managers at an appropriate level as well as to assess contract management skills during the recruitment process. In addition, CM nomination should be followed by the attendance to mandatory training before taking up the role or shortly after the nomination.	Q4 2020	Planned	
16	Internal mobility guidance documents to be developed in order to strike the right balance between continuity and renewal.	38	EASO to continue discussions at the level of the management, in order to formalise guidelines to promote internal mobility.	Q3 2020	In Progress	4

No.	CAAR proposal	No of corrective action	Corrective action proposed	Initial Target Date	State of play of implementation (implemented, in progress, planned)	Affected IC Principle
17	An exit procedure for staff leaving EASO and guidance on hand over reporting needs to be agreed and documented.	39	An exit procedure guidance for staff leaving EASO to be approved at the appropriate level.	Q2 2020	In Progress	4
18	EASO to adopt HR implementing rules.	40	Adoption of outstanding implementing rules.	Q2 2020	In progress	4
Principle 5 - The Agency holds individuals accountable for their internal control responsibilities in the pursuit of objectives.						
19	The assessment and trend analysis of internal controls monitoring criteria shows that there is room to increase staff accountability so that the quality, productivity and business opportunities are increased.	41	Definition of smart objectives, targets and performance indicators at Unit / Sector level to be documented and endorsed by the MT.	Q3 2020	In Progress	5
		42	Mission, tasks, objectives, targets and performance indicator of all Units/Sector to be made available on the EASO intranet	Q3 2020	Planned	5
		43	Monitoring on the achievement of the objective at Unit/Sector level quarterly by Head of Units and performance reported to ED.	Q1 2021	Planned	
		44	Assess whether the measures to enhance a culture of empowerment and trust are effective and efficient through ad-hoc ex- post controls.	Q4 2021	Planned	
		45	Workshop with extended MT to assess proposals for SPD better reflect agency priorities and how to make financial and operational reporting more accurate and complete.	Q3 2020	Planned	
		46	Workshop to guide MT on measures to increase accountability perception of the staff.	Q1 2021	Planned	
		47	Progress reports to be communicated to EASO staff through EASO intranet.	Q2 2020	In Progress	
		48	HR to assess whether there is room to improve the annual assessment process so that underperformance cases are documented and addressed.	Q1 2021	Planned	
		49	Job descriptions to be updated and always agreed with the job holders.	Q2 2020	In Progress	

No.	CAAR proposal	No of corrective action	Corrective action proposed	Initial Target Date	State of play of implementation (implemented, in progress, planned)	Affected IC Principle
		50	Heads of Sector/Unit/ Department to be trained on how to build strategic and operational objectives that are SMART (Specific, Measurable, Achievable, Relevant and Timed) and how to identify related quantitative/qualitative RACER (Relevant, Accepted, Credible, Easy to monitor and robust) performance indicators.	Q1 2021	Planned	
Principle 6 - The Agency specifies objectives with sufficient clarity to enable the identification and assessment of risks relating to objectives.						
20	EASO MT to further document and agree on risk tolerance level for specific processes.	51	– The MT, with the support of the Finance and Procurement Unit and Internal Control Coordinator, should agree and document clear instructions addressed to EASO services on the risk tolerance for: Significant level expenditure activities subject to ex-ante and ex-post evaluations, which shall be proportionate to the objectives and expenditure; – Ex-post controls of financial expenditure operations, that is procurement, legal commitments, budget commitments, payments, etc. (number of mis-statements and/or irregularities per expenditure operation population); – High level expenditure procurement operations to be the object of a specific risk assessment.	Q4 2020	Planned	6
		52	Guidance and templates, based on the specific methodology for procurement risk management of DG BUDG, to be provided to RAOs.	Q1 2021	Planned	

No.	CAAR proposal	No of corrective action	Corrective action proposed	Initial Target Date	State of play of implementation (implemented, in progress, planned)	Affected IC Principle
		53	FPU, with the support of the ICC, should adopt a guidance methodology with templates, forms and checklist to support EASO RAOs on procurement risk management exercise for specific procurement projects, based on the risk tolerance approved by the MT, in accordance with the international best practices for risk management and by analogy with the minimum standards for procurement specific projects adopted by the Commission for its own departments. This guidance might be incorporated in the chapter of the SOP on procurement where several examples of the more common risk for some phases of the procurement procedure are described.	Q1 2021	Planned	
**Principle 8 - The Agency considers the potential for fraud in assessing risks to the achievement of objectives.**
21	EASO should set a sound fraud risk management process and put in place an antifraud strategy to improve the prevention, detection and conditions for investigating fraud and to set out a reparation deterrence measures.	54	A fraud risk assessment process methodology to be documented and endorsed by the MT, following a bottom up approach in line with the methodology suggested in EASO's Manual for Risk Management (EASO/ED/2019/254).	Q1 2020	Implemented	8
		55	A continuous, proactive and systematic process of identifying, assessing and managing risks in line with the acceptable risk levels, is carried out at every level of EASO and considers the risk of fraud to provide reasonable assurance as to the achievement of objectives.	Q2 2020	Implemented	
		56	During the fraud risk management process, the ICC will propose for each fraud prevention objective and priority measure, existing and missing control activities to the MT. In doing so, the ICC will also assess the effectiveness / appropriateness of the control activities to determine the residual fraud risks that require mitigation.	Q2 2020	Implemented	
		57	EASO Fraud Risk Register corrective action to be communicated to the MB	Q2 2020	In Progress	
		58	The EASO Anti-Fraud Strategy (2020-2022) to be adopted by the MB.	Q2 2020	In Progress	
		59	An info session for Risk Management Correspondents raises awareness on fraud prevention and fraud risk register	Q3 2020	Planned	

No.	CAAR proposal	No of corrective action	Corrective action proposed	Initial Target Date	State of play of implementation (implemented, in progress, planned)	Affected IC Principle
			once the Risk Register is endorsed by the MT.			
		60	The Fraud Risk Register is made available on the EXO Intranet site and is accessible to all EASO staff members.	Q2 2020	In Progress	
		61	EASO Anti-Fraud Strategy is communicated at all levels (Staff, MT and MB) by making it available in EXO intranet.	Q2 2020	Planned	
		62	The MT, with the support of the ICC, is to identify the control activities aimed at mitigating and address the possibility of pre-defined sensitive functions to override controls (EASO/ED/2019/301).	Q4 2020	Planned	
		63	An ex-post control function that is adequately resourced is established in EXO to detect and prevent the risk of management overriding of controls.	Q1 2021	Planned	
22	There is room to increase awareness on fraud prevention and identification, including all aspects of the Fraud Triangle to EASO staff.	64	An info session to all staff to increase awareness on fraud prevention and introduce the EASO Anti-Fraud Strategy.	Q3 2020	Planned	8
		65	Updated and appropriate information including new fraud prevention controls and the Anti-Fraud Strategy process information should be included on the content and training material (ICRM 02 half day training on risk management and fraud preventions).	Q3 2020	Planned	
		66	All actors involved in the annual risk management process to be trained on fraud prevention and all aspects of the Fraud triangle, so that during the exercise they can focus on incentives and pressures, opportunities, attitudes and rationalisations to commit fraud.	Q4 2020	Planned	
		67	Guidance on fraud prevention and identification, including all aspects of the Fraud Triangle, documented and made available to staff on the ICRM sector intranet.	Q2 2020	In progress	
23	There is room to improve the way EASO evaluates, monitors, measures and reports to the MB on the implementation of	68	The Fraud Risk Register Action Plan (that is annexed to the Anti-Fraud Strategy) is monitored on a quarterly basis and the result reported quarterly to the ED in the form of a report and during info sessions to the Risk Management Correspondents.	Q2 2020	Implemented	8

No.	CAAR proposal	No of corrective action	Corrective action proposed	Initial Target Date	State of play of implementation (implemented, in progress, planned)	Affected IC Principle
	fraud control activities and fraud risk responses.	69	The action plan is re-assessed by the MT on an annual basis to determine whether the fraud prevention risk management objectives and priority measures are effectively achieved. The results are reported to the MB in the CAAR	Q2 2020	Implemented	
		70	A performance indicator to be introduced in the quarterly reporting to the MB indicating the percentage % of the corrective actions included in the fraud action plan that are implemented on time.	Q3 2020	In progress	
Principle 9 - The Agency identifies and assesses changes that could significantly impact the internal control system.						
24	There is room to improve the guidelines to staff on the changes on the governance and internal control procedures introduced by new Financial Regulation adopted by the MB in August 2019.	71	Provision of in-depth documented analysis, guidance and quizzes of new internal control and governance new requirements of EASO Financial Regulation to all EASO staff.	Q4 2020	Planned	9
Principle 10 - The Agency selects and develops control activities that contribute to the mitigation of risks to the achievement of objectives to acceptable levels.						
25	Two non-statutory staff interims were acting as FIA in EASO financial circuits during 2019.	72	The ED to set the level of risk considered acceptable by the Agency in pursuit of its strategic objectives (Risk Tolerance).	Q2 2020	Planned	10
26	Taking into account EASO change environment, delegations and sub-delegation of financial authority should be up-dated regularly (at least quarterly) as a control measure for monitoring and	73	Taking into account EASO change environment, delegations and sub-delegation of financial authority should be up-dated regularly (at least quarterly) as a control measure for monitoring purposes and to feed the needs of the service based on new appointed line managers.	Q2 2020	In progress	10

No.	CAAR proposal	No of corrective action	Corrective action proposed	Initial Target Date	State of play of implementation (implemented, in progress, planned)	Affected IC Principle
	reporting purposes and to respond to the needs of the service based on new appointed line managers.	74	The ED to report in the CAAR on the assurance received from other Authorising Officers by Delegation, regarding: o Time-limit of the delegation-sub-delegations o List of the budget lines covered by sub-delegations granted to another AOD; o A summary of the conditions of these delegations and sub-delegations (i.e. the control and reporting requirements); • Information on the controls carried out, any weaknesses identified and the actions taken to remedy these.	Q2 2020	In progress	
27	There is room to improve accuracy of implementation and follow up of compulsory training map for all statutory staff.	75	HR to assess which staff members have followed compulsory training in other agencies. Evidence should be gathered to validate training in other institutions and bodies.	Q3 2020	Planned	10
		76	As part of the on boarding procedure, HR to ensure checks of attendance to compulsory training in other institutions.	Q2 2020	Planned	
		77	Training map of compulsory training according to regulatory framework should be kept up to date for every staff member.	Q3 2020	Planned	
		78	Regular reminders (quarterly) to be sent to line mangers to remind about obligatory training not attended by their members of staff and therefore not recorded in a training map.	Q3 2020	Planned	
		79	Once the training map is up-dated, nomination and delegations to be benchmarked against the accurate compulsory training maps in order to identify the actor on the financial circuits that have not followed the compulsory training and apply corrective action.	Q4 2020	Planned	
		80	An effective control measure should be developed to ensure both FPU and HR duly monitor that staff involved on the financial circuits has followed the compulsory training and quarterly report are sent to the line manager to ensure and enforce compliance Q1 2020.	Q1 2020	Implemented	
28	There is room to improve the level of assurance regarding the existence of the	81	EASO to seek advice to assess the legality and regularity of the workflow for signature of order forms and particularly whether EASO fully complies with Article	Q2 2020	In progress	10

No.	CAAR proposal	No of corrective action	Corrective action proposed	Initial Target Date	State of play of implementation (implemented, in progress, planned)	Affected IC Principle
	validated budgetary commitment in ABAC to provide to RAOs before signature of legal commitments.		45 of the General FR and the four eyes principle.			
		82	Taking a risk of potential non-compliance with Art 45 and number of exceptions/non-compliances events in 2019, the ED to assess the risk and cost effectiveness of non-putting an ex-ante control whether the budgetary commitment is in place before the signature of the order forms.	Q2 2020	In progress	
		83	Revised SOP on risk management to be adopted, to align the risk identification and risk assessment with the annual activity planning.	Q2 2020	In progress	
29	EASO MT has not identified the risk factors based on which the ED has to define the sensitive functions at the Agency and the mitigating controls that can reduce the risk of misuse of powers to an acceptable level.	84	The ED will identify and document the sensitive functions. The risk identified shall be managed by mitigating controls proposed by the ICC and approved by the MT.	Q4 2020	Planned	
30	EASO financial circuits has not been defined with due consideration to a documented risks and cost-effectiveness analysis.	85	The ED to assess and determine with Unit/Sector should implement risks and cost-effectiveness analysis of EASO Financial Circuits. The Unit/Sector chosen in coordination with EXO and FPU should perform and document the assessment.	Q3 2020	Planned	10
		86	Following the preliminary assessment by the MT of IAS consultancy report on financial decentralisation: 1. An action plan should be prepared on the follow up of the accepted recommendations; 2. Whether recommendation from IAS are not accepted it should be documented.	Q4 2020	Planned	

No.	CAAR proposal	No of corrective action	Corrective action proposed	Initial Target Date	State of play of implementation (implemented, in progress, planned)	Affected IC Principle
31	EASO does not have a Business Continuity Plan (BCP) based on Business Impact Analysis (BIA) following corporate guidance.	87	Corporate guidance and methodology for business impact analysis and business continuity is documented and adopted by ED based on the key reference documents and best practices as per provisions of Decision 42 of EASO MB of 21 December 2028 on the Internal Control Framework of EASO: • Framework for Business Continuity Management in the Commission of 12/7/2006 SEC(2006) 898; • SEC 2011 (628). Revised annex 1.3 of SEC(2006) 899) on critical, essential and necessary corporate IT services and systems.	Q3 2020	In progress	10
		88	Business impact analysis following corporate guidance to be implemented.	Q3 2020	In progress	
		89	The Business continuity board to update and document EASO current and future critical and essential functions and back-ups based on a business impact analysis.	Q4 2020	In progress	
		90	A BCP is adopted based on business impact analysis and predefined critical functions.	Q4 2020	Planned	
		91	Guidance for critical staff and other staff on business continuity plan is regularly updated and used by trained staff.	Q1 2021	In progress	
		92	A Business continuity manager to be nominated following adoption of ED decision on Alerting and Notification in Emergency Situations.	Q2 2020	In progress	
32	Disaster recovery plan for IT systems is under the development and consists of a collection of "product" checklists. Currently EASO has documented the practices that have	93	Methodology and guidance to develop disaster recovery plan for IT systems to be documented and adopted by ED.	Q4 2020	Planned	10

No.	CAAR proposal	No of corrective action	Corrective action proposed	Initial Target Date	State of play of implementation (implemented, in progress, planned)	Affected IC Principle
	enabled business continuity, resulting either from planned maintenance exercises or from planned and practiced recoveries in more advanced platforms. It is important to note that the critical infrastructure of EASO (active directory, email, databases, files and backups) are synchronized constantly between sites.	94	Based on the methodology and guidance adopted by the ED, the disaster recovery plan for IT systems is developed under the business continuity framework of EASO.	Q4 2020	Planned	
Principle 11 - The Agency selects and develops general control activities over technology to support the achievement of objectives.						
33	ICT security aspects were formalised in governance documents and/or policies, nevertheless, guidelines, templates and checklists to be further developed	95	Relevant guidelines, templates and checklists to be developed, to support a common approach to security requirements to be further developed.	Q$ 2020	In progress	11
34	Guidelines and instructions to support EASO Project Management and to better streamline the project management process are under the development.	96	New version of the EASO/SOP/10_M Procedure of implementing Project Governance and Project Management Methodology in EASO to be finalised.	Q4 2020	In Progress	11
Principle 12 - The Agency deploys control activities through corporate policies that establish what is expected and in procedures that put policies into action.						
35	An in-depth analysis of EASO governance processes and procedures to be implemented and documented and a	97	Control activities implemented through policies and procedures linked to EASO Internal Control Principles to be duly documented in ERDMS and up-dated based on an in deep assessment implemented by EASO Quality assurance sector.	Q4 2020	In progress	12

No.	CAAR proposal	No of corrective action	Corrective action proposed	Initial Target Date	State of play of implementation (implemented, in progress, planned)	Affected IC Principle
	process landscape to be implemented.	98	The process landscape to be re-discussed and agreed with EASO MT.	Q4 2020	In Progress	
		99	Once the process mapping is adopted and agreed by the MT, ICT shall provide a process mapping tool accessible to all staff.	Q2 2021	Planned	
		100	Up-dated list of policies linked to each Internal Control Principle will be made available to all the staff on the intranet.	Q2 2020	In Progress	
36	Based on the EASO policy on the identification of the Sensitive functions, the sensitive positions/functions are not documented yet based on a risk assessment exercise and the risks associated with the sensitive functions are not managed through mitigating controls.	101	The MT, with the support of the ICC, to assess and define sensitive functions based on pre-defined risk factors: a) decision making capacity; b) capacity to influence decisions; c) regular access to sensitive information; d) high level contacts; e) high level of expertise (EASO/ED/2019/301.	Q4 2020	Planned	12
37	There is room to enhance a new periodic evaluations process in EASO.	102	Findings and the action plans following the evaluations to be discussed and reported to the MT and the MB.	Q£ 2020	Planned	12
		103	Follow up on the evaluations actions plans to be reported in the CAAR 2020.	Q2 2021	Planned	
**Principle 13 - The Agency obtains or generates and uses relevant quality information to support the functioning of internal control.**					
38	EASO Business classification scheme and Record Retention and Disposal Policy to be formally approved.	104	The EASO Business classification scheme and Record retention, and disposal policy will be finalised and approved, with the support of Heads of Units and Departments.	Q2 2020	In progress	13
39	EASO to develop a central and common physical paper archive	105	A central and common physical paper archive with adequate security measures to be made available.	Q1 2021	In progress	13
40		106	ERDMS to be fully implemented throughout the organisation.	Q3 2020	In Progress	13

No.	CAAR proposal	No of corrective action	Corrective action proposed	Initial Target Date	State of play of implementation (implemented, in progress, planned)	Affected IC Principle
	DMS to be fully implemented in all EASO Units.	107	ERDMS training to be compulsory for all EASO users and included in EASO staff training map.	Q4 2021	Planned	
Principle 14 - The Agency internally communicates information, including objectives and responsibilities for internal control, necessary to support the functioning of internal control.						
41	Whistleblowing hotlines needs to be explained and made available to EASO staff.	108	Whistleblowing hotlines, including fraud allegation templates forms, to be made available to EASO staff on the intranet	Q2 2020	In progress	14
Principle 16 - The Agency selects, develops, and performs ongoing and/or separate assessments to ascertain whether the components of internal control are present and functioning.						
42	EASO is looking into the possibility to reinforce ex-post controls and internal capability.	109	The ICRM Sector to be adequately resourced by Q1 2021.		In progress	16
Principle 17 - The Agency assesses and communicates internal control deficiencies in a timely manner to those parties responsible for taking corrective action, including senior management and the MB, as appropriate.						
43	The EASO MT to support the implementation of very delayed internal control corrective actions and to ensure that resources are allocated timely to ensure performance.	110	In order to ensure continuous monitoring of the performance of the IC system and timely implementation of remedial actions quarterly, reports on the state of the play on IC framework of EASO will be addressed to the MT for endorsement including new/updated deficiencies and corrective actions.	Q3 2020	Planned	17
44	There is room to better align the staff engagement survey question with internal control self-assessment needs.	111	Staff engagement surveys to be implemented annually and the questions to be aligned with EASO internal control needs.	Q4 2020	Planned	17
		112	To assess the possibility of the neutral answers in the staff engagement survey 'neither agree, nor disagree' to be disaggregate better in order to increase the added value of the results for the decision-making purposes.	Q4 2020	Planned	

Annex X: Anti-fraud objectives, priority measures and control activities

Fraud Prevention Risk Management Objectives	Priority Measures[34]	Control Activities[35] (IMPLEMENTATION STATUS: Implemented / in progress/ planned)
1. Fraud Risk Governance EASO's MT and MB demonstrate in their instructions and actions commitment to high integrity and ethical values regarding managing fraud risk by establishing and communicating to all staff a sound and solid ethical framework and Anti-Fraud Strategy	**1.1 Makes an Organisational Commitment to Fraud Risk Management** – With the support of the ICC, the MT is involved in and demonstrates commitment to the fraud risk management process by establishing and documenting objectives and priority measures to prevent and detect fraud.	• The ED establishes and documents objectives and priority measures to prevent and detect fraud (EASO/EDD/2020/078[36]) - Implemented • Fraud risk assessment results and action plan are re-assessed and endorsed by the MB - Implemented
	1.2 Supports Fraud Risk Governance - The MT supports fraud risk management as a 'key element' of corporate governance by sponsoring and communicating the fraud risk register to the MB and EASO staff.	• The EASO Fraud Risk Register is communicated to the MB - In progress • An Info session for Risk Management Correspondents raises awareness on fraud prevention and the fraud risk register - In progress • The Fraud Risk Register is made available on the EXO intranet site and is accessible to all EASO staff members - In progress
	1.3 Establishes a comprehensive Anti-Fraud Strategy - The MT provides a solid foundation of fraud risk management by establishing a "comprehensive" anti-fraud strategy.	• A "comprehensive" Anti-Fraud Strategy is established, based on the fraud risk management exercise process that followed a pre-defined agreed methodology by the MT (EASO/EDD/2020/078) – Implemented
	1.4 Establishes Fraud Risk Governance Roles and Responsibilities throughout the Agency - The MT identifies and appoints the appropriate function with a key role and responsibilities regarding the implementation of the Anti-Fraud Strategy.	• The ED to agree with the MT on the key governance roles and responsibilities throughout the Agency on fraud risk management. These shall be documented and approved by the ED. (EASO/EDD/2020/078) - Implemented • The EASO MT has identified the Head of ICRM sector (ICC) as a key function with a key role and responsibility to coordinate the implementation of EASO fraud risk management and the process

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[34] This priority measures have been proposed by the ICC but may be modified by EASO MT during the fraud risk management process

[35] The control activities are to be proposed by the ICC and endorsed by the MT. Some control activities may be the MT risk response to an identified fraud risk

[36] Decision of the Executive Director of 8 April 2020 on the Manual for Fraud Risk Management (EASO/EDD/2020/078)

Fraud Prevention Risk Management Objectives	Priority Measures[34]	Control Activities[35] (IMPLEMENTATION STATUS: Implemented / in progress/ planned)
		to up-date the Anti-Fraud Strategy. This is documented and approved by the ED. (EASO/EDD/2020/078) - Implemented. • EASO has appointed an Ethical Correspondent function in the HRSU to increase awareness and maintain the highest ethical standards, as well as guide staff to be able make ethical decisions, including taking the necessary actions for fraud prevention – Implemented
	1.5 Communicate the Anti-Fraud Strategy at all levels - The MT supports the ongoing effectiveness of the Anti-Fraud Strategy by maintaining and communicating a continuous focus on fraud deterrence, prevention and detection throughout the Agency.	• The EASO Anti-Fraud Strategy is communicated at all levels (Staff, MT and MB) by making it available on the EXO intranet - In progress • An info session to all staff to explain and increase awareness on fraud prevention and introduce the EASO Anti-Fraud Strategy -In progress • Continuous training, focusing on fraud risk management, fraud deterrence, prevention and detection is compulsory and needs to be provided regularly (every two years) to all staff involved on financial circuits and budget implementation (through ICRM 02 - half day training on risk management and fraud prevention) - In Progress • Updated and appropriate information including new fraud prevention controls and the Anti-Fraud Strategy process information should be included on the content and training material (through ICRM 02 - half day training on risk management and fraud prevention) - In progress
2. Fraud Risk Assessment Based on EASO fraud prevention risk	**2.1 Involves appropriate levels of management and staff from across the different entities and functions of the Agency** - The fraud risk assessment process includes appropriate levels and recognises that fraud can happen at any level or component of the Agency.	• The fraud risk assessment process follows a bottom up approach in line with the methodology suggested in EASO's Manual for Risk Management (EASO/ED/2019/254[37]), by including Risk Management Correspondents from every Unit before the ICC proposes the critical and significant risks to the MT for re-assessment - Implemented

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[37] Decision of the Executive Director of 29 September 2019 on the Risk Management Manual (EASO/EDD/2019/254)

Fraud Prevention Risk Management Objectives	Priority Measures[34]	Control Activities[35] (IMPLEMENTATION STATUS: Implemented / in progress/ planned)
management objectives and priorities, the MT performs comprehensive fraud risk assessments to identify specific fraud incentives, pressures and opportunities, evaluates existing fraud control activities and implements actions to mitigate residual fraud risks.	**2.2 Analyses Internal and External Factors** – The fraud risk assessment process considers both internal and external factors and their impact on the achievement of objectives.	• During the fraud risk assessment exercise, both internal and external factors that might lead to fraud risk are considered. The critical and significant fraud risks that might impact the achievement of EASO's objectives are documented in the central Risk Register in line with the methodology specified in EASO's Manual for Risk Management (EASO/ED/2019/254) - Implemented
	2.3 Considers risk of management override of controls - The fraud risk assessment considers specifically the risk of management override of controls	• Exceptional circumstances that may impose decisions by management which represent a deviation from established controls are to be approved by the ED and documented in the central register of exception in accordance with an agreed methodology and monitored by the ICRM sector (EASO/ED/2019/417 - Implemented. • The ex-post control function is reinforced, with among other objectives, to detect irregularities and red flags of fraud and prevent the risk of management overriding of controls - In progress • The roles and responsibilities of RAOs are duly explained, documented and agreed upon in a charter of tasks and responsibilities, which is acknowledged and signed by all RAOs. The Charter conforms to requirements under the Financial Regulation and explain the responsibilities and consequences when a manager overrides controls - Implemented • The roles and responsibilities of staff responsible for ex-ante and ex-post financial verification are explained, documented and agreed in a Code of professional standards. The Code conforms to legislative requirements in the Financial Regulation - Implemented • The Internal Audit Service (IAS) evaluates EASO's internal controls, including the efficiency and effectiveness of controls in place to mitigate the risk of management override of controls - Implemented

Fraud Prevention Risk Management Objectives	Priority Measures[34]	Control Activities[35] (IMPLEMENTATION STATUS: Implemented / in progress/ planned)
		• The Finance Manual[38] to be updated with new EASO FR provisions, particularly the roles and responsibilities of financial actors regarding conflicts of interest, fraud and irregularities reporting, financial irregularities panel, Governance and Internal Control - In progress • An info session is annually provided by the ICRM sector to all RAOs to explain them how EASO internal control systems in place (components, principles and characteristics) and associated mitigate the risk of management overriding of control as well as their roles and responsibilities when a RAO overrides controls. - In progress • The External Court of Auditors (ECA) assesses whether expenditure operations comply with relevant legal and regulatory framework requirements, and amongst other purposes, it may reduce the risk of management override of controls - Implemented • A specific workflow-code "OV" is available to the Initiating function in ABAC to guarantee that all instances of RAOs overriding ex-ante controls are documented. The use of this code is explained in the Finance Manual and can only be issued by the Initiating Agent after a rejection "SR" by the verification function - Implemented
	2.4 Estimates the Likelihood and Significance of Risks Identifies - The fraud risk assessment team carefully evaluates the probability that each particular fraud risk could occur and the potential effects on the Agency if that particular fraud occurs	• A continuous, proactive and systematic process of identifying, assessing and managing risks in line with the acceptable risk levels, is carried out at every level of EASO and considers the risk of fraud to provide reasonable assurance as to the achievement of objectives. Each fraud risk's identified severity is based on two criteria: Likelihood of each particular risk's occurrence & Impact

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[38] Decision of the Executive Director of 15 February 2019 on the adoption of a new Finance Manual for EASO (EASO/ED/2019/95)

Fraud Prevention Risk Management Objectives	Priority Measures[34]	Control Activities[35] (IMPLEMENTATION STATUS: Implemented / in progress/ planned)
		of the potential effects if the fraud risk occurs (EASO/ED/2019/254) Implemented
	2.5 Assess Personnel or Centres/Units/Sectors involved and all aspects of the Fraud Triangle - The fraud risk assessment team focuses on incentives and pressures, opportunities, attitudes and rationalisations to commit fraud.	• All actors involved in the annual risk management process are to be trained on fraud prevention and all aspects of the Fraud Triangle, so that during the exercise they can focus on incentives and pressures, opportunities, attitudes and rationalisations to commit fraud (Three training sessions of three hours each to be provided to the following target audiences: all staff[39], risk management correspondents and the MT) - In progress • Guidance on fraud prevention and identification, including all aspects of the fraud triangle, are documented and made available to staff on the ICRM sector intranet - In progress • The MT, together with the support of the ICC, to assess and define sensitive functions based on pre-defined risk factors: a) decision making capacity; b) capacity to influence decisions; c) regular access to sensitive information; d) high level contacts; e) high level of expertise (EASO/ED/2019/301) - In progress
	2.6 Identifies Existing Fraud Control Activities and Assesses Their Effectiveness - The fraud risk assessment team identifies and evaluates existing and missing controls for effectiveness to determine residual fraud risks that require mitigation.	• During the fraud risk management process, the ICC will propose for each fraud prevention objective and priority measure, existing and missing control activities to the MT. In doing so, the ICC will also assess the effectiveness / appropriateness of the control activities to determine the residual fraud risks that require mitigation - Implemented
	2.7 Determines How to Respond to Risks - The fraud risk assessment team's ultimate goal is to formulate effective and appropriate responses to all fraud risks.	• As a result of the fraud risk management process, the main risk responses are summarised and documented in the Fraud Risk Register Action Plan annexed to this Strategy - Implemented
	2.8 Performs Periodic Reassessments and Assesses Changes to Fraud Risk – The Agency repeats the risk assessment process periodically and at least once per year and considers changes	• In accordance with EASO/ED/2020/078, the ICC will coordinate periodic re-assessments, and assess changes to fraud risk.

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[39] Statutory Staff, SNEs and Interims

Fraud Prevention Risk Management Objectives	Priority Measures[34]	Control Activities[35] (IMPLEMENTATION STATUS: Implemented / in progress/ planned)
	affecting EASO, including changes in the external environment, operations, personnel and leadership that can affect fraud risks.	Furthermore, the MT will - at least annually - re-assess the results of the fraud risk management process - Implemented
3. Fraud Control Activity EASO mitigates the risk of fraud events occurring or not being detected in a timely manner through selecting, developing, and deploying preventive and detective fraud control activities through all the priority areas.	**3.1 Promotes Fraud Deterrence through Preventive and Detective Control Activities** – The Agency addresses its fraud deterrence as a process of eliminating factors that may cause fraud to occur and understand that deterrence results from having effective preventive and detective fraud control activities in place.	• The Code of professional standards for staff responsible for financial verification[40], which conforms to legislative requirements in the EASO Financial Regulation[41], explains amongst other things the mission of verifying agents to support the ED in the achievement of internal control objectives that include fraud prevention - Implemented • The Internal Audit Service (IAS) evaluates EASO's internal controls, including the efficiency and effectiveness of controls in place to mitigate the risk of management override of controls - Implemented • The External Court of Auditors (ECA) assesses whether expenditure operations comply with relevant legal and regulatory framework requirements, and amongst other purposes it may also reduce the risk of management override of controls - Implemented
	3.2 Integrates with the Fraud Risk Assessment – The Agency ensures that the design and implementation of fraud control activities link directly to the fraud risk assessment.	• EASO has documented and identified fraud control activities in an Anti-Fraud Strategy. These control activities are also linked directly to the fraud prevention objectives and priority measures as a result of carrying out the fraud risk assessment process (EASO/EDD/2020/078) - Implemented
	3.3 Considers the Application of Control Activities to Different Levels of the Agency – EASO ensures that fraud control activities exist throughout the Agency at all appropriate levels.	• The EASO Internal Control Framework[42] (components, principles and characteristics) defines the control activities to be implemented at different levels of the Agency (Departments/Centres, Units, Sectors) based on the minimum

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[40] Annex 9 "Code of Professional Standards for Staff Responsible for ex-ante or ex-post Financial Verification" of the Decision of the Executive Director of 6 November 2017 on the Delegation of Financial Authority and Nominations to carry out one or more specific tasks in preparation for/or ancillary to budget implementation (EASO/ED/2017/308)

[41] Management Board Decision no 54 of 14 August 2019 on the EASO Financial Regulation (EASO/MB/2019/167)

[42] Management Board Decision no 42 of 21 December 2018 on the Internal Control Framework of EASO (EASO/MB/2018/159)

Fraud Prevention Risk Management Objectives	Priority Measures[34]	Control Activities[35] (IMPLEMENTATION STATUS: Implemented / in progress/ planned)

		standards adopted by the Commission for its own services) - Implemented
		• The EASO Anti-Fraud Control Strategy to define and include the relevant preventive and detective control activities to prevent fraud and irregularities by estimating, assessing and concluding on:
		  - The trend analysis of the costs and resources deployed to such controls;
		  - the benefits, efficiency, effectiveness and economy of these controls;
		  - improvement of the cost benefit of controls.
		The Control Strategy is to further explain to what extent the applied control activities are best suited to fulfil the intended fraud prevention internal control objectives efficiently and at reasonable cost - In progress
		• EXO to provide a workshop to all RAOs on performance supervision arrangements and cost effectiveness analysis of controls - In progress
		• EXO to propose a work programme to the ED for approval of ad-hoc ex-post controls to be implemented on the definition of performance supervision arrangement for RAOs to assess cost effectiveness of the controls under their responsibility. The results will feed into the EASO Control Strategy to guide all RAOs on how to implement homogeneous supervision arrangements through all steps of the financial circuits – In progress

	3.4 Uses a Combination of Fraud Control Activities – The Agency ensures that fraud control activities include a range of preventive and detective controls that also address the possibility of management to override controls.	• The MT, with the support of the ICC, is to identify the control activities aimed at mitigation and is to address the possibility of pre-defined sensitive functions to override controls (EASO/ED/2019/301[43]) - In progress

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43   Decision of the Executive Director of 30 September 2019 on the identification and management of sensitive functions within EASO (EASO/ED/2019/301)

Fraud Prevention Risk Management Objectives	Priority Measures[34]	Control Activities[35] (IMPLEMENTATION STATUS: Implemented / in progress/ planned)
		• EASO exceptions and non-compliance procedures provide for documenting in a central register any exception or non-compliance events. RAOs propose preventive controls to mitigate the risk of those exceptions and non-compliance events from happening again – Implemented • EXO to assess and monitor implementation of those proposed corrective controls and measures to address exceptions and non-compliances deficiencies reported by RAOs and to report the result to the MT (EASO/ED/2019/417[44]) - In progress • A specific workflow-code "OV" is available to the Initiating function in ABAC to guarantee that all instances of RAOs overriding ex-ante controls are documented. The use of this code is explained in the Finance Manual and can only be issued by the Initiating Agent after a rejection "SR" by the verification function – Implemented
	3.5 Deploys Control Activities through Policies and Procedures – EASO ensures that fraud control activities are thoroughly documented and implemented through policies and procedures.	• Fraud control activities implemented through policies and procedures linked to EASO Internal Control Principles to be duly documented in ERDMS and up-dated based on an in-depth assessment implemented by an EASO quality officer – In progress • Up-dated list of policies linked to each Internal Control Principle will be made available to all the staff on the ICRM sector intranet - In progress • EXO to provide all EASO staff with an in-depth analysis guidance and quizzes of new internal control and governance requirements of EASO new FR adopted by MB in July 2019 (including fraud, irregularities and conflict of interest new provisions) including an info session to all staff. Surveys after the training to be implemented – In progress

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[44] Decision of the Executive Director of 2 October 2019 on the manual for the management of exceptions and non-compliance events (EASO/ED/2019/417)

Fraud Prevention Risk Management Objectives	Priority Measures[34]	Control Activities[35] (IMPLEMENTATION STATUS: Implemented / in progress/ planned)
		• EXO, with the support of DoA, to assess the possibility of developing specific fraud risk assessment methodology for procurement and HR processes to be developed – In progress • Specific guidance and attention to fraud issues when drafting contracts is provided in the Procurement Standards Operation procedures approved by the ED - Implemented • A policy for the identification and assessment of sensitive functions where there is a risk of the jobholders deliberately using their decision-making power or influence with a view to gaining some personal advantage (financial or otherwise) is in place (EASO/ED/2019/254) - Implemented
4. Fraud Investigation and Corrective Action EASO establishes a communication process to obtain information about potential fraud and deploys a coordinated approach for investigation and corrective action to address fraud appropriately and in a timely manner.	**4.1 Establishes Fraud Investigation and Response Protocols** - The Agency establishes processes for communications relating to potential fraud.	• Conditions and terms for internal investigation in relation to fraud, corruption and any illegal activity - Implemented • Guidelines on Whistleblowing[45] are made available to staff on EASO's HR and EXO Intranet sites and explained through appropriate training (for example ethics and integrity training, fraud prevention) - Implemented • Staff members are sufficiently made aware of the rules to report fraud and irregularities through trainings (Ethics and integrity, fraud prevention) - Implemented • Whistleblowing hotlines to be made available to staff by creating a link on EASO's Intranet site to OLAF's online forms for fraud allegation, also including more information on what to do in case of red-flag of fraud - In progress • In line with the 'Commission Decision of 12.6.2019 laying down general implementing provisions on the conduct of administrative inquiries and disciplinary proceedings' which became applicable to EASO by analogy on 17/03/2020, LDPS might perform an initial assessment of whether each potential case of fraud reported has prima-facie grounds for conducting a

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[45] Management Board Decision no 57 of 20 September 2019 establishing the EASO's Guidelines on Whistleblowing (EASO/MB/2019/172)

Fraud Prevention Risk Management Objectives	Priority Measures[34]	Control Activities[35] (IMPLEMENTATION STATUS: Implemented / in progress/ planned)
		further, more thorough examination. In doing so, all business units and other internal entities are to promptly provide it with any requested information and/or documents. This will be a preliminary assessment phase independently of the whistleblowing facilities provided to staff. - In progress
	4.2 Conducts Investigations – The Agency has in place the means to undertake investigations of potential fraud, giving due consideration to the scope, severity, credibility and implications of communicated matter.	• Framework contract BUDG-19-PO for Audits and Controls has been made available to EASO by DG BUDG and provide for forensic audit services where the purpose is to uncover or disprove a fraud and determine the amount of the damages suffered. The findings might be used in a legal proceeding (subject to prior approval by OLAF and IAS to avoid jeopardizing any ongoing investigation) - Implemented
	4.3 Communicates Investigation Results – OLAF or other investigators communicates the results of its investigation to the appropriate internal authority, and where necessary to external third parties.	• OLAF or other investigators communicates the results of its investigation to the ED and MB - Implemented.
	4.4 Takes timely Corrective Action – The Agency selects transparent corrective measures and particularly discipline, remediation, asset recovery, training, civil action and/or criminal referral to address timely the findings of the investigation.	• COMMISSION DECISION of 12.6.2019 laying down general implementing provisions on the conduct of administrative inquiries and disciplinary proceedings became applicable to EASO by analogy on 17/03/2020 - Implemented.
5. Fraud Risk Management Monitoring Activities EASO selects, develops, and performs ongoing evaluations to ascertain whether each of the five fraud prevention risk management objectives	**5.1 Considers a Mix of Ongoing and Separate Evaluations** - Management includes a combination of ongoing and annual monitoring processes.	• The Fraud Risk Register Action Plan (that is annexed to the Anti-Fraud Strategy) is monitored by EXO on a quarterly basis and the result is reported quarterly to the MT and during info sessions to the Risk Management Correspondents - In progress
	5.2 Establishes Appropriate Measurement Criteria - Management establishes appropriate measurement criteria to assist in the objective evaluation of the Anti-Fraud Strategy.	• A performance indicator to be introduced in the quarterly reporting to the MB and MT indicating the % of the corrective actions included in the fraud action plan that are implemented on time - In progress
	5.3 Evaluates, Communicates and Remediates Deficiencies – Management evaluates the results of fraud risk management	• The action plan is re-assessed by the MT on an annual basis to determine whether the fraud prevention risk management

Fraud Prevention Risk Management Objectives	Priority Measures[34]	Control Activities[35] (IMPLEMENTATION STATUS: Implemented / in progress/ planned)
are present and functioning and communicates the Anti-Fraud Strategy Action Plan in a timely manner to parties responsible for taking corrective action, including the MT and MB.	program monitoring assessment, communicates deficiencies to those tasked with corrective action and ensures appropriate remediation is implemented promptly.	objectives and priority measures are effectively achieved. The results are reported to the MB in the CAAR (first time 1st July 2020 for CAAR 2019) - In progress