

2017 Annual Activity Report

DG Maritime Affairs and Fisheries

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ANNEXES

ANNEX 1: Statement of the Resources Director

I declare that in accordance with the Commission's communication on clarification of the responsibilities of the key actors in the domain of internal audit and internal control in the Commission¹, I have reported my advice and recommendations to the Director-General on the overall state of internal control in the DG.

I hereby certify that the information provided in Section 2 of the present AAR and in its annexes is, to the best of my knowledge, accurate and complete.

23 April 2018

[signed]

Dora Correia Director

Communication to the Commission: Clarification of the responsibilities of the key actors in the domain of internal audit and internal control in the Commission; SEC(2003)59 of 21.01.2003.

ANNEX 2: Reporting – Human Resources, Better Regulation, Information Management and External Communication

General objective: To help achieve the overall political objectives, the Commission will effectively and efficiently manage and safeguard assets and resources, and attract and develop the best talents

Human Resource Management

Objective (mandatory): The DG deploys effectively its resources in support of the delivery of the Commission's priorities and core business, has a competent and engaged workforce, which is driven by an effective and gender-balanced management and which can deploy its full potential within supportive and healthy working conditions.

DG MARE is fully committed to achieving the mandatory objective set at corporate level in the area of organisational management. In 2017, DG MARE continued to aim at the effective and efficient delivery of the political priorities.

On 1 January 2017, the reorganisation of DG MARE aiming to better align the DG's resources with the Commission's political priorities, entered into force. In its HR policies and in the reorganisation in particular, DG MARE pays particular attention to the efficient use of resources and to the wellbeing and the engagement of staff.

At 47% (9/19) in December 2017, DG MARE is well above the Commission average on the **representation of women in middle management functions**. The proportion of women in middle management posts in DG MARE has increased compared to 2015. In July 2017, the Commission adopted new DG-specific targets for first appointments of women to middle management positions by 1/11/2019. Since July 2017, DG MARE has made one first female appointment and is well on track to meet its target of 2 out of 3 first appointments already by 2018. DG MARE is committed to ensuring that gender balance objectives are fully attained.

DG MARE has several measures in place to boost the number of women among management:

- Head of Unit vacancy notices mention explicitly preference for female candidates at equal merit and respect for work-life balance.
- Attention is paid to gender balance in recruitment panels.
- Flexible working arrangements are actively supported across the DG, and
- Staff leaving on maternity leave is systematically replaced through external staff credits.

DG MARE is also taking part in the Commission Female Talent Development Programme by providing 3 women to participate in the first pilot programme, and 3 senior managers as mentors.

Indicator 1 (mandatory – data provided by DG HR): Percentage of female representation in middle management.

Source of data: SEC(2015)336 final – Targets for female representation in management functions in the Commission for the years 2015-2019.

SEC(2017)359 final - Quantitative targets of first female appointments to be made per Directorate-General and service at middle management level by 1 November 2019.

Directorate-Gene	Directorate-General and service at middle management level by 1 November 2019.						
Baseline	Target 2019		Latest known results				
January 2015			(December 2017)				
44% (EC average	50% (EC target 40	%)	47%				
30,8%)	Targets for each D adopted by the C July 2015 - SEC(20	ommission on 15					
	In addition, the Co a target for each D female appointmen appointments mad between July 201 2019 should be fen	G in terms of first its: 2 out of 3 first de in DG MARE 7 and November	First appointments of women to middle management positions, since July 2017: DG MARE has made one first female appointment and is well on track to achieve its target of 2 out of 3 first appointments already by 2018.				
Main outputs in	1 2017 :						
Description	Indicator	Target	Latest known results				
Report on Equal Opportunities Strategy (DG HR).	% of women in middle management functions	2 out of 3 first female appointments made in DG MARE between July 2017 and November 2019 should be female (see above).	Report on Equal Opportunities Strategy produced by DG HR is communicated to DG MARE by SG.				

As the next general staff opinion survey is planned for the autumn in 2018, we could not assess in a comparable way progress from last year. However, DG MARE was very active in terms of staff engagement and wellbeing-enhancing activities in 2017, and in communicating on these to staff. This included the conversion of archive spaces in meeting rooms and social corners, and the organisation of activities and training to staff to promote physical, mental and emotional wellbeing.

Indicator 2 (mandatory – data provided by DG HR): Percentage of staff who feel					
that the Commission cares about their well-being.					
Source of data: C	Commissio	on staff survey			
Baseline 2014	Target 2	2020		Latest known	
				results (2016)	
38,65%	50%			32%	
(EC average					
34,9%)	This target was proposed by the HR unit based on an analysis of the staff survey results and follow-up actions and was agreed by the hierarchy. DG MARE was at 43% in the 2013 staff survey and with the different measures that will be put in place, DG MARE expects to increase the result and reach this ambitious but realistic target.				
Main outputs in 2	2017:				
Description		Indicator	Target	Latest known results	
Implementation of the		Staff survey results	2016 Staff Survey	2017: no Staff	
Staff Engagement Action		available.	launched on	Survey.	
Plan.			16/06/2016.		
			DG MARE results		
			communicated in		
			October 2016.		

As the next general staff opinion survey is planned for the autumn in 2018, we could not assess in a comparable way for 2017 whether the **Staff Engagement Index** has increased. However, DG MARE was very active in terms of staff engagement activities in 2017, and in communicating on these to staff, including the active role of the Staff Engagement, Diversity and Inclusion (SEDI) working group, which is chaired by the Director-General and includes staff from all categories and functions. Also, the Staff Engagement Action Plan was adopted in response to the results of the 2016 Staff Survey with first progress already made.

Indicator 3 (mandatory – data provided by DG HR): Staff engagement index. Source of data: Commission staff survey					
Baseline 2014	IIIIISS	Target 2020		Latest known re (2017)	sults
73% (EC average 54%). 80%		80%, or at 73% by 2020.	least	SEDI working of 2017 resulting the Manager proposing efficit across DG MARE Implementation Engagement Act that around 850 completed (with	of the 2017 Staff tion Plan: we estimate % of the actions were a range of 70-100% ach of the 5 thematic
Main outputs in 201		·	T =		
	Description Indicator		- J		Latest known results
Implementation of Staff survey results		•	2016 Staff Survey 2017: no Staff		
		lable.		ched on	Survey.
Engagement Action				6/2016.	0501
Plan.			_	1ARE results	SEDI working group
			communicated in		is operational.
			Octo	ber 2016.	

Better Regulation

Objective (mandatory): Prepare new policy initiatives and manage the EU's acquis in line with better regulation practices to ensure that EU policy objectives are achieved effectively and efficiently.

Indicator 1 (mandatory – monitored by the DGs concerned): Percentage of Impact assessments submitted by DG MARE to the Regulatory Scrutiny Board (RSB) / Impact Assessment Board (IAB) that received a favourable opinion on first submission.

The opinion of the RSB will take into account the better regulation practices followed for new policy initiatives. Gradual improvement of the percentage of positive opinions on first submission is an indicator of progress made by the DG in applying better regulation practices.

Source of data: DG MARE internal database

Baseline 2015	Interim milestone 2016	Target 2020	Latest known results (for 2017)
Two impact assessment reports² were submitted to and scrutinized by the RSB/IAB in 2015. Both received a positive opinion only after a	50% (2/2)4 Positive trend compared to DG's situation in 2015.	Positive trend compared to DG's situation in 2016.	100% ⁵ (1/1) Since the beginning of 2017 the RSB scrutinized two Impact assessment (IA) reports submitted by DG MARE. Both received a positive opinion; however only
resubmission. This rate was 50% in 2014 when one immediately received a positive opinion; the other only after a resubmission. In comparison, the Commission average in 2014 was 40%; in 2015 it was 48% ³ .			one on its first submission ⁶ . The second was a resubmitted report with a negative opinion still in 2016 ⁷ . This is a positive trend compared to baseline 2015 when both IAS had to be resubmitted, and to 2016 when one of the two IAs had to be resubmitted.

Impact Assessment report concerning the proposal for a Regulation of the European Parliament and the Council on **technical measures** for the protection of marine organisms on conservation of fishery (negative RSB opinion on 19/06/2015 – positive RSB opinion on the resubmitted report on 30/10/2015);

⁻ Impact Assessment report concerning the proposal for a Regulation of the European Parliament and the Council establishing a long-term **plan for the North Sea demersal fisheries** (negative RSB opinion on 06/07/2015 – positive RSB opinion on resubmitted report on 12/10/2015).

Impact Assessment Board / Regulatory Scrutiny Board 2015 activity statistics: http://ec.europa.eu/smart-regulation/impact/key_docs/docs/iab_rsb_stats_2015.pdf

⁻ Impact Assessment report concerning the proposal for a Regulation of the European Parliament and the Council establishing a mixed fishery multiannual **plan for the demersal stocks** and their fisheries **in the Western EU waters** (negative RSB opinion on 19/02/2016 - positive RSB opinion on resubmitted report on 29/09/2017);

⁻ Impact Assessment report concerning the proposal for a Regulation of the European Parliament and

Main outputs in 2017:			
Description	Indicator	Target	Latest known
			results
IA report on the proposal for a Regulation	Positive RSB	By end	Positive RSB
of the European Parliament and of the	Opinion	2017	opinion on
Council on establishing a multiannual			27/10/2017 at
plan for the fisheries exploiting demersal			its first
stocks in the Western Mediterranean sea.			submission.
IA report on the proposal for a Regulation	Positive RSB	By end	Positive RSB
of the European Parliament and of the	Opinion	2017	opinion on
Council on establishing a multiannual			resubmitted
plan for demersal stocks and their			report on
fisheries in Western EU Waters.			29/09/2017.

of the Council establishing a multiannual **plan for small pelagic stocks** and their fisheries **in the Adriatic Sea** (positive RSB opinion on 13/06/2016 at its first submission).

RSB opinions: http://sgiabp.cc.cec.eu.int:1101/iab/;jsessionid=9VXCg-OnbRg2ZW-AO8eWXK5et9QH64ZUF6M3bfB693WpUI4vdOGk!-374203774#iabd

Impact Assessment report concerning the proposal for a Regulation of the European Parliament and of the Council on establishing a multiannual **plan** for the fisheries exploiting **demersal stocks in the Western Mediterranean sea** (positive RSB opinion on 27/10/2017 at its first submission).

Impact Assessment report concerning the proposal for a Regulation of the European Parliament and of the Council on establishing a multiannual plan for demersal stocks and their fisheries in Western EU Waters (positive RSB opinion on resubmitted report on 29/09/2017).

Indicator 2 (mandatory – monitored by the DGs concerned): Percentage of the DG's regulatory acquis covered by retrospective evaluation findings and Fitness Checks not older than five years.

Better regulation principles foresee that regulatory acquis is evaluated at regular intervals. As evaluations help to identify any burdens, implementation problems, and the extent to which objectives have been achieved, the availability of performance feedback is a prerequisite to introduce corrective measures allowing the acquis to stay fit for purpose. The application of better regulation practices would progressively lead to the stock of legislative acquis covered by regular evaluations to increase.

DG MARE's primary regulatory acquis consists of ten primary legislations/regimes⁸.

Source of data: DG MARE

Baseline 2015	Interim	Target 2020	Latest known
	Milestone 2016		results (end
			December 2017)
40% (4/10) ⁹	Positive trend	Positive trend	60% (6/10) ¹⁰ .

B DG MARE's primary regulatory acquis consists of three European Parliament and Council regulations, thirteen Council regulations and one Directive of the European Parliament and of the Council as follows:

- 1) Regulation (EU) No 508/2014 of the European Parliament and of the Council of 15 May 2014 on the European Maritime and Fisheries Fund and repealing Council Regulations (EC) No 2328/2003, (EC) No 861/2006, (EC) No 1198/2006 and (EC) No 791/2007 and Regulation (EU) No 1255/2011 of the European Parliament and of the Council;
- 2) Regulation (EU) No 1380/2013 of the European Parliament and of the Council of 11 December 2013 on the Common Fisheries Policy, amending Council Regulations (EC) No 1954/2003 and (EC) No 1224/2009 and repealing Council Regulations (EC) No 2371/2002 and (EC) No 639/2004 and Council Decision 2004/585/EC;
- 3) Regulation (EU) No 1379/2013 of the European Parliament and of the Council of 11 December 2013 on the common organisation of the markets in fishery and aquaculture products, amending Council Regulations (EC) No 1184/2006 and (EC) No 1224/2009 and repealing Council Regulation (EC) No 104/2000;
- 4) Council Regulation (EC) No 1224/2009 of 20 November 2009 establishing a Community control system for ensuring compliance with the rules of the common fisheries policy, amending Regulations (EC) No 847/96, (EC) No 2371/2002, (EC) No 811/2004, (EC) No 768/2005, (EC) No 2115/2005, (EC) No 2166/2005, (EC) No 388/2006, (EC) No 509/2007, (EC) No 676/2007, (EC) No 1098/2007, (EC) No 1300/2008, (EC) No 1342/2008 and repealing Regulations (EEC) No 2847/93, (EC) No 1627/94 and (EC) No 1966/2006;
- 5) Council Regulation (EC) No 1006/2008 of 29 September 2008 concerning authorisations for fishing activities of Community fishing vessels outside Community waters and the access of third country vessels to Community waters, amending Regulations (EEC) No 2847/93 and (EC) No 1627/94 and repealing Regulation (EC) No 3317/94;
- 6) Council Regulation (EC) No 1005/2008 of 29 September 2008 establishing a Community system to prevent, deter and eliminate illegal, unreported and unregulated fishing, amending Regulations (EEC) No 2847/93, (EC) No 1936/2001 and (EC) No 601/2004 and repealing Regulations (EC) No 1093/94 and (EC) No 1447/1999;
- 7) Council Regulation (EC) No 199/2008 of 25 February 2008 concerning the establishment of a Community framework for the collection, management and use of data in the fisheries sector and support for scientific advice regarding the Common Fisheries Policy;
- 8) Council Regulation (EC) No 768/2005 of 26 April 2005 establishing a Community Fisheries Control Agency and amending Regulation (EEC) No 2847/93 establishing a control system applicable to the common fisheries policy;
- 9) Directive 2014/89/EU of the European Parliament and of the Council of 23 July 2014 establishing a framework for maritime spatial planning; and
- 10) The current technical measures regime that is formed by the following Council Regulations (EC) No 1967/2006, (EC) No 1098/2007, (EC) No 894/97, (EC) No 850/98, (EC) No 2549/2000, (EC) No 254/2002, (EC) No 812/2004 and (EC) No 2187/2005.
- These four evaluations are:
 - Evaluation of the Data Collection Framework (DCF) (2013);
 - State of play regarding application and implementation of the IUU Regulation (2014);
 - Study in support of the development of a new technical conservation measures framework within a

	compared to	compared to	
DG MARE's primary regulatory	baseline.	interim	
acquis has been covered by		milestone.	
retrospective evaluations not			
older than 5 years or planned			
according to the life cycle of the			
measures (e.g. as planned in			
the law and/or in the			
accompanying Impact			
Assessment).			

Assessifiency.				
Main outputs in 2017:				
Description		Indicator	Target	Latest known results
Evaluation study of the impact of Council Regulation (EC) No 1224/2009 of 20 November 2009 establishing a Community control system for ensuring compliance with rules of the common fisheries policy.		Study report finalised.	Q1 2017	Study report published on 04/01/2017 ¹¹ and Evaluation Staff working document on 24/4/2017 (SWD(2017)13 4 final).
Ex-post evaluation study of the Eu Fisheries Fund (EFF) for 2007-201	•	Study report finalised.	Q1 2017	Study report published on 14/02/2017 ¹² and Evaluation Staff working document on 13/07/2017 (SWD(2017)27 6 final).

reformed CFP- Volume 1. Retrospective evaluation, and

Two evaluations were completed in 2017:

required under Article 118.
- SWD(2017)274 final: Commission Staff Working Document – Ex post evaluation of the European Fisheries Fund 2007-2013.

⁻ Five Year Independent External Evaluation of the European Fisheries Control Agency (2015, carried out by the EFCA).

⁻ SWD(2017) 134 final: Commission Staff Working Document - REFIT - Evaluation of the impact of the fisheries regulation accompanying the Report from the Commission to the European Parliament and the Council on the Implementation and evaluation of Regulation (EC) 1224/2009 establishing a Community control system for ensuring compliance with the rules of the common fisheries policy as required under Article 118.

Evaluation of the impact of Council Regulation (EC) No 1224/2009 of 20 November 2009 "establishing a Community control system for ensuring compliance with rules of the common fisheries policy".

¹² Ex-post evaluation of the European Fisheries Fund 2007-2013.

Information management aspects

The quality control of registered documents and the e-signatory workflows were put in place together with trainings and an awareness campaign on how to apply the electronic workflow. The e-signatory is fully applied in DG MARE as of April 2017¹³ with very few exceptions where a handwritten blue ink signature and paper circulation remains compulsory.

The model of document management organisation was also changed and modernised in the context of the OIB Synergies and Efficiencies initiative, by decentralising the registration of outgoing documents. In 2017, a total of 7.463 documents were registered out of which 2.450 documents were registered by the CAD.

The score of filed documents in 2016 was 99%. Various information, training and support activities were organised regarding rules of registration, filing of documents and transfer to the historical archives. Furthermore, specific actions increased the "files sharing" with the whole Commission, in line with the EC Strategy on "Data, Information and Knowledge Management". Our target of sharing files with the Institutions was highly achieved (16,30% vs. the target of +2%).

Objective (mandatory): Information and knowledge in your DG is shared and re-usable by other DGs. Important documents are registered, filed and retrievable.

Indicator 1 (mandatory – data provided by DG DIGIT): Percentage of registered documents that are not filed (ratio).

Source of data: Hermes-Ares-Nomcom (HAN) statistics

		•	
Baseline 2015	Milestone 2016	Target 2020	Latest known results 2017
* 1,92% * According to the statistics provided by SG/DIGIT for 2015: - Total registered documents in 2015: 21.555 - Not filed documents registered in 2015: 413	≤ 1%	≤ 1%	According to the statistics provided by ARES report for 2017 (data of 11/01/2018): - Total registered documents: 7.463 - Not filed documents registered in 2017: 62 - Not filed documents remaining from 2016: 6 - Total not filed documents: 68 - Percentage of not filed documents: 0,91%.

Indicator 2 (mandatory – data provided by DG DIGIT): Percentage of HAN files readable/accessible by all units in the DG.

Source of data: HAN statistics

Baseline	Target	Latest known results (2017)
* 83,75%	To be maintained	 HAN files accessible by all units in the DG: 93,61% (data of
* According to the statistics provided by SG/DIGIT		11/01/2018). - Out of 7.040 files (created before 31/12/2017), 450 files are

¹³ Ares(2017)1433493

		limited. - The percentage of accessible files is higher as there is an increase of new files created in between.
shared with other DG	•	DIGIT): Percentage of HAN files
Source of data: HAN s	tatistics	
Baseline	Target	Latest known results (2017)
* 0,21% * According to the statistics provided by SG/DIGIT	+2% files to be shared by the end of 2018	 Number of active or closed files created before 31/12/2017: 7.040. Number of active or closed files with visibility opened to the Institutions (wide Commission): 1.148. Percentage of HAN files shared with other DGs: 16,30% The percentage of shared files highly increased in line with the EC Strategy on Data, Information and Knowledge Management.

External communication activities

DG MARE has put in place an external communication strategy which shall contribute to corporate communication. Ultimately, all communication actions of the Commission should contribute to improve the **positive image of the EU as a whole**.

The interpretation of communication indicators needs to take into account that external factors outside the Commission's control can impact on communication as well as on policy performance and that our communication activities only influence people's awareness of EU policies and their opinion about them to a limited extent.

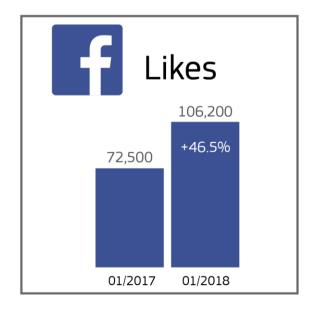
DG MARE's communications delivered highly satisfactory results in 2017; a year dominated by the "**Our Ocean Conference**", but with a rich variety of activities covering all aspects of the DG MARE's portfolio.

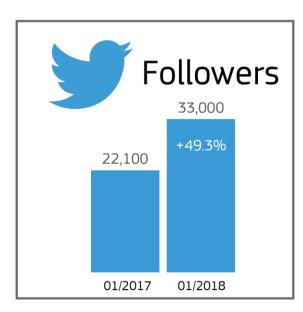
A dedicated communication strategy for the "Our Ocean Conference" allowed for reaching new stakeholders, multipliers and audiences with a package of powerful messages and products. An extensive awareness-raising campaign included i.a. an official EU beach clean (Oostende, 14 May 2017) gathering over 400 Commission staff and relatives, as well as a joint action with over 150 aquariums from all the world to draw attention the key issue of marine litter. The Conference itself generated unprecedented global coverage across print, digital and broadcast media. Social media reached over 107 million individuals over the two days and positioned #OurOcean among trending hashtags world-wide.

2017 also saw the 10th edition of the **European Maritime Day** (Poole, 18-19 May)¹⁴. Over 600 participants attended the plenary sessions and numerous thematic panels. 27 workshops and 10 project pitches were organised around 4 key topics: Innovation and growth, People and skills, Safety and security, Sustainability and governance.

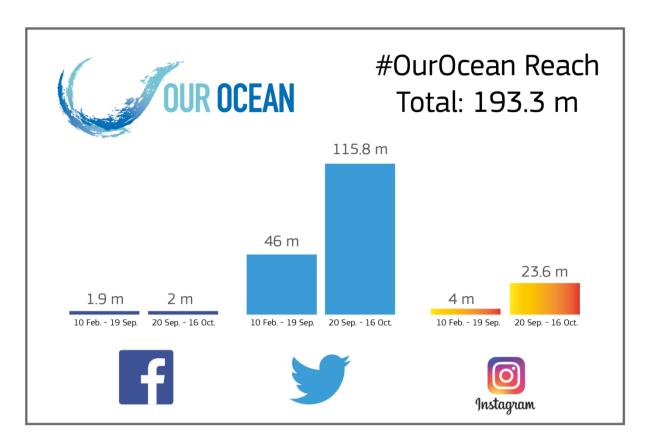
The annual **Seafood Expo** (Brussels, 25-27 April) availed plenty of opportunities to engage with stakeholders, including on the survey concerning seafood consumption.

The **MedFish4Ever** campaign raised awareness and mobilised support at ministerial level for joint action on both sides of the Mediterranean and contributed to the signing of the ministerial "MedFish4Ever Declaration" (Malta, 30 March).





https://ec.europa.eu/maritimeaffairs/maritimeday/en/2017



The only area which experienced a decline was the **website** (a 55% decrease in the number of visits). This can be explained by a change of analytics system (from SAS to PIWIK) in line with the corporate requirements. Moreover, as a result of the ongoing digital transformation, the DG-specific website was decommissioned in June 2017.

Objective: Citizens perceive that the EU is working to improve their lives and engage with the EU. They feel that their concerns are taken into consideration in European decision making and they know about their rights in the EU.

Indicator: Percentage of EU citizens having a positive image of the EU.

DG MARE promotes the Common Fisheries Policy and the Integrated Maritime Policy through its internal and external communication, including awareness-raising and dialogue with stakeholders. Eurobarometer measures the state of public opinion in the EU Member States.

This global indicator is influenced by many factors, including the work of other EU institutions and national governments, as well as political and economic factors, not just the communication actions of the Commission. It is relevant as a proxy for the overall perception of the EU citizens. Positive visibility for the EU is the desirable corporate outcome of Commission communication, even if individual DGs' actions may only make a small contribution.

Source of data: Standard Eurobarometer (DG COMM budget) [monitored by DG COMM here].

Baseline (November 2014)	Target (2020)	Latest known results (May 2017)
 Total "positive" image of the EU: 39% Total "neutral": 37 % Total "negative": 22% 	Positive image of the EU ≥ 50%	Figures at corporate level: • positive image: 40% • neutral image: 37% • negative image: 21% • do not know: 2%

Main outputs in 20	Main outputs in 2017:							
Description	Indicator	Target	Latest known results (end December 2017)					
Direct reach of DG MARE communication actions via websites.	Number of unique visitors to the websites of DG MARE	1.900.000 (5% increase compared to the number of visitors in 2016 calculated on the basis of the average visits per month).	748.184 visits (not unique visitors). This is a decrease by 55% compared to the 2016 result of 1.644.002 visits*.					
Monthly newsletter of DG MARE.	Number of subscribers	13.000 subscribers (5% increase compared to 2016).	12.920 subscribers.					
Direct reach of DG MARE communication actions via social media.	Number of followers	 Twitter: 25.000 followers (20% increase compared to 2016) Facebook: 85.000 likes (20% increase compared to 2016). 	 Twitter: 33.000 followers (49.3% increase). Facebook: 106.200 likes (46.5% increase). 					
Seafood 2017	Number of participants	220 participants (10% increase compared to 2016).	Actual participation: 100 participants (50% decrease)**.					
European Maritime Day 2017	Number of participants	1.000 participants (15% decrease compared to 2016***).	Actual participation: 550 (54% decrease)***.					

^{*} The massive increase of the visitors in 2016 is due to the magazine and the campaign on MED in February and March (1.619.913 visits to the DG website). These visits were not sustained and therefore were not taken into account in the average increase of visits during 2017.

^{***} This is due to venue restrictions. The low participation was also partly related to the hosting in the UK, which meant that the promotion was kept at a relatively low level.

Annual communication spending (based on estimated commitments):								
Baseline (2016)	Target (2017)	Total amount spent	Total of FTEs working on external communication					
1.500.000 € (source: 2017 Management Plan)	1.500.000 € (source: 2017 Management Plan)	2.700.000 € (*) (in terms of commitments) (*) Including 1.200.000 € for the 2017 "Our Ocean Conference".	3.5					

^{**} Based on the number of participants in scheduled expert meetings. The actual number of visitors to stand is significantly higher.

Draft annual accounts and financial reports ANNEX 3:

Annex 3 Financial Reports - DG MARE - Financial Year 2017

Table 1: Commitments Table 2: Payments Table 3: Commitments to be settled Table 4: Balance Sheet Table 5: Statement of Financial Performance Table 5 Bis: Off Balance Sheet Table 6: Average Payment Times Table 7: Income Table 8: Recovery of undue Payments **Table 9: Ageing Balance of Recovery Orders Table 10: Waivers of Recovery Orders** Table 11: Negotiated Procedures (excluding Building Contracts) Table 12: Summary of Procedures (excluding Building Contracts) **Table 13: Building Contracts**

Note: The figures are those related to the provisional accounts and not yet audited by the Court of Auditors

Table 14: Contracts declared Secret

	TABLE 1: OUTTURN ON COMMITMENT APPROPRIATIONS IN 2017 (in Mio €)								
			Commitment appropriations authorised	Commitments made	%				
			1	2	3=2/1				
Title 11 Maritime affairs and fisheries									
11	11 01	Administrative expenditure of the 'Maritime affairs and fisheries' policy area	5.37	5.36	99.89 %				
	11 03	Compulsory contributions to Regional Fisheries Management Organisations and other International Organisations and Sustainable Fisheries Agreements	128.08	127.67	99.69 %				
	11 06	European Maritime and Fisheries Fund (EMFF)	1,010.18	1,007.58	99.74 %				
Total	Title 11		1,143.63	1,140.61	99.74 %				
		Total DG MARE	1,143.63	1,140.61	99.74 %				

^{*} Commitment appropriations authorised include, in addition to the budget voted by the legislative authority, appropriations carried over from the previous exercise, budget amendments as well as miscellaneous commitment appropriations for the period (e.g. internal and external assigned revenue).

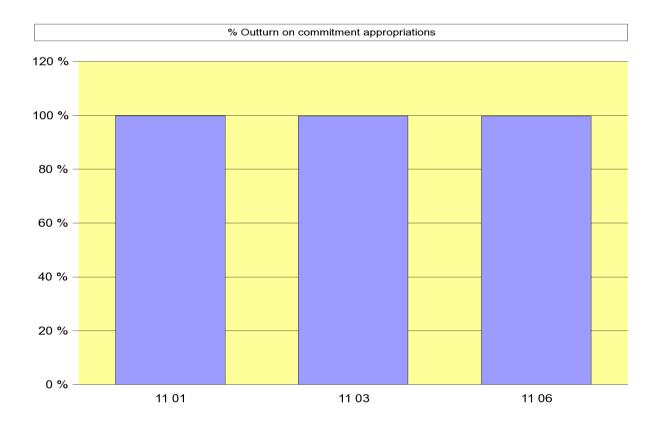


		TABLE 2: OUTTURN ON PAYMENT APPR	ROPRIATIONS IN 20	017 (in Mio €)			
		Chapter	Payment appropriations authorised *	Payments made	%		
			1	2	3=2/1		
Title 11 Maritime affairs and fisheries							
11	11 01	Administrative expenditure of the 'Maritime affairs and fisheries' policy area	5.61	0.59	10.52 %		
	11 03	Compulsory contributions to Regional Fisheries Management Organisations and other International Organisations and	137.49	137.49	100.00 %		
	11 06	European Maritime and Fisheries Fund (EMFF)	502.6	372.64	74.14 %		
Tota	al Title 11		645.7	510.72	79.09 %		
		Total DG MARE	645.7	510.72	79.09 %		

^{*} Payment appropriations authorised include, in addition to the budget voted by the legislative authority, appropriations carried over from the previous exercise, budget amendments as well as miscellaneous payment appropriations for the period (e.g. internal and external assigned revenue).

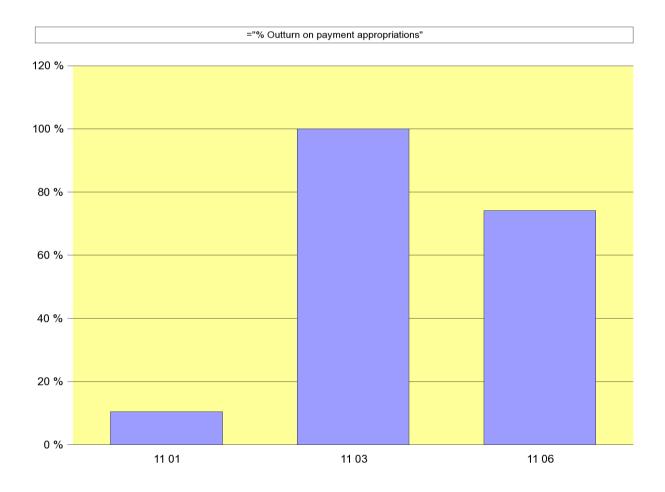


	TABLE 3: BREAKDOWN OF COMMITMENTS TO BE SETTLED AT 31/12/2017 (in Mio €)									
					2017 Commitments to be settled				Total of commitments to be settled at end	Total of commitments to be settled at end
Chapter			Commitments 2017	Payments 2017	RAL 2017	% to be settled	financial years previous to 2017	of financial year 2017	of financial year 2016	
			1	2	3=1-2	4=1-2/1	5	6=3+5	7	
	Title 11 : Maritime affairs and fisheries									
11	11 01	Administrative expenditure affairs and fisheries' policy		5.33	4.36	0.97	18.14 %	0.00	0.97	0.70
	11 03	Compulsory contributions Fisheries Management Or other International Organis Sustainable Fisheries Agre	ganisations and sations and	127.67	115.36	12.31	9.65 %	8.75	21.06	30.96
	11 06 European Maritime and Fisheries Fund (EMFF)		1,007.58	24.45	983.14	97.57 %	2,136.09	3,119.22	2514.67	
Total	Title 11			1,140.58	144.17	996.42	87.36 %	2,144.84	3,141.25	2,546.33
	Total DG MARE			1,140.58	144.17	996.42	87.36 %	2,144.84	3,141.25	2,546.33

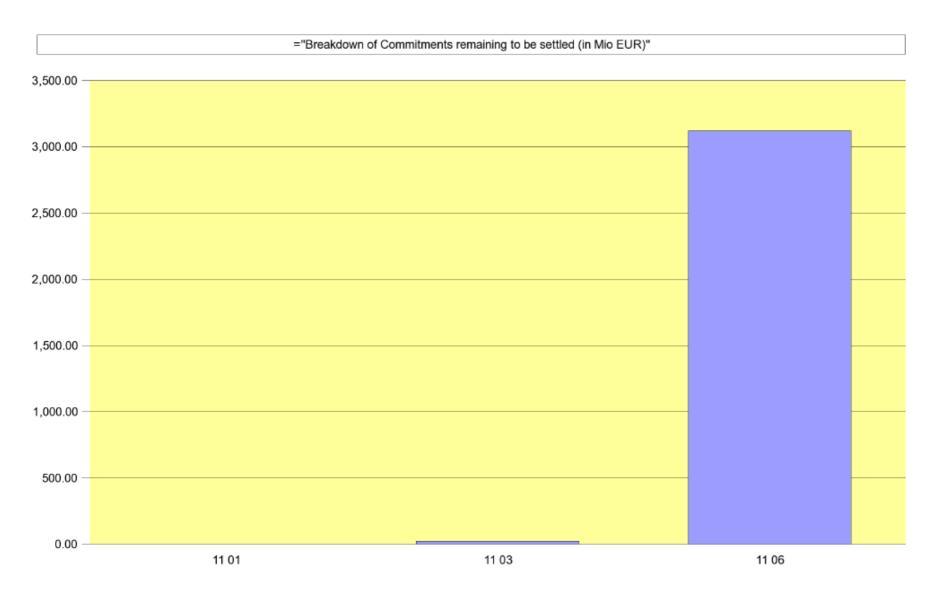


TABLE 4: BALANCE SHEET MARE

BALANCE SHEET	2017	2016
A.I. NON CURRENT ASSETS	388,035,713.87	311,907,495.60
A.I.1. Intangible Assets	3,897,363.08	4,135,714.39
A.I.5. Non-Current Pre-Financing	384,138,350.79	307,771,781.21
A.II. CURRENT ASSETS	188,048,706.02	201,121,003.68
A.II.2. Current Pre-Financing	102,902,151.88	125,160,802.76
A.II.3. Curr Exch Receiv &Non-Ex Recovera	85,146,554.14	75,960,200.92
ASSETS	576,084,419.89	513,028,499.28
P.II. CURRENT LIABILITIES	-196,558,458.22	-430,457,441.49
P.II.4. Current Payables	-67,985,674.03	-172,335,760.54
P.II.5. Current Accrued Charges &Defrd Inco	-128,572,784.19	-258,121,680.95
LIABILITIES	-196,558,458.22	-430,457,441.49
NET ASSETS (ASSETS less LIABILITIES)	379,525,961.67	82,571,057.79
	-1	
P.III.2. Accumulated Surplus/Deficit	2,971,835,088.40	2,027,955,151.07
Non-allocated central (surplus)/deficit*	-3,351,361,050.07	-2,110,526,208.86
TOTAL	0.00	0.00

It should be noted that the balance sheet and statement of financial performance presented in Annex 3 to this Annual Activity Report, represent only the assets, liabilities, expenses and revenues that are under the control of this Directorate General. Significant amounts such as own resource revenues and cash held in Commission bank accounts are not included in this Directorate General's accounts since they are managed centrally by DG Budget, on whose balance sheet and statement of financial performance they appear. Furthermore, since the accumulated result of the Commission is not split amongst the various Directorates General, it can be seen that the balance sheet presented here is not in equilibrium.

Additionally, the figures included in tables 4 and 5 are provisional since they are, at this date, still subject to audit by the Court of Auditors. It is thus possible that amounts included in these tables may have to be adjusted following this audit.

TABLE 5: STATEMENT OF FINANCIAL PERFORMANCE MARE

STATEMENT OF FINANCIAL PERFORMANCE	2017	2016
II.1 REVENUES	-85,335,947.05	391,963.19
II.1.1. NON-EXCHANGE REVENUES	-86,725,555.93	-1,940,089.54
II.1.1.5. RECOVERY OF EXPENSES II.1.1.6. OTHER NON-EXCHANGE REVE	-86,725,555.93	-1,858,420.64 -81,668.90
II.1.2. EXCHANGE REVENUES	1,389,608.88	2,332,052.73
II.1.2.1. FINANCIAL INCOME II.1.2.2. OTHER EXCHANGE REVENUE	1,389,608.88	-342.00 2,332,394.73
II.2. EXPENSES	127,024,754.49	943,487,974.14
II.2. EXPENSES	127,024,754.49	943,487,974.14
II.2.10.OTHER EXPENSES	4,912,405.89	10,662,500.90
II.2.1. EXP IMPLEM BY MEMBER STATE	-73,550,639.72	753,500,232.91
II.2.2. EXP IMPLEM BY COMMISS&EX.AG	179,362,033.75	170,496,424.98
II.2.3. EXP IMPL BY OTH EU AGENC&BO	16,872,300.19	9,149,465.91
II.2.6. STAFF AND PENSION COSTS	-573,006.24	-321,554.50
II.2.8. FINANCE COSTS	1,660.62	903.94
STATEMENT OF FINANCIAL PERFORMANCE	41,688,807.44	943,879,937.33

It should be noted that the balance sheet and statement of financial performance presented in Annex 3 to this Annual Activity Report, represent only the assets, liabilities, expenses and revenues that are under the control of this Directorate General. Significant amounts such as own resource revenues and cash held in Commission bank accounts are not included in this Directorate General's accounts since they are managed centrally by DG Budget, on whose balance sheet and statement of financial performance they appear. Furthermore, since the accumulated result of the Commission is not split amongst the various Directorates General, it can be seen that the balance sheet presented here is not in equilibrium.

Additionally, the figures included in tables 4 and 5 are provisional since they are, at this date, still subject to audit by the Court of Auditors. It is thus possible that amounts included in these tables may have to be adjusted following this audit.

TABLE 5bis: OFF BALANCE SHEET MARE

OFF BALANCE	2017	2016
OB.1. Contingent Assets	0.00	1,260,000.00
GR for pre-financing	0.00	1,260,000.00
OB.2. Contingent Liabilities	0.00	-5,000,000.00
OB.2.7. CL Amounts relating to legal ca	0.00	-5,000,000.00
OB.3. Other Significant Disclosures	-5,615,506,072.32	-5,719,151,955.37
OB.3.2. Comm against app. not yet con	-2,943,519,708.32	-2,114,657,015.37
OB.3.3.1 Structural operations	-2,539,240,930.00	-3,357,719,028.00
OB.3.3.3.Fisheries agreement	-132,745,434.00	-246,775,912.00
OB.4. Balancing Accounts	7,005,674,626.36	7,113,060,509.41
OB.4. Balancing Accounts	7,005,674,626.36	7,113,060,509.41
OFF BALANCE	1,390,168,554.04	1,390,168,554.04

It should be noted that the balance sheet and statement of financial performance presented in Annex 3 to this Annual Activity Report, represent only the assets, liabilities, expenses and revenues that are under the control of this Directorate General. Significant amounts such as own resource revenues and cash held in Commission bank accounts are not included in this Directorate General's accounts since they are managed centrally by DG Budget, on whose balance sheet and statement of financial performance they appear. Furthermore, since the accumulated result of the Commission is not split amongst the various Directorates General, it can be seen that the balance sheet presented here is not in equilibrium.

Additionally, the figures included in tables 4 and 5 are provisional since they are, at this date, still subject to audit by the Court of Auditors. It is thus possible that amounts included in these tables may have to be adjusted following this audit.

TABLE 6: AVERAGE PAYMENT TIMES FOR 2017 - DG MARE

Legal
Times

Maximum Payment Time (Days)	Total Number of Payments	Nbr of Payments within Time Limit	Percentage	Average Payment Times (Days)	Nbr of Late Payments	Percentage	Average Payment Times (Days)
5	1	1	100.00 %	4			
6	1	1	100.00 %	6			
9	2	2	100.00 %	6.5			
10	1	1	100.00 %	5			
11	1	1	100.00 %	9			
12	1	1	100.00 %	4			
16	2	2	100.00 %	4			
18	1	1	100.00 %	12			
19	3	3	100.00 %	7.33			
22	1	1	100.00 %	6			
23	1	1	100.00 %	6			
24	1	1	100.00 %	7			
26	2	2	100.00 %	7			
27	1	1	100.00 %	10			
29	4	4	100.00 %	8.25			
30	481	469	97.51 %	16.31	12	2.49 %	51.75
35	2	2	100.00 %	9			
45	14	13	92.86 %	24.31	1	7.14 %	60
46	1				1	100.00 %	48
50	2	2	100.00 %	27.5			
55	1	1	100.00 %	6			
60	154	136	88.31 %	29.65	18	11.69 %	67.17
90	15	13	86.67 %	42.77	2	13.33 %	126.5
180	27	27	100.00 %	32.3			

Total Number of Payments	/20	686	95.28 %		34	4.72 %	
Average Net Payment Time	22.02			19.92			64.44
Average Gross Payment	27.32			24.14			91.44

Suspen	sions							
Avera Repo Appro Susper Day	ort oval nsion	Average Payment Suspension Days	Number of Suspended Payments	% of Total Number	Total Number of Payments	Amount of Suspended Payments	% of Total Amount	Total Paid Amount
	0	31	122	16.94 %	720	185,912,234.73	45.77 %	406,152,196.83

Late Interest paid in 2017								
DG	GL Account	Description	Amount (Eur)					
MARE	65010100	Interest on late payment of charges New FR	1 660.62					
			1 660.62					

	TABLE 7 : SITUATION ON REVENUE AND INCOME IN 2017									
		Rev	venue and income reco	ognized	Re	Outstanding				
	Chapter	Current year RO	Carried over RO	Total	Current Year RO	Carried over RO	Total	balance		
		1	2	3=1+2	4	5	6=4+5	7=3-6		
61	REPAYMENT OF MISCELLANEOUS EXPENDITURE	145,128,807.58	0	145,128,807.58	145,128,807.58	0	145,128,807.58	0		
65	FINANCIAL CORRECTIONS	27,885,574.24	272,246.97	28,157,821.21	27,885,574.24	0	27,885,574.24	272,246.97		
66	OTHER CONTRIBUTIONS AND REFUNDS	771,901.79	42,120	814,021.79	771,901.79	42,120	814,021.79	0		
	Total DG MARE	173,786,283.61	314,366.97	174,100,650.58	173,786,283.61	42,120	173,828,403.61	272,246.97		

TABLE 8: RECOVERY OF PAYMENTS (Number of Recovery Contexts and corresponding Transaction Amount)

INCOME BUDGET RECOVERY ORDERS ISSUED IN 2017		Error	Irr	egularity	OLA	AF notified	Total u	ndue payments recovered		ections in recovery acl. non-qualified)	% Qualifie	d/Total RC
Year of Origin (commitment)	Nbr	RO Amount	Nbr	RO Amount	Nbr	RO Amount	Nbr	RO Amount	Nbr	RO Amount	Nbr	RO Amount
2004			1	9,123.3			1	9,123.3	1	9,123.3	100.00%	100.00%
2009									2	4,500		
2011			1	26,084.1			1	26,084.51	6	255,718.28	16.67%	10.20%
2012			2	7,307.9			2	7,307.9	5	149,844.9	40.00%	4.88%
2013			2	16,967.8			2	16,967.8	2	16,967.8	100.00%	100.00%
2014									3	2,420,187.36		
2015			2	188,218			2	188,218	30	130,647,971.71	6.67%	0.14%
2016									1	67,534.09		
No Link	1	6,889,173.88	13	27,958,228.28	1	21,714.05	15	34,869,116.21	16	40,214,436.17	93.75%	86.71%
Sub-Total	1	6,889,173.88	21	28,205,929.79	1	21,714.05	23	35,116,817.72	66	173,786,283.61	34.85%	20.21%

EXPENSES BUDGET Error		Irregularity OLAF Notified T		Total undue payments recovered		Total transactions in recovery context (incl. non-qualified)		% Qualified/Total RC				
	Nbr	Amount	Nbr	Amount	Nbr	Amount	Nbr	Amount	Nbr	Amount	Nbr	Amount
INCOME LINES IN INVOICES												
NON ELIGIBLE IN COST CLAIMS	5	5,246.6	18	1,058,401.09			23	1,063,647.69	34	3,079,843.72	67.65%	34.54%
CREDIT NOTES	5	218.97	16	46,103.68			21	46,322.65	27	678,435.98	77.78%	6.83%
Sub-Total	10	5,465.57	34	1,104,504.77			44	1,109,970.34	61	3,758,279.7	72.13%	29.53%
GRAND TOTAL	11	6,894,639.45	55	29,310,434.56	1	21,714.05	67	36,226,788.06	127	177,544,563.31	52.76%	20.40%

Note: The figures are those related to the provisional accounts and not yet audited by the Court of Auditors. The provisional closure will be based on the recovery context situation at 31/01/2017.

TABLE 9: AGEING BALANCE OF RECOVERY ORDERS AT FOR MARE

	Number at 01/01/2017	Number at 31/12/2017	Evolution	Open Amount (Eur) at 01/01/2017	Open Amount (Eur) at 31/12/2017	Evolution
2006	1	1	0.00 %	112,483.00	112,483.00	0.00 %
2007	1	1	0.00 %	159,763.97	159,763.97	0.00 %
2016	1		-100.00 %	42,120.00		-100.00 %
	3	2	-33.33 %	314,366.97	272,246.97	-13.40 %

TABLE 10 : RECOVERY ORDER WAIVERS IN 2017 >= EUR 100.000									
Waiver Central Key	Linked RO Central Key	RO Accepted Amount (Eur)	LE Account Group	Commission Decision	Comments				

Total DG MARE	
Number of RO waivers	

TABLE 11 : CENSUS OF NEGOTIATED PROCEDURES - DG MARE - 2017

Negotiated Procedure Legal base	Number of Procedures	Amount (€)
Total		

TABLE 12: SUMMARY OF PROCEDURES OF DG MARE EXCLUDING BUILDING CONTRACTS

Internal Procedures > € 60,000

Procedure Legal base	Number of Procedures	Amount (€)
Negotiated Procedure with at least one candidate below euro 15 000 (Art. 137.2 RAP)	1	65,000.00
Open Procedure (Art. 104(1) (a) FR)	1	179,420.00
Open Procedure (Art. 127.2 RAP)	1	460,000.00
Total	3	704,420.00

TABLE 13: BUILDING CONTRACTS

Legal base	Contract Number	Contractor Name	Description	Amount (€)

TABLE 14: CONTRACTS DECLARED SECRET

Legal base	Contract Number	Contractor Name	Description	Amount (€)

ANNEX 4: Materiality criteria

I. For shared management

Assessment of management and control systems in the Member States and for the programming period 2007-2013

During the implementation period, all programmes are assessed against audit opinions at national and Commission level based on audits carried out on systems and representative samples of operations. In addition, operational line managers and authorising officers by sub-delegation also assess the level of assurance. The assessment is based on three elements as follows:

- The first element is the assessment of the functioning of management and control systems carried out by the audit directorate. This assessment may take into account results of corrective actions implemented by the Member State in the reporting year. This assessment is complemented at the Directorate General level taking into account elements received by the operational managers and the regular contacts with regional and national programme authorities.
- 2. The second element is the projected error rate reported by programme audit authorities in the Annual Control Reports (ACR), based on expenditure for the year preceding the reporting year. The Directorate General assesses the reliability of the projected error rates for each programme, on the basis of all available information and audit results, including on-the-spot missions, and uses this information as the best estimate of the possible risk for expenditure in the reporting year.

At closure the Annual Control Reports were submitted as part of the closure packages which were due by the end of March 2017. For each programme, the Directorate General carried out an in depth assessment of the information provided (in particular the audit opinion, the projected error rate covering the 2015 and 2016 expenditure and the residual error rate).

For the AAR 2016, due to time constraints, the error rates communicated by the audit authorities were used as a basis for calculating the best estimate of the possible risk for expenditure in the reporting year. In case the projected error rates are not available, flat rates in line with the results of the assessment of the functioning of the management and control systems were used.

In the AAR 2017, the outcome of the in depth assessment (which had to be completed within 5 months of the submission of the closure documents) will be reported.

3. The third element is the consideration of the multi-annual impact of the validated error rates calculated since the beginning of the programming period on the corresponding interim payments made during that same period, after deduction of the recoveries and withdrawals reported for each year, as well as pending recoveries at the end of the reporting year and withdrawals accepted by certifying authorities and recorded in their accounts prior to the date of signature of the AAR.

The application of this third element results in a cumulative **residual risk (residual risk rate at closure)** for each programme or (where appropriate) group of programmes covered by a common management and control system, expressed as a percentage of the value of the cumulative interim payments made for the programming period. This is the DG's best estimate of expenditure which is not in full conformity with contractual or regulatory provisions and which has not been corrected at the date the report is signed.

At closure, as the audit authorities are required to disclose a residual risk rate calculated on the basis of the expenditure certified during the whole programming period, the residual risk rate is used instead of the cumulative residual risk. This is the best estimate of the expenditure which is not in full conformity with contractual

or regulatory provisions over the lifetime of the programme.

The assessment of the relevant reports, data and other information available requires the application of professional judgement, namely when weighting contradictory information or considering abnormal statistical results. When taking into account reported corrections, the authorising officer by delegation also assesses that they effectively mitigate the risks identified and that they result in a reduction in the level of the error that remains uncorrected in the population.

Materiality criteria and reservations

 As management and controls are considered to be specific to each operational programme, materiality is not assessed, and reservations are not decided upon, at the level of the ABB activity (or grouping of ABB activities), but rather at the level of operational programmes. For disclosure purposes in the AAR, overall reservations grouping the reservations at programme level are made by programming period.

The Directorate-General therefore assesses **each operational programme** in order to identify reservations and corrective measures to be applied. Where operational programmes have management and control systems in common, they can be grouped for this assessment. At operational programme level, reservations or partial reservations are made in respect of significant weaknesses in the management and control systems in the Member States where the resulting risk to the Community budget is material, independently at this stage from any calculation of the <u>cumulative residual risk/residual risk rate</u>. In practice, this means that reservations or partial reservations are made in any case for programmes included in the categories 'limited assurance with medium risk' and 'limited assurance with high risk' (see below).

Following the approach set out, during the implementation of the programmes reservations are made as a general rule if at least one of the following conditions applies: material deficiencies in the management and control systems; validated error rate exceeding or equalling 5%¹⁵; cumulative residual risk/residual error rate exceeding 2%. Exceptions, if any, are clearly reported and explained in the body of the Annual Activity Report. In some cases, reservations may be made at **sub-programme level** (priority axis or implementing bodies) when the systemic deficiencies only affect a specific component of the management and control system, not used for the other activities under the same programme.

In case there is no financial impact for the reporting year in question (e.g. no expenditure paid) for a programme under reservation, the reservation is made as a "reservation with no financial impact". In addition, reputational reservations are made for issues which could have a significant impact on the reputation of the Commission.

Following the in-depth assessment of closure documents, reservations are made for programmes with estimated financial corrections to be implemented exceeding the 5% retention of the overall allocation made at programme level¹⁶. In those cases, the amount of the 5% retention to be released at closure is not sufficient to cover the financial risks to the EU budget, which should then be disclosed.

Estimation of the amounts at risk at payment and at closure

For the 2017 AAR and onwards, the risk "at payment" is estimated by applying the

15

¹⁵ When the validated error rate is above 5% and the CRR is below 2%, a case by case analysis is needed to decide on a reservation.

¹⁶ The decision on whether to keep a reservation issued in the 2016 AAR will be made taking into account both the level of payments for a given programme and the amount of expenditure certified, in order to assess the residual risk.

residual error rate communicated by the audit authorities as part of the closure documents and validated by the Commission services to the "relevant expenditure" (i.e. payments made during the reporting year excluding (any) new pre-financing and including the cleared pre-financing).

The same approach is followed to calculate the amount at risk for programmes under reservation. For a reservation made at sub-programme level, a flat rate depending on the deficiencies identified is applied to the relevant expenditure¹⁷. No financial corrections are taken into account for the quantification of the reservation, as the financial corrections already implemented are mainly linked to expenditure declared in previous years.

For the estimation of the amount at risk at closure, the estimated future corrections -if any- are deducted from the amount at risk at payment.

For the sake of transparency, the estimation of the overall amount at risk is presented by Member State classifying the programmes in four categories, corresponding to the level of assurance they provide as regards the legality and regularity of interim payments made during the reporting year:

Reasonable assurance means that there is no material deficiency affecting key elements of the systems (only minor improvements may be needed in some cases) and the validated error rate and the residual risk rate are below 2%;

Reasonable assurance with low risk of irregularities covers:

- o programmes with some deficiencies in key elements of the systems and/or with a validated error rate below 5% but with a residual risk rate below 2%;
- programmes with a validated error rate above 5% and a cumulative residual risk below 2% as a result of implemented financial corrections and if -on the basis of professional judgement- the implementation of the action plan has been assessed as satisfactory;

Limited assurance with medium risk¹⁸ of irregularities covers:

- o programmes with some deficiencies in key elements of the systems and/or with a validated error rate below 5% and a residual risk above 2%;
- o programmes with a validated error rate above 5% and a residual risk rate remaining above 2% or below 2% as a result of implemented financial corrections in cases where -on the basis of professional judgement- the implementation of the action plan has been assessed as not satisfactory yet;

Limited assurance with high risk³ of irregularities covers:

o programmes with material deficiencies in several key elements of the systems and/or with a validated error rate above 5% and a residual risk rate above 2%.

¹⁷ i.e. paid in the relevant year in relation to the concerned sub-programme

¹⁸ Exceptions duly justified are disclosed in the AAR

Assessment of management and control systems in the Member States and for the programming period 2014-2020

The assessment of each operational programme is based on the following elements:

 The first element is the assessment of the effectiveness of management and control systems carried out by the audit directorate based on all information available (i.e. opinion issued by the audit authority on the management and control systems, total error rate, results of national systems audits, results of Commission audit work and/or the European Court of Auditors, elements received from operational managers in their regular contacts with regional and national programme authorities).

The Directorate General assesses the reliability of the total error rate reported in two stages. First a preliminary review is done, allowing correction of any identified inconsistencies. The resulting adjusted total error rates are disclosed in the AAR. If no error rates are reported by the audit authorities, flat rates are used. These total error rates are validated following an in depth assessment which takes into account all available information and audit results assessed through desk review and, where necessary, on the spot audits. This in depth assessment is carried out at the latest within 9 months of the submission of the assurance package. If applicable, corrections to the total error rates reported in the AAR are disclosed in the subsequent AAR.

The total error rate is calculated before any financial corrections are applied.

2. The second element is the **assessment of legality and regularity of expenditure,** as reflected in the residual total error rate reported by the audit authorities in their Annual Control Reports (ACR) submitted by mid-February N+1, based on expenditure linked to the relevant accounting year (from 1 July N-1 to 30 June N).

The residual total error rate is the best indicator of the programme's corrective capacity and represents the remaining risk present in the accounts taking into account the already applied financial corrections.

3. The third element is the **results of the audit work carried out on the accounts** submitted in February n+1 (after the end of the reporting year). This audit work allows the Directorate General to confirm the completeness, accuracy and veracity of the accounts.

Materiality criteria and reservations

The Directorate General assesses **each operational programme** in order to identify the need for reservations and corrective measures to be applied. Operational programmes with management and control systems in common can be grouped for the purpose of this assessment.

At operational programme level, reservations or partial reservations are made in case of significant weaknesses in the Member States' management and control systems leading to a material risk to the EU budget. In practice, this means that reservations or partial reservations are made for programmes included in the categories 'limited assurance with medium risk' and 'limited assurance with high risk' (see below). As a general rule, a programme will be put under reservation if at least one of the following conditions applies:

- a total error rate above 10%;
- deficiencies in key elements of the systems, which could result in/lead to irregularities above 10% and for which no adequate corrective measures to remedy the deficiencies have yet been implemented;

- a residual total error rate above 2%;
- material issues concerning the completeness, accuracy and veracity of the accounts.

Exceptions, if any, are clearly reported and explained in the body of the AAR. In some cases, reservations may be made at sub-programme level (priority axis or implementing bodies) when the systemic deficiencies only affect a specific component of the management and control system, not used for the other activities under the same programme.

In case there is no financial impact for the reporting year in question (e.g. no expenditure paid, or risk covered by the 10% retention) for a programme under reservation, the reservation is made as reservation with no financial impact.

In addition, reputational reservations are made for deficiencies of a qualitative nature (e.g. significant systemic deficiencies or major control failures) which have a significant impact on the reputation of the Commission.

The operational programmes are classified in four categories:

Operational programmes not in reservation:

- **Reasonable assurance** means that there is no material deficiency affecting key elements of the systems (only minor improvements may be needed in some cases) and there are no material issue concerning conformity of expenditures (residual total error rate < 2%) and on the accounts;
- Reasonable assurance with low risk of irregularities covers programmes with
 the existence of some deficiencies in key elements of the systems without
 material impact on the EU Budget; and there are no material issue with both the
 legality and regularity of the expenditures (residual total error rate < 2%) and the
 accounts.

Operational programmes in reservation:

- Limited assurance with medium risk of irregularities covers:
 - programmes with deficiencies in key elements of the systems with a material risk for the EU budget (e.g. programme with a total error rate between 5% and 10% and no adequate financial corrections have yet been implemented); and/or
 - programmes with material legality and regularity issues and insufficient financial corrections implemented ("residual total error rate" remains above 2%); and/or
 - o programmes with material issues concerning the completeness, accuracy and veracity of the accounts.
- Limited assurance with high risk of irregularities covers:
 - programmes with widespread deficiencies in key elements of the systems with a material risk for the EU budget (e.g. programme with a total error rate above 10% and no adequate corrective measures to remedy the deficiencies have yet been implemented); and/or
 - programmes with widespread material legality and regularity issues and insufficient financial corrections implemented ("residual total error rate" remains above 2%); and/or
 - o programmes with widespread material issues concerning the completeness, accuracy and veracity of the accounts.

Estimation of the amounts at risk at payment and at closure

The amounts at risk "at payment", and the error rates are calculated on the expenditure incurred from 1^{st} July N-1 to 30^{th} June N, while the risk has to be estimated on the expenditure of year N.

The risk "at payment" is calculated for each programme by applying the residual total error rate communicated by the audit authorities to the "relevant expenditure" (i.e. payments made during the reporting year excluding new pre-financing and including the 10% retained, and including the cleared pre-financing minus the retentions released and minus any deductions applied in the accounts covering the expenditure of the period 1^{st} July N-1 to 30^{th} June N).

In case no error rates are reported by the audit authorities a flat rate is used.

For the estimation of the amount at risk at closure, the estimated future corrections -if any- are deducted from the amount at risk at payment.

The quantification of reservations is calculated in the same way as the amount at risk, except for programmes for which a reservation is made at sub-programme level. In this latter case, an appropriate flat rate is applied to relevant expenditure paid in the year for the concerned sub-programme. Where the reservation is due to a risk estimated to be above 10% the estimated risk rate is applied to the expenditure of the second semester and the residual error rate is applied to the expenditure of the first semester, if applicable.

Where there is no financial impact for the reporting year in question (e.g. no expenditure paid) for a programme under reservation, the reservation is made as a "reservation with no financial impact". In addition, reputational reservations are made for issues which could have a significant impact on the reputation of the Commission.

II. For direct management

To judge the significance of weaknesses, DG MARE uses an approach based on both qualitative and quantitative criteria. Even if the amount at risk is under the materiality threshold, a reservation may still be made on qualitative grounds.

Qualitative criteria for defining significant weaknesses

For the main direct expenditure (Surveillance and control, Data Collection), DG MARE uses an approach based on the following criteria:

- nature and scope of the deficiency;
- duration of the deficiency;
- existence of compensatory measures (mitigating controls which reduce the impact of the deficiency);
- existence of effective remedial actions to correct the deficiencies (action plans and financial corrections which have had a measurable impact).

Quantitative criteria for defining reservations

In establishing a judgement on materiality, it is necessary to ensure that sufficient weight is given to the significance of the detected error rate in relation to the payments made in the year in question for the policy area concerned. Taking account of the fact that the programmes/contracts are multi-annual and that the Member States audited have been chosen on the basis of a risk analysis, a deficiency should materialise and a reservation should be made if the potential financial impact of errors detected by ex-post controls during the year exceeds 2% of the payments sampled for the programmes concerned **and** if the multi-annual error rate resulting from the current year and previous years' ex-post control activity account for more than 2% of the sampled payments audited for those activities.

For Sustainable Fisheries Partnership Agreements

Given that Fisheries Partnership Agreements provide a financial contribution principally to gain access to fishing possibilities in third countries, qualitative factors such as weaknesses detected in the functioning of the internal control system at the level of the Commission or factors which affect or are likely to affect in a significant manner the reputation of the Commission, are considered as materiality criteria.

ANNEX 5: Internal Control Template(s) for budget implementation (ICTs)

EXPENDITURE IN SHARED MANAGEMENT

DG MARE distinguishes 3 main stages in the implementation of its budget under the shared management mode: (1) Negotiation and assessment/approval of spending proposals; (2) Implementation of operations (Member States); and (3) Monitoring and supervision of the execution, including ex-post controls. The tables below set out the main risks identified and related benefits for each stage. DG MARE estimates that the annual overall costs incurred amount to approximately 1% of total appropriations. This is made up of:

- The annual cost of audit work: this covers DG MARE's assessment of management and control systems in Member States, including analysis of Audit Authorities' systems reports and Annual Control Reports (ACRs), DG MARE's own audit work¹⁹ and drafting of interruption letters.
- The annual costs of DG MARE staff who carry out controls throughout the different design, implementation and monitoring phases. For the 2014-2020 period, this will include the setting-up of the management and control systems in the Member States, the checks in the designation process (sampling of national designations), and the Commission ex-ante checks of the periodic expenditure declarations (financial circuits).

Stage 1 - Negotiation and assessment/approval of spending proposals:

Main control objectives: Ensuring the Commission adopts the actions that contribute most towards achievement of the policy objectives (effectiveness)

Main risks	Mitigating controls	Coverage frequency and depth	Costs and benefits of controls	Control indicators
The Operational Programmes (OPs) financed do not adequately reflect the policy objectives or priorities.	Internal consultation, hierarchical validation of each OP. Inter-service consultation (including all relevant DGs) Adoption by Commission Decision, where foreseen by EU law.	Coverage / Frequency: 100%. Depth: checklist, guidelines, lists of requirements in the relevant regulatory provisions and reflection of policy objectives and priorities in position papers.	MS and regions are facing and have a clear intervention logic, allowing the Commission	Effectiveness: - % of OPs adopted/approved. Efficiency: - average time to adopt/approve an OP ²⁰ .

Systems audits, re-performance of audits of operations, audits in respect of ACRs, follow-up of audit authorities, closure audits, fact finding audits, etc.

²⁰ Impacted by the time required by Member States to react

Stage 2 - Implementation of operations (Member States):

A. Setting up of the systems

Main control objectives: ensuring that the management and control systems are adequately designed

Main risks	Mitigating controls	Coverage, frequency and depth	Costs/benefits of controls	Control indicators
The process of designation of national authorities in the Member States (MS) is not effective and, as a result, the management and control systems are not compliant with the applicable rules.	Supervision by Commission (for 2014-2020): - Commission review (and audits) of a sample of national designations. - submission of MS Audit Strategies to the Commission (on request).	Coverage / Frequency: fixed in sector-specific rules Depth: verification (desk review + audit missions where necessary) of description of management and control systems communicated by MS. Designation audits are generally done on-the-spot.	Overall COM cost: see above Benefits: (part of) the amounts associated with unreliable systems for which the Commission audit work revealed substantial compliance problems (for 2014-2020) [not quantifiable].	For 2014-2020: Effectiveness: - % of authorities designated. Efficiency: - number of authorities for which serious weaknesses found by designation reviews/audits (% of total checked).

B. MS controls to prevent, detect and correct errors within the declared certified expenditure

Main control objectives: ensuring that the periodic expenditure declarations submitted to the Commission for each action are legal and regular

Main risks	Main risks Mitigating controls Coverage, frequency and depth		Control indicators
Periodic expenditure declarations submitted to the Commission include expenditure which is irregular or non-compliant with EU and/or national eligibility rules and legislation.	Management verifications: first level checks by designated/accredited programme authorities or bodies. ²¹ Certification, audit opinion and annual report by the relevant authorities or bodies designated/accredited. ²²	Coverage: fixed in legislation. Depth: - management verifications: performance of first-level checks (administrative (100%) and on the spot controls (sample)). - certification: [limited] additional verification (desk checks and onthe-spot), with where appropriate additional checks. - audit opinion: system audits on the checks already carried out, where necessary with re-performance of on-the-spot checks; where applicable, audits of operations (on a statistical basis) and additional substantive testing on expenditure as well as audits on the annual accounts.	Effectiveness: - error rates as reported by the Member States annual audit opinions (or certificate opinions) of the Member States.

For Maritime affairs: Managing Authorities (MA).
For Maritime affairs: Certifying Authorities (CA) and Audit Authorities (AA).

Stage 3 - Monitoring and supervision of the execution, including ex-post control

Main control objectives: ensuring that the expenditure reimbursed from the EU budget is eligible and regular

Main risks	Mitigating controls	Coverage, frequency and depth	Estimated costs and benefits of controls	Control indicators
The management verifications and subsequent audits/controls by the Member States have failed to detect and correct ineligible costs or calculation errors. The audit work carried out by the audit/certifying authorities is not sufficient to obtain adequate assurance on the submitted declarations. The Commission services have failed to take appropriate measures to safeguard EU funds, based on the information it received.	Commission checks of periodic MS expenditure declarations. Commission assessment of management and control systems in the MS, in particular of work done and/or reported by the AA/PA/CB, namely: - assessment of annual control/audit/certification report - calculation of projected error rate (where applicable) and of a residual error total rate (RTER) - assessment of systems audits reports from AA/CB - assessment of annual summaries (where applicable) - own Commission audits - technical and bilateral meetings with MS. Interruptions and suspensions of payments. Financial corrections (implemented by Commission).	Coverage: verification of information provided in the annual (audit/control /certification) report and annual audit opinions. Depth: desk checks and/or on-the-spot audits based on risk assessment; verification of the quality and reliability of the information based on Commission's own audit work; 'Validation' and where necessary adjusting of error rates reported by MS.	costs: - cost of Commission financial officers checking MS expenditure (financial circuits) estimation of cost of Commission staff involved in the assessment of management and control systems in MS, including analysis of AA/CB report, own audit work ²³ , and drafting of interruption letters. Benefits: the impact of the Commission's adjustments made on the error rates reported by the MS following its own audit work and the total amount of expenditure for which the Commission has assurance.	Effectiveness: - best estimate of residual risk of error per MS number of programmes/MS/PA with a reported error rate assessed as reliable (and subject to an adjustment) % of the expenditure for which the Commission can rely on the work of the AA (where applicable). Efficiency: - cost of control/financial management of the Commission checks and assessment (% of total appropriations).

²³ Systems audit, re-performance of annual control reports (ACR), follow-up of audit authorities, closure audits, fact finding audits, conformity audits of PA (CAP), etc.

EXPENDITURE IN DIRECT MANAGEMENT (DATA COLLECTION, MARKETS AND OUTERMOST REGIONS, SURVEILLANCE AND CONTROL)

For data collection all Member States are eligible to submit a multi-annual national programme for the collection, management and use of fisheries data and respective annual budget forecasts, on the basis of which and following evaluation, the Commission decides the amount of financial assistance to be granted.

Contributions to surveillance and control expenditure are decided by the Commission on the basis of an annual fisheries control programme submitted by the Member State concerned which sets out detailed information on the programme and the items for which an EU contribution is sought.

<u>Stage 1</u>: Evaluation of (multi)-annual programmes and financing decisions; implementation of preventive and directive measures to improve the quality of financial management and provision of data by beneficiaries and intermediaries

Main control objective: Effectiveness – to ensure that the programmes reflect Commission priorities and Member States are aware of their reporting obligations

Main risks It may happen (again) that	Mitigating controls		Estimated costs and benefits of controls	Control indicators
The programme is not in conformity with priorities defined by the Commission. The Commission does not receive the necessary data from Member States to approve the programmes/ the programme is implemented incorrectly.	 Possible financial reductions for late submission of multi-annual national programmes Financial reductions, suspensions and recoveries possible if other obligations of the DCF, such as those concerning access to data, data quality and storage not respected Assessment and approval of the National Programmes and the Annual Community contributions - multiple contacts between the national bodies and the Commission services in which eligibility issues are clarified Feedback from the Commission on the annual report and expenditure declaration to ensure an efficient and effective management of EU resources for data collection. Surveillance and control Invitation to MS authorities to submit their annual fisheries control programme recalls the rules governing the EU contributions Regular contacts with MS on programme implementation of the programmes (correspondence/periodic meetings) The financial officers responsible for the follow up of the programmes within the DG are in regular contact with the Member States to clarify and explain rules on eligibility of expenditure. 	Coverage (Surveillance and control, data collection): 100%: all programmes submitted are subject to Commission approval. Depth: 3. Markets: determined by legal base.	Costs: All 3 schemes – programme monitoring and implementation.	Effectiveness: Rate of utilisation of commitment credits.

<u>Stage 2</u>: Detective and corrective controls: Verification of commitments, pre-financing, interim, payments and key milestones. Monitoring of the project.

Main control objective: Legality and regularity of declared expenditure

Main risks It may happen (again) that	Mitigating controls	Coverage, frequency and depth	Estimated costs and benefits of controls	Control indicators
Periodic expenditure declarations submitted to the Commission include expenditure which is irregular or non-compliant with EU and/or national eligibility rules and legislation.	The multi-annual data collection programmes, including the annual budget forecasts, and annual fisheries control programmes are checked before approval to ensure compliance with the applicable legislation and the eligibility of the proposed expenditure. All expenditure declarations are checked by the operational services against the Commission financing decision and the relevant control and data collection programme for eligibility and consistency.	100% check of programmes, annual forecasts.	Costs: All 3 schemes – financial management (claim analysis, verification and processing). Benefits: All 3 schemes - amounts not paid as a result of ex-ante checks.	Legality / regularity: error rates detected during audits. Payment refusal rates.

<u>Stage 3</u>: Corrective controls and audits: Either on the system or on individual projects. At the end of the project (before or after the final payment)

Main control objectives: Effectiveness and legality and regularity: to check that processes are working/have worked as designed and that EU funds are safeguarded

Main risks It may happen (again) that	Mitigating controls	Coverage, frequency and depth	Estimated costs and benefits of controls	Control indicators
The verifications and subsequent audits/controls by the Member States have failed to detect and correct ineligible costs or calculation errors. The Commission services have failed to take appropriate measures to safeguard EU funds, based on the information received.	Controls may be carried out by the Commission up to five years following the last payments made by the Member States to producer organisations or operators.	Ex-post controls are carried out on a risk based sample of Member States, based on the value of payments made over a number of years, specific risk factors, previous audit coverage, input from the operational service and other factors. Depth: 3.	schemes). Benefits – amounts recovered as	Legality and regularity: error rates detected.

EXPENDITURE FOR SUSTAINABLE FISHERIES PARTNERSHIP AGREEMENTS

Sustainable Fisheries Partnership Agreements (SFPAs) are negotiated and concluded by the Commission, on behalf of the European Union. Under an SFPA the EU obtains access to a third country's exclusive economic zone (EEZ) for EU vessels which may carry out fishing activities. In return, the EU provides a financial contribution. This financial contribution is paid to each partner country annually, on the basis of the provisions set by the Protocol.

Each year, the Commission identifies in its Draft Budget proposals those agreements that will be in force the following year together with possible future agreements or renewals of protocols. In 2017, the total amount committed and paid in respect of International Fisheries Agreements was respectively 120.8 million and 130.2 million. While the contributions for SFPA in force are covered by the annual allocation on the operational line, the amounts for new and renewed SFPAs are put in the reserve and only transferred to the operational line once the relevant legal basis enters into force.

The main challenge faced by the Commission in the implementation of the SFPAs and their negotiation is to ensure that the financial contribution paid by the EU budget represents a fair balance between the access to third country waters and the positive returns for the EU.

The newly negotiated protocols are in line with the orientations of the CFP reform, and include, in particular, provisions related to human rights, decoupling of access and sectoral support as well as re-balancing of the cost of access between the EU budget and private operators. They are also longer protocols, than during the transition process, which characterise the reform process.

Stage 1: Choice of partner country and negotiation of SFPA protocols

Main control objectives: ensure that the financial contribution resulting from the negotiations represents a fair balance between the access to third country waters and the positive returns for the EU

Each agreement is negotiated under a formal mandate given to the Commission by the Council. The choice of the partner country with which the EU negotiates a new agreement, or the renewal of an existing one, is based on several factors, including a sufficient demand from the EU side (Member States and industry) and the corresponding interest of the third country in such negotiations, as well as the practicalities of the agreement and protocol proposed.

The level of the financial contribution is based on two elements: the economic evaluation of the access by Community vessels to third country waters and fisheries resources, and the needs expressed by the partner country for supporting the implementation of a sustainable fisheries policy in its waters. A specific envelope of the financial contribution under the agreement is set aside to support the sectoral fisheries policy in the partner country.

An essential element of an FPA is the policy dialogue on fisheries between the EU and the partner country during the negotiation process and the lifetime of the protocol.

Main risks It may happen (again) that	Mitigating controls	How to determine coverage, frequency and depth	How to estimate the costs and benefits of controls	Control indicators
 Insufficient demand from EU side (Member States and industry) or insufficient interest of third country. Governance and sustainability of third country fisheries sector needs strengthening. 	 Systematic in depth ex-ante and, where appropriate, ex-post evaluation including scientific analysis of the stock situation of the targeted fishery species. Sectoral initiatives must be undertaken by third countries in partnership with EU. 	- Evaluations finalised for each Protocol prior to the negotiation process. These are shared with stakeholders and the partner country All Partnership agreements.	 Net benefit from evaluations. Recommendations of evaluation taken into account in negotiation strategies. 	 Number of Protocols in force. Track record in terms of compliance with IUU regulation.

Stage 2: Adoption of SFPA protocols

Main control objectives: Ensure formal adoption of the agreements and protocols

Provided the negotiations are successful, the agreement and protocol are initialled by the Commission and the third country. This may be followed by a Council decision on provisional application and signature and conclusion. The agreements and protocols are then concluded by the Council with the consent of the European Parliament. A specific Council regulation is adopted allocating the available fishing possibilities and providing a breakdown per Member State and per category of vessel for the quota of fishing authorisations.

Stage 3: Implementation and monitoring of the agreements

Main control objectives: ensure that the financial contribution paid by the EU budget represents a fair balance between the access to third country waters and the positive returns for the EU

Main risks It may happen (again) that	Mitigating controls	How to determine coverage, frequency and depth	How to estimate the costs and benefits of controls	Control indicators
- Lack of coherence between SFPA and the fishery policy of the partner country, in particular with regard to the sustainable management of fisheries. - Inadequate implementation of agreement (including fishing activity of EU vessels: delivery of licences, positioning, infringement procedures, and data collection) or inadequate implementation of agreed national sectoral programmes. - Inadequate use of resources under sectoral policy.	- Establishment of Joint Committees under each SFPA with identification of priorities, jointly with Commission. - Monitoring of a number of key requirements of SFPA and protocols. Discussion during annual Joint Committee meeting (work of committee supported by preparatory technical and/or scientific meetings). - Discussion on action plan (objectives broken down in annual targets and indicators) during annual Joint Committee meeting.	 Agreement on annual and multi-annual plan. Monitoring on a continuous basis. For all agreements, dedicated staff (fisheries attachés) have been allocated to the EU Delegations for the monitoring of the SFPAs. Annual revision of objectives and targets in the light of real progress on the ground. 	 Capacity to suspend payments in case of poor implementation of multi-annual plans. Increased dialogue and ad hoc meetings to resolve issues. 	 Fishing activity of EU vessels. Smooth cooperation with partner country authorities. Disbursement of sectoral support on basis of positive assessment of requirements.

EXPENDITURE IN DIRECT MANAGEMENT - PROCUREMENT AND GRANTS

<u>Stage 1 – Planning, programming, evaluation and selection</u>

A – Planning, preparation, adoption and publication of Annual Work Programme and Calls

Main control objectives: Effectiveness, efficiency and economy. Compliance (legality and regularity).

Main risks It may happen (again) that	Mitigating controls	How to determine coverage, frequency and depth	How to estimate the costs and benefits of controls	Control indicators
Procurement: The needs are not well defined (operationally and economically) and that the decision to procure was inappropriate to meet the operational objectives. Discontinuation of the services provided due to a late contracting (poor planning and organisation of the procurement process).	relevant DGs.	Coverage / Frequency: 100%.	Costs: Estimation of the cost of staff involved. Benefits: No purchase rejected. Continuity of services ensured.	Effectiveness: No procedure cancelled or abandoned. Efficiency: Cost of control as a percentage of value contracted/granted.
Grants: The annual work programme does not adequately reflect the policy objectives, priorities, is incoherent and/or the essential eligibility, selection and award criteria are not adequate to ensure the evaluation of the proposals.	Publication of contract notices in the OJ for all open procedures. Validation by AOSD before launching a procurement/grant process, and central (finance Unit) ex-ante control on procurement process.			

B - Needs assessment & definition of needs

Main control objectives: Effectiveness, efficiency and economy. Compliance (legality and regularity).

Main risks It may happen (again) that	Mitigating controls	How to determine coverage, frequency and depth	How to estimate the costs and benefits of controls	Control indicators
Procurement and grants: The best offers/proposals are not submitted due to the poor definition of the tender specifications/call for proposals.	AOSD supervision and approval of specifications/call for proposal documents. Additional ex ante verification by project officers.	100% of the specifications/call for proposal documents are scrutinised. Depth: 100% of the tenders above 60.000 € are reviewed.	Costs: Estimation of the cost of staff involved. Benefits: no tender/call for proposal cancelled and no litigation with third parties for open procedures.	Effectiveness: N° of requests for clarification regarding the open tenders. Efficiency: Related cost of control as a percentage of value contracted.

C - Selection & evaluation

Main control objectives: Effectiveness, efficiency and economy. Compliance (legality and regularity). Fraud prevention and detection.

Main risks It may happen (again) that	Mitigating controls	How to determine coverage, frequency and depth	How to estimate the costs and benefits of controls	Control indicators
Procurement: The most economically advantageous offer not being selected, due to a biased, inaccurate or 'unfair' evaluation process.	Opening committee and Evaluation committee are always appointed by the AOSD for all open procedures. Declaration of absence of conflict of interest by the member of the opening and evaluation committees. Exclusion criteria documented Opinion by consultative committee "PEG" (Procurement Examination Group) for all the open procedures Standstill period	100% of the offers analysed. 100% of the members. 100% checked for all the tenders. 100% of the open procedures. Applied to all tenders.	Costs: Estimation of costs of staff involved. Benefits: Compliance with FR and RAP. Selection of the most economically advantageous offers. No complaint received.	Effectiveness: no complaints or litigation cases. Efficiency: related cost of control as a percentage of value contracted. Time-to- publication of selection results (grants).
Grants: The evaluation, ranking and selection of proposals is not carried out in accordance with the established procedures, the policy objectives, priorities and/or the essential eligibility, or with the selection and award criteria defined in the annual work programme and subsequent calls for proposals.	Assignment of staff (e.g. programme officers). Assessment by staff (e.g. programme officers) and/or by experts from other DGs. Review and hierarchical validation by the AO of ranked list of proposals.	100% vetting for technical expertise and independence (e.g. conflicts of interests, nationality bias, ex-employer bias, collusion). 100% of proposals are evaluated. Coverage: 100% of ranked list of proposals. Supervision of work of evaluators.		

<u>Stage 2 – Contracting, monitoring and financial transactions</u>

Main control objectives: Ensuring that the actions and funds allocation is optimal and that the implementation (operational, financial and reporting aspects) is in compliance with the signed contract/agreement

Main risks It may happen (again) that	Mitigating controls	How to determine coverage frequency and depth*	How to estimate the costs and benefits of controls	Possible control indicators
Procurement: The products/services foreseen are not, totally or partially, provided in accordance with the technical description and requirements foreseen in the contract and/or the amounts paid exceed that due in accordance with the applicable contractual and regulatory provisions. Business discontinues because contractor fails to deliver.	Operational and financial checks in accordance with the financial circuits. Operation authorisation by the AO.	100% of the contracts are controlled, including checks on the provision of the service and the need to apply liquidated damages.	Costs: estimation of cost of staff involved. Benefits: irregularities, errors and overpayments prevented by controls. In the area of studies/scientific advice, DG MARE's staff carefully checks the reports sent by the contractors and provides comments and guidance to the contractor on the necessary improvements. This work is essential to ensure that the final product is in accordance with the terms of reference and with the policy needs. The added value of this control is difficult to estimate precisely.	Effectiveness: number/amount of liquidated damages. Interruption of time limits for report approval in order to request additional information/complementary work. Efficiency: related cost of control as percentage of amount paid. Time-to-payment. Late interest payment and damages paid (by the Commission).

Main risks It may happen (again) that	Mitigating controls	How to determine coverage frequency and depth*	How to estimate the costs and benefits of controls	Possible control indicators
Grants: The description of the action in the grant agreement includes tasks which do not contribute to the achievement of the programme objectives and/or that the budget foreseen overestimates the costs necessary to carry out the action. The beneficiary lacks operational and/or financial capacity to carry out the actions. Procedures do not comply with regulatory framework.	Project Officers implement evaluators' recommendations in discussion with selected applicants. Hierarchical validation of proposed adjustments. Validation of beneficiaries (operational and financial viability) and planning of (midterm and final) evaluations. Signature of the grant agreement by the AO. In-depth financial verification.	100% of the selected proposals and beneficiaries are scrutinised. Coverage: 100% of draft grant agreements.	involved.	Efficiency Indicators: related cost of control as percentage of amount paid Time-to-Grant.
Grants: The actions foreseen are not, totally or partially, carried out in accordance with the technical description and requirements foreseen in the grant agreement and/or the amounts paid exceed that due in accordance with the applicable contractual and regulatory provisions.	Operational and financial checks in accordance with the financial circuits. Operation authorisation by the AO. If needed: application of Suspension/interruption of payments.	100% of the projects are controlled, including only value-adding checks. Depth: depends from results of exante controls.	Costs: estimation of cost of staff involved. Benefits: budget value of penalties and liquidated damages.	Effectiveness: cost items rejected. Efficiency Indicators: related cost of control as percentage of amount paid Time-to-payment.

Stage 3 - Supervisory measures including audits

For all the contracts above 15 000 €, an ex-post publication of the beneficiaries is ensured through the Financial Transparency System (http://ec.europa.eu/budget/fts/index_en.htm). In addition, the beneficiaries of procurement contracts between 15 000 and 60 000 € are published in the Official Journal.

ANNEX 6: Implementation through national or international public-sector bodies and bodies governed by private law with a public sector mission (not applicable)

ANNEX 7: EAMR of the Union Delegations (not applicable)

Decentralised agencies ANNEX 8:

	DG MARE decentralised agencies											
Name	Acronym	Policy concerned	Subsidy paid in 2017 by DG MARE									
European Fisheries	EFCA	Maritime Affairs	€17,113,000									
Control Agency		and Fisheries –										
		Control and										
		Enforcement of the										
		Common Fisheries										
		Policy										

ANNEX 9: Evaluations and other studies finalised or cancelled during the year

No dia		Title	Reason ¹	Scope ²	Type ³	Associated DGs	Costs (EUR)	Comments ⁴	Reference ⁵
No used in Annex 3				Сорс	.,,,,	7.0300.000.00	20313 (2011)		Neterence
MP2017									
	I. Evaluations finalised or cancelled in 2017			T T					
1	a. Evaluations finalised in 2017	REFIT Evaluation of the impact of the fisheries regulation (Title in the MP: Ex-post evaluation of the control regulation)	L – Evaluation article in legal base;#CWP – Commission Work Programme (reflecting the 'evaluate first' principle)	According to Art. 118 (3) of the Council Regulation (EC) No 1224/2009 of 20 November 2009 "an evaluation of the impact of this Regulation on the common fisheries policy shall be undertaken by the Commission five years after the entry into force of this Regulation".	R – regulatory measure (not recognised as a FC)	SG	250.000,00 €	2016/MARE/048; Original title in the MP: Ex-post evaluation of the control regulation	evaluation report: SWD(2017)134 final; Study: https://publications.europa.eu/en/publication-detail/-/ /publication/8762/78-3451-116-6ad7c-01aa7Sed71a1; Summary: https://publications.europa.eu/en/publication- detail/-/publication/d441094c-d313-11e6-ad7c-01aa7Sed71a1
4		Ex-post evaluation of the European Fisheries Fund (EFF) 2007-2013	MFF – Evaluation/Study linked to spending programmes under the Multiannual Financial Framework	Article 50 of Regulation (EC) 1198/2006 requires that the Commission undertakes an ex-post evaluation which will examine the degree of utilisation of the resources, the effectiveness and efficiency of the Ops and their impacts.	E – expenditure programme/m easure	SG	449,995,11€	2016/MARE/020	https://publications.europa.eu/en/publication-detail/-/publication/8762/78-3-d316-11e6-ad7c-01aa75ed71a1, Summary in DE, EN, FR and ES: https://publicationseuropa.eu/en/publication-detail/-/publicationseuropa.eu/en/publication-detail/-/publicationseuropa.eu/en/publication-detail/-/publicationseuropa.eu/en/ex-post-evaluation-of-the-european-fisheries-fund-2007-2013pbKL0117048/; * case studies gender equality: https://bookshop.europa.eu/en/ex-post-evaluation-of-the-european-fisheries-fund-2007-2013pbKL0117044/; - measure 1.3: https://bookshop.europa.eu/en/ex-post-evaluation-of-the-european-fisheries-fund-2007-2013pbKL0117040/; - measure 1.4: https://bookshop.europa.eu/en/ex-post-evaluation-of-the-european-fisheries-fund-2007-2013pbKL0117041/; - measure 1.5: https://bookshop.europa.eu/en/ex-post-evaluation-of-the-european-fisheries-fund-2007-2013pbKL0117043/; - measure 2.1: https://bookshop.europa.eu/en/ex-post-evaluation-of-the-european-fisheries-fund-2007-2013pbKL0117043/; - measure 3.1: https://bookshop.europa.eu/en/ex-post-evaluation-of-the-european-fisheries-fund-2007-2013pbKL0117042/; - measure 3.1: https://bookshop.europa.eu/en/ex-post-evalu-measure 3.3: https://bookshop.europa.eu/en/ex-post-evalu-measur
6		Evaluation of the protocol to the Sustainable Fisheries Partnership Agreement with Côte d'Ivoire (Title in the MP: Ex-post evaluation of the SFPA with Ivory Coast and the exante evaluation and analysis of the impact of a new FPA)		Expenditure instrument: possible future FPA. The main purpose of the evaluation of the current Protocol is to provide information to and guide DG MARE during the negotiations in view of renewal of the Protocol.	E – expenditure programme/m easure	DEVCO, EEAS, SG	44.892,50 €	2017/MARE/028; Original title in the MP: Ex-post eva	evaluation report: SWD(2017)446 final; ES of the evaluation report: SWD(2017)447 final; Study: under publication
7		Evaluation of the Protocol to the Fisheries Partnership Agreement with São Tomé and Principe (Title in the MP: Expost evaluation of the SFPA with São Tomé and Principe and the ex-ante evaluation and analysis of the Impact of a new FPA)	FR, L (Article 31 (10) of the CFP Regulation 1380/2013)	Expenditure instrument: possible future FPA. The main purpose of the evaluation of the current Protocol is to provide information to and guide DG MARE during the negotiations in view of renewal of the Protocol.	E – expenditure programme/m easure	DEVCO, EEAS, SG	44.925,00 €	PLAN/2017/1292; Original title in the MP: Ex-post evaluation of the SFPA with São Tomé and Principe and the ex-ante evaluation and analysis of the impact of a new FPA	evaluation report: SWD(2017)434 final; ES of the evaluation report: SWD(2017)437 final; Study (in FR): https://publications.europa.eu/en/publication-detail/-/publication/b2a08ce7-bac1-11e7-a7f8-01aa75ed71a1 (this also includes summaries in FR, PT, EN and ES)

				_				Comments ⁴	_
No used in		Title	Reason 1	Scope ²	Type ³	Associated DGs	Costs (EUR)	Comments	Reference ⁵
Annex 3 MP2017									
	b. Evaluations cancelled in 2017								
14		Evaluation of implementation of CISE	0	Review process to assess the implementation of Maritime CISE and the need for further action.	C – communication activity	HOME, MOVE, TAXUD, ECHO, ENV, JUST, OLAF, SG, EEAS	325.000,00€	No legal requirement for an evaluation. The planned evaluation has been 'downgraded" to a review study.	
	II. Other studies finalised or cancelled in 2017								
	a. Other studies finalised in 2017								
2		Study on the development of effective mitigation measures to minimise seabird by catch in gillnet fisheries	O – Other	This study aims to develop and test mitigation measures in static net fisheries where seabird by-catch is documented as being a particular problem. The study intends to follow an industry/science approach using the collective knowledge of experts in seabird biology and commercial fishermen.	O – other		149.978,00€	Implemented by EASME	https://publications.europa.eu/en/publication-detail/- /publication/f426200b-1138-11e8-9253-01aa75ed71a1
3		Study on the subsidies to the fisheries, aquaculture and seafood processing and marketing sectors in major fishing nations beyond the EU	O – Other	The purpose of this study is to collate and standardise, to the extent possible, information on the value and scope of subsidies to the catching, aquaculture, and marketing and seafood processing subsectors in six of the major fishing nations beyond the EU - Japan, South Korea, China, the Russian Federation, Taiwan and the United States.	O – other		149.837,43€		https://publications.europa.eu/en/publication-detail/- /publication/45f78bf8-d24b-11e6-ad7c-01aa75ed71a1
5		Provision of advice on the conservation of pelagic sharks associated to fishing activity under EU Sustainable Fisheries Partnership Agreements in the Atlantic Ocean	O – Other	Study on the conservation level of sharks in the tropical area of the Atlantic Ocean and in particular in Cape Verde. Focus will be on 1) analysing potential local depletion individual shark species and impacts to the local ecosystem consequence of fishing activity; 2) providing information regarding migration patterns of sharks in the tropical and sub-tropical Atlantic Ocean in order to understand at what regional or global level the management of sharks should focus; and 3) identifying biological and ecological sensitive areas in Cape Verde and in the tropical area of the Atlantic. This information will be used in the framework of the Sustainable Fisheries Partnership Agreement to contribute to the development and enhancement of conservation and management plans for shark species in Cape Verde. Extract of the EMFF WP: the objective of these specific contracts is to provide the EC with scientific responses for the provision of the advice, which is necessary for the day-to-day policy management of fisheries under RFMOs and SFPAs, in the context of the external dimension of	O – other		212.389,40 €	Implemented by EASME (execution end date: 19/2/2017);	Report link: https://publications.europa.eu/en/publication- detail/-/publication/5edf6a61-943f-11e7-b92d- Olaaa7Sed71a1/language-en/format-PDF/source-65339102
8		Eurobarometer on the consumption patterns in the Member States: EU consumer habits with regard to fisheries and aquaculture products - Phase I.	0 – Other	A study on EU consumer behaviour pertaining to fisheries and aquaculture products. The quantitative data and related statistics resulting from this study will be used in a second step, feeding into a qualitative analysis on the main drivers and influencin	O – other	DG COMM	402.150,08€		https://publications.europa.eu/en/publication-detail/- /publication/0ddd87f3-dc82-11e6-ad7c-01aa7Sed71a1

No used in	Title	Reason ¹	Scope ²	Type ³	Associated DGs	Costs (EUR)	Comments ⁴	Reference ^s
Annex 3 MP2017								
9	to consumer natus regarding fishery and aquaculture products (Title in the MP: Study on the consumption patterns in the Member States: EU consumer habits with regard to fisheries and aquaculture products - Phase	O – Other	Study aiming at analysing consumer behaviour towards seafood products in the EU: main drivers and influencing factors of consumer choices, complementing and using results of an ad hoc Eurobarometer and contributing to the achievement of the objectives of	O – other		- €	Original title in the MP: Study on the consumption patterns in the Member States: EU consumer habits with regard to fisheries and aquaculture products - Phase II.	Study: https://publications.europa.eu/en/publication-detail//publication/Oddd87f3-dc82-11e6-ad7c-01aa75ed71a1; Summary: https://publications.europa.eu/en/publication-detail/-/publication/9013092f-dc80-11e6-ad7c-01aa75ed71a1
12	Study - Realising the potential of Outermost Regions for Blue Growth	O – Other	It aims to investigate the current status of the blue economy and analyse opportunities. The focus will be on offshore renewable energy, coastal tourism, aquaculture, seabed mining and marine biotechnology. Analysis will include a gap analysis for skills,	O – other	REGIO	295.000,00 €	Implemented by EASME; It has also been publiushed 12 annexes	Study: https://publications.europa.eu/en/publication-detail/ /publication/029afe70-a725-11e7-837e-01aa75ed71a1; Summary: https://publications.europa.eu/en/publication- detail/-/publication/f1995d34-a4c2-11e7-837e-01aa75ed71a1
20	Assessment of the impact of business development improvements around nautical tourism (Title in the MP: Impact assessement study on Nautical tourism (technical assistance))	O – Other	Assess the impact of a possible Nautical tourism strategy	O – other		188.150,00 €	Original title in the MP: Impact assessement study on Nautical tourism (technical assistance)	https://publications.europa.eu/en/publication-detail/- /publication/473c0b82-18f9-11e7-808e-01aa75ed71a1
21	Benchmarking the operational added value and preparing end users' uptake of the maritime CISE (Title in MP: Study on operational development of CISE)	O – Other	Complement the political, technical with the operational aspects of CISE. Work involves contacts with various ministries in MS to raise awareness and seek national input for operational valua added.	O – other	JRC, DIGIT	225.450,00€	Original title in the MP: Study on operational development of CISE	https://publications.europa.eu/en/publication-detail/- /publication/2301a305-3c41-11e7-a08e-01aa75ed71a1
22	Study on the establishment of a framework for processing and analysing of maritime economic data in Europe (Title in the MP: Scoping study on maritime economic data)	O – Other	The study aims to analyse the potential for finding comprehensive data about employment, GVA and growth figures for the various sectors of the maritime economy in coastal regions as well as inland areas (supply chain). The outcome of the study ought to set the framework and feasibility for establishing detailed methodologies and statistical collection processes for economic data allowing an analysis of size and trends of the maritime economy in the EU.	O – other	ESTAT, MOVE, GROW, RTD, ENV, REGIO, JRC, EEA	460.000,00€	Implemented by EASME, The final study report also includes summeries in EN and FR; Original title in the MP: Scoping study on maritime economic data	https://publications.europa.eu/en/publication-detail/- /publication/9c132514-982d-11e7-b92d-01aa75ed71a1
24	Cross-border cooperation in maritime spatial planning (Title in the MP: Study on international best practices for cross-border Maritime Spatial Planning)	0 – Other	Will compare existing MSP systems which ensure efficient cooperation in cross-border planning and will identify best practices in: 1) Exchange of data, 2) Cross-sectorial management, 3) Stakeholder engagement and 4) Ecosystem-based approach.	O – other	No DGs formally associated	499.711,00€	Implemented by EASME, The final study report also includes summeries in EN and FR; Original title in the MP: Study on international best practices for cross-border Maritime Spatial Planning	https://publications.europa.eu/en/publication-detail/- /publication/985c28bb-45ab-11e7-aea8-01aa75ed71a1

No used in		Title	Reason ¹	Scope ²	Type ³	Associated DGs	Costs (EUR)	Comments ⁴	Reference⁵
Annex 3					71-		,		
MP2017	b. Other studies cancelled in 2017								
10	o. Other studies currently in 2017	Establishment of a revision framework of marketing standards for fisheries and aquaculture products	0	Study aiming at assessing opportunities to adjust marketing standards within the industry and among other stakeholders for the putting in place of a self-regulation system.	O – other	JUST	200.000,00 €	Upgraeded to an evaluation see: PLAN/2017/2168	
11		Regional overview study for FPAs - Eastern Africa/Western Indian ocean	O – Other	The main purpose is to provide information to and guide DG MARE during the negotiations.	O – other	DEVCO, EEAS, SG			
14		Study on maximising the use of fisheries data collected in fully documented fisheries (FDF) to improve scientific knowledge	O – Other	The aim of this project is to consider how CCTV data and other forms of documentation could be used to help improve scientific knowledge and annual fisheries assessments as a supplement to the requirements of the Data Collection Framework.	O – other		100.000,00€		
30		Assessing the impact of the less than 10m fishing fleet on the fish stocks	O – Other	Assessing the impact of the less than 10m fishing fleet on the fish stocks by identifying 1) the species concerned, 2) the fishing areas concerned, and stock (species area), 3) the number of vessels (active/non active) and metiers (where no metiers are defined, target species or main/key landed species could be used), 4) the effort deployed, 5) the discards level, 6) the good practices identified and 7) a proposal for a strategy to be deployed to ensure collection of data.	O – other		1.000.000,00 €		
37		Study on quotas swapping within the EU and on their potential in facilitating the implementation of the landing obligation	MFF – Evaluation/Study linked to spending programmes under the Multiannual Financial Framework;#O – Other	The study aims to involve in particular the following tasks: 1) Investigate the nature of swaps, hence, what species is exchanged for what other species; 2) Investigate the reasons or justifications for swaps i.e. why swaps take place and since 2015 to which extent the landing obligation is affecting the practice of quota swapping, between and within MS; 3) Investigate the exchange rates between species and in particular whether cod-equivalents or other exchange rates are used, whether other forms of compensations are practiced and how these rates may have evolved over time, and why; 4) Building on the results of the previous tasks, the contractor is expected to make recommendations to facilitate the implementation of the landing obligation.	O – other		200.000,00 €		
38		Study for the review of scientific surveys	O – Other	The study aims to review the current list of research surveys at sea, in order to analyse redundancies and/or gaps, improve efficiency and streamline the work carried out by Member States sharing the same sea basin. The study should also assess the current data obtained from surveys for all sea basins, identify ways for data needed to be delivered in a more efficient manner and develop a similar quality assurance framework as is the case for fishery dependent data.	O – other	ENV	500.000,00 €		

No used in	Title	Reason ¹	Scope ²	Type ³	Associated DGs	Costs (EUR)	Comments ⁴	Reference ⁵
Annex 3			,	,,,		,		
MP2017	Studies (max. 4) on the possibility to develop self-controlled scheme in fisheries	O – Other	The objective of these studies are to explore and provide guidance on how to implement and control the landing obligation and how the control of fisheries can be organised by fishermen. The studies look for the answer of the following questions: 1) What are the best practices to be followed when implementing the landing obligation; 2) How could fishermen self-control the implementation of the landing obligation; 3) What are the key elements of a compliance scheme; 4) How can compliance schemes be supervised by the national authority and be extended to other obligations; 5) What is the impact of compliance scheme on compliance, efficiency of control, implementation of the landing obligation, sustainability of the fishery; 6) What are the alternatives, trade-offs, pros and cons, limits of the compliance scheme.	O – other		800.000,00 €		
Not included	Spatially-structured decision support tool for mixed fisheries	O – Other	The objective is to provide a relevant decision support tool (DSL) for the Irish Sea, West of Scotland and Channel providing a mechanism for stakeholders and managers to develop and examine management scenario for mixed fisheries. The CFP sets as a priority the management of stocks by Multi Annual Plans; whereby the MAP defines for a region relevant objectives, timeframes and safeguards. Joint Recommendations formulated by the Member States determine which actions are implemented to meet the objectives. Managers and stakeholders require an evaluation of the options to support these recommendations; a DSL allows examination of different management options from a biological and economic perspective. The Commission have previously supported the development of one such DSL; DAMARA to examine antiquism in the Celtic Sea. It was originally.	O – other		300.000,00 €	Implemented by EASME. No successful tenders during the evaluation.	ТВС
Not included	Monitoring small-scale fisheries	O – Other	Technologies used for monitoring the EU's larger fishing vessels are not practical for smaller vessels. A number of countries have therefore developed alternative methods. The objective is to assess these low-cost, low-burden solutions for monitoring catch and effort in small-scale fisheries on behalf of scientists and authorities, and determine whether they could be rolled out further. The contractor will (1) examine and assess systems already in use in EU Member States and outside (2) develop (3) test and (4) assess prototype systems that take advantage of lessons learned in operational uses as well as new opportunities from emerging technologies. The systems will include an on-board component that collects information on movements, suitable for use on small fishing vessels, a port component that collects information on landings, an onshore component where the information component. The systems should deliver administrative information such as sales notes automatically and flag activity that may indicate a breach of regulatio Testing should take place in the Atlantic, Baltic, Bal	O – other		400.000,00 €	Action implemented by EASME. Action cancelled.	ТВС

Several EU Member States have questioned the absence of specific economic impact assessments of proposed changes in mesh sizes contained in the proposal for a Report of the Report of the Proposal for a Report of the	No used in Annex 3		Title	Reason ¹	Scope ²	Type ³	Associated DGs	Costs (EUR)	Comments ⁴	Reference ⁵		
	Annex 3 MP2017		Bio-economic modelling of		Several EU Member States have questioned the absence of specific economic impact assessments of proposed changes in mesh sizes contained in the proposal for a Regulation on the conservation of fishery resources and the protection of marine ecosystems through technical measures. When adopted, this Regulation will permit adaptations to a number of technical measures including gear modifications and adjustments or introduction of closed or restricted areas. Effects of any changes in selectivity (associated with technical adaptations to gears and spatial and temporal area restrictions) must be clearly demonstrable and have a sound scientific basis in terms of their expected biological impact. This study shall consider a number of practical case studies from Union sea basins. Moreover, the study has to take into consideration the results and lessons learned from previous or ongoing work conducted under other national and EU funded projects that aim to enhance technical		ASSUCIATED DOS		Action implemented by EASME. Action cancelled.	Reference		
neason why the evaluation/other study was carried out, prease angli with whitex 5 of the midround symbols used have the following meaning, re-regarded, unit-regarded, REFT/C, CWP - evaluate first, 0 - other (prease specify in Comments)	1 Reason why th	eason why the evaluation/other study was carried out, please align with Annex 3 of the MP 2016. The individual symbols used have the following meaning: L- legal act, LMFF - legal base of MFF instrument, FR - financial regulation, REFIT, REFIT/L, CWP - 'evaluate first', O - other (please specify in Comments)										

For evaluations the references should be 1) number of its Evaluation Staff Working Document and number of the SWD's executive summary; 2) link to the supportive study of the SWD in EU bookshop. For other studies the references should be the link to EU bookshop or other reference where the 'other study' is published via different point.

³FC – fitness check, E – expenditure programme/measure, R – regulatory measure (not recognised as a FC), C – communication activity, I – internal Commission activity, O – other – please specify in the Comments fallows to provide any comments related to the item (in particular changes compared to the planning). When relevant, the reasons for cancelling evaluations/ other studies also needs to be explained in this column.

ANNEX 10: Specific annexes related to "Financial Management"

Follow-up of 2016 EFF reservation

Member State	Quantification (relevant expenditure at risk)	Reasons for Reservation	Actions taken in 2017 and status
Bulgaria	NIL	Reported error rate > 5%	OPEN In-depth review of closure declaration and accompanying final control report, followed by a closure fact finding mission from 21-25/08/2017. Additional information received on 15/03/2018 still incomplete and Member State invited to submit further information.
			Actions to be taken: To analyse the information to be received and to draw final conclusions for the closure
Czech	NIL	Reported error rate >	procedure. OPEN
Republic	· · · · · · · · · · · · · · · · · · ·		In-depth review of closure declaration and accompanying final control report, followed by a closure fact finding mission from 20-22/09/2017. Additional information received on 1/03/2018 still incomplete and Member State invited to submit further information.
			Actions to be taken:
			To analyse the information to be received and to draw final conclusions for the closure procedure.
Italy	NIL	2015 ACR not	OPEN
		submitted in due time (revised version sent 14 March 2017).	Permanent cessation: Analysis of ACR 2015 ongoing, possibly resulting in proposing a financial correction at closure.
		Unfinished audit work. Reported error rate in final control report > 5%	Unfinished audit work: Latest information received from national authorities on 29/03/2018 incomplete and Member State still to submit further information.
			Actions to be taken:
			To analyse the information to be received and to draw conclusions for the closure procedure.

Member State	Quantification (relevant expenditure at risk)	Reasons for Reservation	Actions taken in 2017 and status		
The Netherlands	NIL	Reported error rate > 5%	OPEN In-depth review of closure declaration and accompanying final control report, followed by a closure fact finding mission from 27-29/09/2017. Additional information received from national authorities on 13/03/2018 under analysis.		
			Actions to be taken: To complete the analysis of information received and to draw final conclusions for the closure procedure.		
Poland	NIL	Unfinished audit work.	RESOLVED		
		Reported error rate > 5%	Audit work finished and all necessary financial corrections made by the MS.		
Portugal	NIL	Unfinished audit work.	RESOLVED		
		Reported error rate > 5%	Audit work finished and all necessary financial corrections made by the MS.		
Romania		Unfinished audit work. Reported error rate > 5%	OPEN In-depth review of closure declaration and accompanying final control report, followed by a closure fact finding mission from 21-24/11/2017. Additional information received from national authorities on 12/12/2017 is under analysis.		
			Actions to be taken:		
			To complete the analysis of information received and to draw final conclusions for the closure procedure.		
Slovakia	NIL	Unfinished audit work. Reported error rate > 5%	RESOLVED Audit work finalised and financial corrections at closure proposed.		

Calculation of EMFF relevant expenditure for 2017

TABLE I

	Calculation of EMFF relevant expenditure for 2017											
MS	Payments made in 2017	Pre-financing made in 2017	Interim 2017 payments linked to accounting period 01/07/2016 - 30/06/2017	Interim 2017 payments linked to accounting period 01/07/2017 - 30/06/2018	Total interim payments net of retention	Retention	Interim payments + retention	Deductions made in Feb 2018 on the accounts 1/07/2016 - 30/06/2017	Relevant expenditure			
								(see Table III column 'd')				
	a	b	С	d	e = c + d	f	I = e + f	II	I – II			
AT	514.882	171.861	343.021	0	343.021	38.113	381.134	427	380.707			
BE	3.440.172	1.030.084	2.410.089	0	2.410.089	267.788	2.677.876	2.190.084	487.792			
BG	2.173.044	2.173.044	0	0	0	0	0	0	0			
CY	979.973	979.973	0	0	0	0	0	0	0			
CZ	767.590	767.590	0	0	0	0	0	0	0			
DE	26.284.332	5.418.538	0	20.865.794	20.865.794	2.318.422	23.184.216	0	23.184.216			
DK	31.539.552	5.141.170	26.398.382	0	26.398.382	2.933.154	29.331.535	480.938	28.850.598			
EE	9.307.819	2.491.445	4.403.429	2.412.945	6.816.374	757.375	7.573.749	2.798	7.570.951			
ES	40.080.480	28.662.995	0	11.417.484	11.417.484	1.268.609	12.686.094	0	12.686.094			
FI	7.622.046	1.835.651	5.786.395	0	5.786.395	642.933	6.429.328	1.407	6.427.920			
FR	33.712.732	14.508.411	12.809.780	6.394.541	19.204.321	2.133.813	21.338.135	2.014.362	19.323.773			
GR	9.902.697	9.593.095	0	309.602	309.602	34.400	344.003	0	344.003			
HR	6.233.969	6.233.969	0	0	0	0	0	0	0			
HU	964.701	964.701	0	0	0	0	0	0	0			
IE	20.366.729	3.642.079	0	16.724.650	16.724.650	1.858.294	18.582.944	0	18.582.944			
IT	13.256.954	13.256.954	0	0	0	0	0	0	0			
LT	5.927.980	1.565.190	3.502.506	860.284	4.362.790	484.754	4.847.544	0	4.847.544			
LV	10.686.854	3.450.398	5.102.616	2.133.840	7.236.456	804.051	8.040.507	0	8.040.507			
MT	1.083.746	558.332	257.081	268.333	525.414	58.379	583.793	3.600	580.193			
NL	2.505.086	2.505.086	0	0	0	0	0	0	0			
PL	13.107.840	13.107.840	0	0	0	0	0	0	0			
PT	24.235.340	9.684.579	6.301.730	8.249.031	14.550.761	1.616.751	16.167.512	489.389	15.678.123			
RO	13.940.954	4.155.797	0	9.785.156	9.785.156	1.087.240	10.872.396	0	10.872.396			
SE	3.801.760	2.964.849	233.578	603.333	836.911	92.990	929.901	9.382	920.519			
SI	1.135.750	612.165	0	523.585	523.585	58.176	581.762	0	581.762			
SK	389.495	389.495	0	0	0	0	0	0	0			
UK	28.903.058	5.999.466	5.599.423	17.304.169	22.903.592	2.544.844	25.448.435	190.792	25.257.644			
Total	312.865.535	141.864.757	73.148.028	97.852.749	171.000.777	19.000.086	190.000.863	5.383.179	184.617.684			

TABLE II

Deductions and retention released in 2017 and cleared 2016 pre-financing							
MS	Interim payments made related to the accounting period 1/07/2015 - 30/06/2016	100% claimed	10% retention	Deductions made in May 2017 on the accounting period 01/07/2015 - 30/06/2016	Retention released linked to accounting period 1/07/2015 - 30/06/2016		
	a	b = a / 90%	C = b * 10%	d	e = c - d		
AT	80.368	89.298	8.930	2.521	6.409		
CY	1.422.000	1.580.000	158.000	0	158.000		
EE	927.973	1.031.081	103.108	1.079	102.030		
FI	4.212.531	4.680.590	468.059	154.105	313.954		
LV	2.301.287	2.556.986	255.699	36.670	216.028		
Total	8.944.159	9.937.955	993.796	197.375	796.421		

TABLE III

Provisional calculation of deductions in February 2018 for the accounting year 1/07/2016 - 30/06/2017 and the 2016 annual pre-financings recovered in 2017						
MS	Interim 2016 payments linked to accounting period 01/07/2016 - 30/06/2017	Interim 2017 payments linked to accounting period 01/07/2016 - 30/06/2017	EMFF chargeable declared in the accounts 1/07/2016 - 30/06/2017	Deductions made in Feb 2018 on the accounts 1/07/2016 - 30/06/2017	2016 annual pre- financings recovered in 2017	
	а	b	С	d = c - ((a+b)/90%)	е	
AT	0	343.021	380.707	-427	124.533	
BE	0	2.410.089	487.792	-2.190.084	784.826	
BG	0	0	0	0	1.655.652	
CY	0	0	0	0	588.646	
CZ	0	0	0	0	584.831	
DE	0	0	0	0	4.128.410	
DK	0	26.398.382	28.850.598	-480.938	3.917.082	
EE	828.747	4.403.429	5.810.731	-2.798	1.796.214	
ES	0	0	0	0	21.838.473	
FI	0	5.786.395	6.427.920	-1.407	1.084.637	
FR	0	12.809.780	12.218.727	-2.014.362	11.054.027	
GR	0	0	0	0	7.309.025	
HR	0	0	0	0	4.749.691	
HU	0	0	0	0	735.010	
IE	0	0	0	0	2.774.917	
IT	0	0	0	0	10.100.536	
LT	0	3.502.506	3.891.673	0	1.192.526	
LV	1.851.229	5.102.616	7.726.494	0	2.412.846	
MT	0	257.081	282.046	-3.600	425.396	
NL	0	0	0	0	1.908.637	
PL	0	0	0	0	9.986.926	
PT	0	6.301.730	6.512.532	-489.389	7.378.727	
RO	0	0	0	0	3.166.322	
SE	442.347	233.578	741.645	-9.382	2.258.933	
SI	0	0	0	0	466.411	
SK	0	0	0	0	296.758	
UK	0	5.599.423	6.030.790	-190.792	4.571.021	
Total	3.122.323	73.148.028	79.361.656	-5.383.179	107.291.013	

ANNEX 11: Specific annexes related to "Assessment of the effectiveness of the internal control systems" (not applicable)

ANNEX 12: Performance tables

General objective I: A New Boost for Jobs, Growth and Investment						
Impact indicator: Employment rate population aged 20-64 Source of the data: Eurostat						
Baseline (2014)	Latest known value (2016)	Target (2020) Europe 2020 target				
69.2%	71.1%	At least 75%				
<u>Bookmark</u>						

1. Specific measurement related to growth for fisheries:

Economic growth potential and environmental sustainability measured by the proportion of stocks that are fished at MSY levels²⁴ in the Atlantic and the average rate of fishing compared to MSY levels in the Mediterranean Sea.

This indicator measures the potential for yield (fish catches) derived from the sustainable exploitation of marine biological resources. Fishing at MSY (Maximum Sustainable Yield) means fishing at a rate such that the average long-term catches are the highest that the stock can provide over the long-term. This ensures higher and more stable revenue for fishermen. The fishing mortality rate is the annual catch divided by the annual average biomass of exploitable fish in the sea.

Source of data:

 For the North-East Atlantic and adjacent waters: STECF report "Monitoring the performance of the Common Fisheries Policy", STECF-17-04, Table 3.2.

- For the Mediterranean and Black Seas, within the Working Groups of the STECF and GFCM-SAC:
 - STECF 17-14: Stock assessments in the Black Sea 2017 (EWG 17-11, Ispra, September 2017);
 - STECF 17-15: Stock assessments in the Mediterranean Sea 2017 Part I (EWG 17-09, Barza, September 2017);
 - STECF 18-XX: Stock assessments in the Mediterranean Sea 2017 Part II (EWG 17-15, Barza, September 2017) Report to be endorsed at the STECF spring plenary by March 2018;
 - GFCM Working groups on stock assessment of demersal species and small-pelagic species (Rome, November 2017) Reports to be endorsed at the 20th session of the SAC (Marrakech, June 2018).

In the Mediterranean and Black Seas, the proportion of stocks fished sustainably is not provided because only part of the stocks is assessed every year. The respective catches, in live weight, of the known stocks correspond to a limited part of the total catches (i.e. approx. 495 Kt out of 1.4.Mt total estimated.

Source: STECF, GFCM-SAC, and FAO Capture Production). Instead, the average fishing mortality compared to MSY is presented. The method for assessing Mediterranean stocks is still being developed and these figures are preliminary. An assessment for the Black Sea is not available yet.

Baseline 2013 ²⁵	Interim	Target: by
	milestone	2020 at the latest
Stock status 70% Eggs. 59%	No interim milestones have been set in EU legislation.	Exploitation at MSY rate for all commercially exploited stocks.
50% 52% 52% 52% 50% 44% 44% 40% 40% 40% 40% 40% 40% 40% 4		Target set by Article 2 of Regulation (EU) No 1380/2013 of the European Parliament and of the Council of 11 December 2013 on the CFP.
Northeast Atlantic & adjacent waters: Proportion (%) of stocks fished at MSY rate		
In 2015, 59% of the commercially exploited stocks (with F _{MSY} advice) in the North-East Atlantic and adjacent waters were fished at MSY. 51% of the TACs (volume) in the North-East Atlantic and adjacent waters had a scientific advice on MSY.		
Modelled value of F/FMSY		
2 1.5 1		
0.5 Not Overfished		
2010 2011 2012 2013 2014 Year		
Average fishing mortality compared to MSY values (where=1 for F=FMSY), means that the stock is fished at Fmsy (F=FMSY); where >1 means that the stock is classified as overfished in relation to the CFP Fmsy objective), for stocks in the Mediterranean and Black Seas. Based on Figure 4.3 and Table 4.2 of STECF-17-04, as updated by STECF 54th Plenary Meeting Report.		

Methodology used to assess the situation of fish stocks, and its outcomes: see SWD(2016) 199 accompanying the Communication from the Commission to the European Parliament and the Council – Consultation on the fishing opportunities for 2017 under the Common Fisheries Policy (COM(2016) 396).

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Latest known results (2017)²⁶:

According to the latest available information 39 out of 66 assessed fish stocks in the **North-East Atlantic and adjacent waters** are fished at or below the rate corresponding to MSY²⁷.

In the **Mediterranean and Black Seas** stocks are on average fished between 2 and 3 times the rate corresponding to MSY. In 2017, the number of stocks assessed was 60 and this represents a small proportion of the total number of stocks. The most recent analysis of the stocks where MSY assessments are available shows that only 7 stocks were assessed as being above MSY. New figures from STECF based on the 2017 stock assessments will be available in March 2018.

Performance with respect to these indicators depends on:

- the collection of data by Member States;
- the assessment and formulation of advice by independent scientific committees;
- the use of the advice by the Commission in formulating its proposals for fisheries conservation regulations,
- the acceptance in Council of such proposals, and
- the use of the advice by the Member States in updating their national management frameworks or adopting additional conservation measures (notably in the Mediterranean Sea).

Finally, it depends on compliance of the fisheries industries with the regulations, including provisions concerning an obligation to land all fish that are caught. Member States are responsible for the control and enforcement of the regulations.

The new **data collection framework**, which revises the rules on the collection, management and use of data (biological, environmental, technical and socio-economic) in the fisheries sector, entered into force in 2017, and will improve the evidence-based decision-making at the core of the reformed CFP. The science basis for the policy development and decision making has further improved during 2017. Also, the **EU Fisheries Control System** is subject to an on-going revision.

Data reliability is high as far as the *North-East Atlantic and adjacent waters* are concerned (annual reporting).

For the *Mediterranean and Black Seas*, data reliability is low due to the low coverage of the analysis. The reporting frequency is variable: three Working Groups (2 STECF and 1 GFCM) are carried out each year and provide advice for around 45-50 stocks. Each stock is assessed every 1-2 years (commercially most important stocks) and other stocks every 3-4 years. The following actions are undertaken to improve data reliability:

- Continued promotion of data collection and support for scientific expertise in the Mediterranean;
- Implementing the "Malta MedFish4Ever Declaration" actions with respect to unity of scientific advice and coverage of key stocks with adequate data collection and scientific assessment;
- Work with GFCM in implementing the "Malta MedFish4Ever Declaration" and the "GFCM 2017-2020 Strategy" actions on enhanced data and scientific evaluation, including access to scientific data to allow reproduction of assessments;
- Work with FAO in improving sharing of information from FAO regional scientific projects;
- Work with GFCM, FAO, STECF to coordinate task sharing in stock assessment work and avoid unnecessary duplication.

See previous footnote, and the EMFF Programme statement for the draft budget 2019.

²⁷ Communication from the Commission on the State of Play of the Common Fisheries Policy and Consultation on the Fishing Opportunities for 2018: COM(2017) 368 final and SWD(2017) 256 final.

Completed evaluations:

• Retrospective evaluation of the Mediterranean Regulation (2016/MARE/072): the notification of the Staff Working Document to the College is planned for the 2nd quarter 2018 (instead of 2017) because this initiative is linked to the ongoing negotiations in the European Parliament and the Council on the Technical Measures proposal.

Main outputs in 2017:

Policy-related outputs

(*) the outputs listed further down were adapted to management discussions, in particular on proposals for multiannual plans and discard plans.

Description Description	Indicator	Target date	Latest known results
Description	maicator	rarget date	(situation on
			31/12/2017)
Implementation of a	Effective	01/11/2017	Commission
harmonized message standard	installation and		Implementing
(FLUX) based on the United	use of the		Decision
Nations Centre for Trade	updated		amending
Facilitation and Electronic	electronic		Implementing
Business (UN/CEFACT) standard	reporting		Decision (EU)
allowing automating the	system by the		2016/1138 as regards
collection and dissemination of	Member States		certain deadlines for
the fishery catch and sales data	as foreseen by		the use of UN/Cefact
needed for sustainable fishery	Commission		standards in the
management and for detecting	Implementing		exchange of
and combatting illegal,	Decision (EU)		information on
unreported and unregulated	2016/1138.		fisheries
(IUU) fishing.	2010/1130.		(C(2017)8089 of
(100) Harring.			06/12/2017)
Fishing opportunities for	Adoption by the		, ,
2018:	Commission		
Communication from the		Q2 2017	COM(2017) 368 and
Commission to the EP and		-	SWD(2017) 256 of
Council on Fishing			05/07/2017
Opportunities, the state of the			, ,
EU fleet and on the			
implementation of the Landing			
Obligation (2017/MARE/005)			
Proposal for a technical		July 2017	COM(2017) 424 of
amendment to Regulation (EU)		ĺ	11/08/2017
N° 1380/2013 on the CFP			, ,
(PLAN/2017/1426)			Regulation (EU) No
			2017/2092 of
			15/11/2017
Commission Implementing		2017	C(2017) 6335 of
Regulation repealing Regulation			26/09/2017
(EU) No 1013/2010 on fishing			, , , ,
levels under the previous CFP			
(PLAN/2017/1067)			
Proposal for a Council		September	COM(2017) 461 of
Regulation on fishing		2017	29/08/2017
opportunities in the Baltic Sea			
for 2018 (2017/MARE/019)			
	17 annoyos final	Pago 74 /	f 100

Proposal for a Regulation of the EP and Council amending Regulation (EU) 2016/1139 as regards fishing mortality ranges and safeguard levels for certain herring stocks in the Baltic Sea. Proposal for a Council Regulation fixing the fishing opportunities in Union waters		November 2017	COM(2017) 774 of 18/12/2017 COM(2017) 645 of 07/11/2017
and, for Union fishing vessels, in certain non-Union waters, for 2018 (2017/MARE/008) Proposal for a Council Regulation fixing for 2018 the fishing opportunities for certain fish stocks in the Black Sea. (2017/MARE/029)		December 2017	COM(2017) 672 of 21/11/2017
Proposals for multiannual	Adoption by the		
plans for:	Commission		
Adriatic small pelagic fisheries (2016/MARE/001)		Q1 2017	COM(2017) 97 and COD(2017) 43 of 24/02/2017
 demersal stocks and their fisheries in western EU waters (2016/MARE/004 merged with item 2016/MARE/005 that has been cancelled) 		Q2 2017	Q1 2018
- small pelagic and industrial fish species in the North Sea (2017/MARE/020)		Q3 2017	Cancelled
demersal species in the Western Mediterranean (2016/MARE/021)		Q4 2017	Q1 2018
Amendment to the multiannual	Adoption by the		COM(2017) 774 of
plan for stocks in the Baltic Sea.	Commission		18/12/2017
Commission Delegated Regulations establishing discard plans for:	Adoption by the Commission		
 deep-sea stocks in the North Western Waters of the Atlantic (PLAN/2016/77) 		Q3 2017	Cancelled
 certain demersal fisheries in South Western Waters of the Atlantic (PLAN/2016/78) 		Q3 2017	C(2017) 4505 of 05/07/2017
 demersal fisheries in the North Sea (2017/MARE/013) 		October 2017	C(2017) 6997 of 20/10/2017
small pelagics in the North Sea (2017/MARE/014)		October 2017	C(2017) 3419 of 24/05/2017

		T	T = (= = : = : = : = : = : = : = : = : =
– demersal fisheries in the		September	C(2017) 6981 of
Mediterranean		2017	23/10/2017
(PLAN/2017/1493)			
– demersal fisheries in the		September	Q4 2018
Black Sea		2017	
(PLAN/2017/2182)			
demersal fisheries in North-			C(2017) 6990 of
Western waters (2018)			20/10/2017
(PLAN/2017/1502)			20/10/2017
- demersal fisheries in South-			C(2017) 600E of
			C(2017) 6995 of
Western waters (2018)			20/10/2017
(PLAN/2017/1503)			
 pelagic fisheries in South- 			C(2017) 7679 of
Western waters (2018)			21/11/2017
(PLAN/2017/1504)			
 pelagic fisheries in North- 			C(2017)7678 of
Western waters (2018)			24/11/2017
(PLAN/2017/1505)			21,11,201,
North Sea pelagic discard	-		C(2017) 7695 of
, -			
plan (2018)			23/11/2017
(PLAN/2017/1506)		ļ 	
 Salmon in the Baltic Sea. 			C(2017) 7672 of
			21/11/2017
Commission Delegated	Adoption by the		C(2017) 7672 of
Regulation on exemptions from	Commission		21/11/2017
the landing obligation in the			
Baltic Sea (2017/MARE/017)			
De minimis exemption to the	Adoption by the		C(2017) 6982 of
landing obligation for certain	Commission		23/10/2017
small pelagic fisheries in the	Commission		25/10/2017
Mediterranean Sea			
(PLAN/2017/1485)			
Commission Delegated	Adoption by the		C(2017)8521 of
Regulation laying down	Commission		18/12/2017
specifications for the			
implementation of the landing			
obligation as regards cod and			
plaice in Baltic Sea fisheries.			
Commission Implementing	Adoption by the	Q1 2017	C(2017) 3145 of
Regulation amending Regulation	Commission	Q1 201/	17/05/2017
	CUITITIISSIUII		1//03/201/
(EC) No 889/2008 as regards			
feed for certain organic			
aquaculture animals			
(PLAN/2016/172)			
Annual report on Member	Adoption by the	Q2 2017	Cancelled (the 'EU
States' efforts in 2015 to	Commission		fleet report 2015' has
balance fishing capacity and			been integrated into
fishing opportunities			the Commission
(2017/MARE/006)			Communication on a
(2027) 11 11 (12) 000)			consultation on fishing
			consultation on fishing

			opportunities for 2018)
Fisheries conservation measures for the protection of the marine environment in the: – Baltic Sea (2017/MARE/015) – North Sea (PLAN/2016/407)	Adoption by the Commission		C(2017) 1249 of 02/03/2017 C(2017) 1162 of
Fisheries management measures in the Belgian part of the North Sea	Adoption by the Commission	Q4 2017	24/02/2017 Q1 2018
(PLAN/2017/1031) Commission Delegated Regulation on the implementation of the Union's international obligations under the ICCAT regarding	Adoption by the Commission		C(2017)7875 of 30/11/2017
Mediterranean swordfish (PLAN/2017/1672) Proposal on a Union framework for the collection ,	Adoption by EP and Council	Q1-Q2 2017	Regulation (EU) 2017/1004 of the EP
management and use of data in the fisheries sector and support for scientific advice regarding the CFP (recast) (COM(2015) 294 final).			and Council of 17/05/2017
Proposal for a Regulation of EP and Council on technical measures for the protection of marine organisms (COM(2016) 134).	Negotiations in EP and Council	2017	May 2017: Council General Affairs November 2017: EP PECH vote.
Proposal for a Regulation of EP	End of	Q4 2017	Finalisation planned for 2018. COM(2017) 633 final
and Council on the sustainable management of external fishing fleets, repealing Council Regulation (EC) No 1006/2008 ("Fishing Authorisations Regulation", COM(2015) 636).	negotiations in EP and Council		and 2015/0289 (COD) of 25/10/2017 (Commission Communication - Article 294(6) of TFEU).
			Regulation (EU) 2017/2403 of EP and Council of 12 December 2017 on the sustainable management of external fishing fleets,

and repealing Council
Regulation (EC) No
1006/2008.

2. Specific measurement of Jobs for Fisheries:

Employment created and maintained with support from the European Maritime and Fisheries Fund (EMFF).

This indicator measures the direct effects of the EMFF on employment. It does not measure changes in employment due to external factors (e.g. job losses due to the 2008 fuel crisis or the 2012 economic crisis).

Source of data:

Annual Economic Reports (AER), STECF

 Member States' EMFF Annual Implementation Reports (AIRs). 					
Baseline 2012-2013	Interim milestone 2017 ²⁸	Target 2023 ²⁹	Latest known results (2017) ³⁰ Source: AIRs 2016 (*)		
Fisheries: 110.096 in Full Time Equivalent (FTE). Source: 2013, AER fishing fleet.	• 0 FTE created.	• 4.083 jobs created in FTE (jobs created represent 4% of the baseline employment).	• 469 FTE created.		
	• 35.910 FTE maintained.	• 35.910 FTE jobs maintained.	• 4.075 FTE maintained.		
Aquaculture: 34.400 FTE. Source: 2012, AER aquaculture (freshwater aquaculture is not included).	• 310 FTE created.	• 1.546 jobs created in FTE (jobs created represent 4% of the baseline employment).	• 0 FTE created		
meradea).	• 22.462 FTE maintained.	• 22.462 FTE jobs maintained.	• 542 FTE maintained.		
Coastal communities: 140.000 FTE. Source: no data requested in context indicators. 100% of jobs in fisheries are in coastal areas.	• 890 FTE created.	 4.624 jobs created in FTE due to Community-led Local Development. 	266 FTE created		
90% of jobs in aquaculture are in coastal Member States and at least 95% of jobs are in coastal areas.	• 6.000 FTE maintained.	• 6.000 FTE jobs maintained.	• 234 FTE maintained		

Data source: Member States' Annual Implementation Reports.

Article 65(2) of the Common Provisions Regulation (EU) No 1303/2013: Expenditure shall be eligible for a contribution from the ESI Funds if it has been incurred by a beneficiary and paid between the date of submission of the programme to the Commission or from 1 January 2014, whichever is earlier, and 31 December 2023.

See also the EMFF Programme statement for the draft budget 2019.

- (*) The discrepancy between the latest known results at the end of 2017 and the interim milestone 2017 and the target for 2023 can be explained as follows: The slow EMFF implementation was essentially due to the late approval of the legislative framework, the overlap with the previous programming period (EFF), the difficulties to adapt to new rules and administrative requirements and the delay in designating Managing Authorities in some Member States. Most Member States' administrations had to cope with the closure of the EFF at the same time as starting up the EMFF. Also, recent data on EMFF implementation from the Member States through the Annual Implementation Reports and Infosys are not fully available yet.
- (*) Data reliability is medium. The values are based on estimates made by beneficiaries when applying for funding. These estimates will need to be validated by the relevant Managing Authorities after completion of the operations.

The yearly reporting is done at operation level under Article 97.1 of the EMFF Regulation. The data is transmitted each year at the end of March to the Commission via SFC 2014, validated and stored in a central database. It covers the situation at the end of year n-1. Aggregated reporting takes place at the end of May each year in the framework of the Member States' Annual Implementation Report. New data will therefore be available at the end of May 2018 (reports 2017).

Completed evaluations:

- Ex-post evaluation on the European Fisheries Fund³¹ (2016/MARE/020): the Staff Working Document was notified to the College on 13/07/2017 (SWD(2017) 274 and 276);
- Interim evaluation of the direct management under the European Maritime and Fisheries Fund (2017/MARE/018): the notification of the Staff Working Document to the College is planned for the 3rd quarter 2018 (instead of the 4th quarter 2017).

Main outputs in 2017:

Policy-related outputs			
Description	Indicator	Target date	Latest known results (situation on 31/12/2017)
EFF Closure.	Submission by Member States of their closure document. Examination and financial closure by the Commission.	2017	EFF closure is ongoing. The EFF operational programme of 2 Member States (AT and MT) has been closed and a third (CY) is in the pipeline. DG MARE established a clear, comprehensive closure procedure and (as confirmed by the IAS) met all its legal deadlines in analysing the closure material that Member States submitted.
Designation of authorities responsible for EMFF implementation.	Completion by the Member States	2017	As of 09/01/2018, 3 Member States (PL, IT, HU) are still to designate their Certifying and Managing Authorities.
Annual accounts for MS with	Completion by the	2017	2017

³¹https://publications.europa.eu/en/publication-detail/-/publication/f0ab224d-f34c-11e6-8a35-01aa75ed71a1

	Maralan Chahan	<u> </u>	
payment claims for 01.07.2015-30.06.2016.	Member States. Examination and acceptance by the Commission.		
2017 EMFF Annual Implementation Reports (AIR) as per CPR Art. 50(2) (including Financial Instruments, Ex-ante conditionalities, etc.).	Submission by the Member States. Analysis and approval of AIR and assessment of the fulfilment of actions plans for EMFF EACs by the Commission.	2017	2017
Commission Implementing Decision(s) on revised EMFF operational programme submitted by (some) Member States.	Adoption by the Commission	2017	DE: C(2017) 474 of 26/01/2017 FR: C(2017) 1161 of 17/02/2017 EL: C(2017) 3408 of 23/05/2017 PT: C(2017) 4576 of 28/06/2017 LV: C(2017) 5721 of 11/08/2017 SI: - FIFG: C(2017) 6249 of 21/09/2017 - EMFF: C(2017) 6542 of 10/10/2017 MT: C(2017) 6543 of 10/10/2017 AT: C(2017) 7537 of 09/11/2017
Progress report on ESIF.	Completion by the MS	31/08/ 2017	COM(2017) 755 of 13/12/2017
Contribution to the Strategic Report summarising the ESIF progress reports of the MS (Art 53(2) CPR).	Transmission to EP, Council, CoR, EESC, and debate	2017	SWD(2017) 452 of 13/12/2017
Contribution to the Annual Summary Report of MS AIRs (including financial instruments) (Art. 53(1) CPR).	Transmission to EP and Council	2017	Completed: as per Art. 53(1) of the CPR, this is part of the Strategic Report.
Commission Report on the implementation of the Common Monitoring and Evaluation System (CMES) of the EMFF (PLAN/2017/695)	Transmission to EP and Council	2017	COM(2018) 48 of 30/01/2018
Impact assessment on post- 2020 EU support to the implementation of the CFP and IMP.	Completion by the Commission	2017	Q1 2018

Stakeholder consultations on post-2020 EU support to the implementation of the CFP and IMP.	Completion by the Commission	2017	Tallin Conference organised on 12-13 October 2017, on the EMFF both now and beyond 2020.
Main expenditure outputs			
Description	Indicator	Target	Latest known results
		date	(situation on 31/12/2017)

3. Specific measurement of Growth for Fisheries: Profitability of the EU fishing fleet.

The net profit margin (calculated as the ratio of net profit and revenues) gives an indication of the relative profitability of the fishing fleet. It reflects the short-term economic sustainability of the fishing enterprises and is an indicator of the success of the CFP in balancing fleet capacity and resources productivity.

Source of data: DCF (Data Collection Framework) data obtained from the 2015 Annual Economic Report on the EU Fishing Fleet (STECF 15-07)³².

·	- · · · · ·		
Baseline 2013	Interim milestone 2017	Target 2023 ³³	Latest known results (2017) (*)
Net profit margin of the EU fishing fleet: average 8%.	Net profit margin of the EU fishing fleet: average 9%.	Net profit margin of the EU fishing fleet: average 10%.	Net profit margin of the EU fishing fleet: • Average exceeded 11% in 2015 (+3
Source: 2015, Annual Economic Report of the EU fleet (based on data obtained from the latest DCF fleet economic data call).	Target set by DG MARE based on long-term economic projections in the impact assessment of the new basic regulation on the	Target set by DG MARE: idem as for interim milestone 2017.	percentage points compared to 2013). • It is expected to get to 18% in 2016. 35
ŕ	CFP (SEC(2011) 891, SEC(2011)892) ³⁴ .		Source: 2017 Annual Economic Report on the EU Fishing Fleet

https://stecf.jrc.ec.europa.eu/documents/43805/1034590/2015-07 STECF+15-07+-+AER+2015 JRC97371.pdf

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Article 65(2) of the Common Provisions Regulation (EU) No 1303/2013: Expenditure shall be eligible for a contribution from the ESI Funds if it has been incurred by a beneficiary and paid between the date of submission of the programme to the Commission or from 1 January 2014, whichever is earlier, and 31 December 2023.

http://ec.europa.eu/smart-regulation/impact/ia carried out/cia 2011 en.htm#mare

The targets for 2017 and 2023 assume that fuel prices and other costs as well as the fish prices do not significantly depart from the assumptions made in the impact assessment. Results are provided aggregated at EU level and estimated as an average of a representative sample of different fleet segments and fishing regions. Achieving an average net profit margin of 10% for this sample by 2023 would ensure that the EU fleet would, on the whole, be economically sustainable and operate with a healthy profitability.

Factors such as economic growth, recovery of fish stocks, changing fuel prices, market impacts, adaptations within the sector, natural fluctuations of the stocks, fisheries management systems in place such as user rights and access to fishing grounds will be the most important elements in determining the profitability of the EU fishing fleet.

³⁵ See also the EMFF Programme statement for the draft budget 2019.

(STECF 17-12, EWG 17-06)³⁶.

(*) Data reliability is medium. The indicator is based on scientific data formally submitted by the Member States in the context of the Data Collection Framework, which is analysed by the independent experts of the STECF in the Annual Economic Report of the EU fishing fleets. The datasets are subject to data pre-validation by Member States, validation and quality checks by the Joint Research Centre and experts' peer review by the independent experts of the STECF (Scientific, Technical and Economic Committee for Fisheries). This process enhances the reliability of these datasets and the related indicator on net profit margin.

Updated data is available annually once the Annual Economic Report of the EU fleets is reviewed and endorsed by the STECF. This endorsement normally takes place in the July STECF plenary meeting.

A number of actions are being undertaken to improve the reliability of the economic estimates. These include a specific meeting of STECF to improve the economic data quality to take place in July and the possibility of establishing a mandatory quality reporting mechanism by which all Member States should provide information on the data quality issues and actions to remedy such issues.

Main outputs in 2017:

Policy-related outputs

Description	Indicator	Target date	Latest known results (situation on 31/12/2017)
Annual reports on the balance between fleet capacity and fishing opportunities.	Completion by the MS	31/05/2017 (Art. 22(2) of CFP Regulation (EU) No 1380/2013)	COM(2017) 368 and SWD(2017) 256 of 05/07/2017
2017 Annual Economic Report on the EU Fishing Fleet, STECF 17-12.	Publication of the report	July 2017	Published in July 2017 ³⁷
2017 Annual Economic Report on the EU fish processing sector.	Publication of the report	2017	Q1 2018
Commission Implementing Regulation on the Union fishing fleet register.	Adoption by the Commission		C(2017) 504 of 06/02/2017
Communication from the Commission to the EP and Council on Fishing Opportunities, the state of the EU fleet and on the implementation of the Landing Obligation (2017/MARE/005)	Adoption by the Commission	Q2 2017	COM(2017) 368 and SWD(2017) 256 of 05/07/2017

https://stecf.irc.ec.europa.eu/documents/43805/1820920/STECF+17-12+-+AER.pdf

https://stecf.jrc.ec.europa.eu/documents/43805/1820920/STECF+17-12+-+AER.pdf

General objective II: A Resilient Energy Union with a Forward-Looking Climate Change Policy

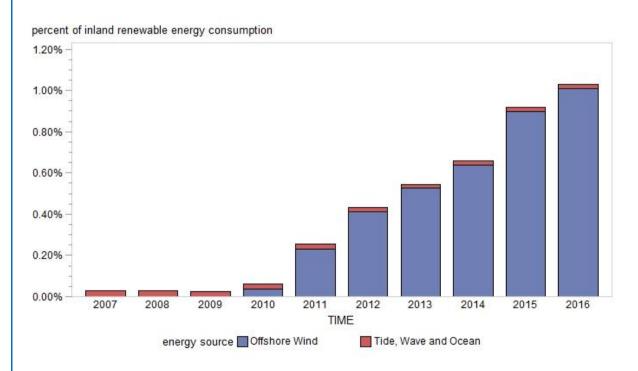
]	Impact indicator: Share of	renewable energy	in gro	oss final	energy	consumption
4						

Source	of th	e data:	Eurostat
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Source of the data: Ediostat					
Baseline	Interim milestone		Latest known	Target	
(2013)	(2015/2016)	(2017/2018)	value (2015)	(2020)	
				Europe 2020	
				target	
15%	13.6%	15.9%	16.7%	20%	
<u>Bookmark</u>	•				

4. Specific measurement for Energy Union: Share of ocean energy and offshore wind energy in the overall EU renewable energy mix.

Steadier winds and lower disturbance than on land as well as falling costs are driving an increase in the **proportion of offshore wind in the total amount of renewable energy consumption in the EU**. A figure that is itself rising by approximately 6% a year. Towards the end of the decade it is feasible for power from tidal lagoons to enter the mix with prospects for tidal stream and wave power contributing in the following decade. DG MARE's initiatives contribute to ensure that the growth does not falter. This not only contributes to the EU's greenhouse gas emission reduction targets but creates jobs. The sector supports about 75,000 jobs – a total that has been growing at 30% a year (see 'Source of data' below).



Source of data: Eurostat Supply, transformation and consumption of renewable energies - annual data [nrg_107a] updated 27 April 2015, extracted 14 December 2015.

The share of offshore in the total consumption of wind energy was estimated from the average proportion of total installed capacity in the year. These data were obtained from the European Wind Energy Association.

Baseli ne 2013	Interim milesto ne 2017	Target 2020
0.54%	0.72%	1.03% The target assumes a continuing rise in renewable energy consumption of 6%, achieving the European Wind Energy Association's 'medium growth scenario' estimate of 23.5GW of installed capacity of offshore wind by 2020 and at least one tidal lagoon in addition to the tidal barrage at La Rance providing power to the grid.

Latest known results 2017:

The Ocean Energy Forum delivered in November 2016 the Strategic Roadmap 'Building ocean energy for Europe"³⁸.

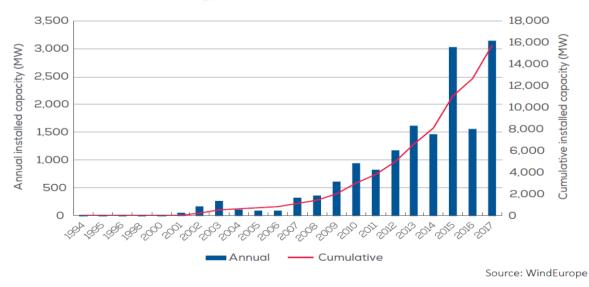
In 2017, the **ocean energy sector** showed encouraging signs for its development with first plants connected to the grid. By 2020, the pipeline of announced European projects could reach 600 MW of tidal stream and 65 MW of wave energy **capacity**.

By 2017, there were 15,78 GW of installed **offshore wind capacity**, an increase of 25% in one year. 2017 saw a record 3,15 GW additional net installed and grid-connected. 2017 also saw the installation of the first floating wind farm. It is estimated that 80% of the EU's wind resource are in waters too deep for traditional fixed turbines. Floating turbines could extend the deployment to deeper waters such as those off the Iberian Atlantic coast or the Mediterranean.

Investments in the offshore wind sector are expected to reach EUR 9 billion in 2018. By 2020, offshore wind is projected to grow to a total installed capacity of 25 GW.

Installed offshore wind energy capacity (cumulative and annual):

Cumulative and annual offshore wind energy installation



Main outputs in 2017: see hereafter under General Objective II – Specific objective 2 – Result indicators 1a and 1b.

https://ec.europa.eu/maritimeaffairs/content/commissioner-vella-welcomes-strategic-roadmap-oceanenergy-eu_de

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General objective III: Towards a New Policy on Migration				
Impact indicator: Rate of return of irregular migrants Explanation: The indicator measures the % of effective returns to third countries (returns to third countries divided by return decisions issued by the Member States)				
Baseline (2014)	Latest known value (2016)	Target (2020)		
36.2%	46.3%	Increase		
Bookmark 1: Return decisions				
Bookmark 3:	Returns to th	ird countries		

5. Specific measurement for Maritime security: Closing the information gap³⁹ across borders and sectors to improve maritime surveillance.

The Common Information Sharing Environment for the EU maritime domain (**Maritime CISE**) is one of the strands of the European Maritime Security Strategy Action Plan. The goal is to improve the awareness picture of relevant authorities by closing the information sharing 'gap' involving maritime safety, security, environment and migration, currently estimated at \sim 70%. Progress will be measured by the extent to which this gap is reduced over time.

Source of data: information from the Member State Expert sub Group (MSEsG)⁴⁰.

Baseline 2013	Interim milestone 2018	Target 2020	Latest known results (2017)
The baseline consists of the 70% information sharing 'gap' identified by maritime surveillance experts (only 30% of relevant existing surveillance information is shared between authorities across sectors and borders).	The identified baseline gap is reduced by ~15% meaning that ~40% of relevant surveillance information is shared.	The identified baseline gap is reduced by ~40% meaning that ~60% of relevant surveillance information is shared. Target set by DG MARE in the Impact Assessment accompanying the CISE Communication.	Quantifiable results are expected at the end of 2018 ⁴¹ . (*)

(*) The objective of the EUCISE2020 project is to refine, implement and test the technical interoperability solutions of CISE at a large scale. It will provide a good indication on the solidity of these solutions, the range and type of data exchange as well as the number of Member States' authorities willing to participate in the real data sharing. The authorities involved in EUCISE2020 are expected to continue their cooperation after the end of the project at mid-2018 in order to consolidate the interoperability solutions, and this can be supported by the EU agency EMSA. Work has been undertaken with the other DGs to identify an implementation approach for CISE and an initial agreement was already presented to the Member States in December 2017. It implies promoting three layers (groups) of information exchange and relevant interoperability, i.e. between EU systems, between EU and Member States' systems, and between Member States' systems across

See also the EMFF Programme statement for the draft budget 2019.

 $^{^{39}}$ The information gap analysis was carried out by the expert group in charge of the CISE project. It identified the unsatisfied cross-sectoral demand (gap) for \sim 500 generic maritime surveillance data elements. Depending on the sectors, the gap revealed to range between 40% and 90% of total information necessary for relevant sectors.

⁴⁰ https://webgate.ec.europa.eu/maritimeforum/

sectors and borders, the last one ensuring the framework for CISE implementation.

The EMFF IT Interoperability call (2016-2017) allowed for 3 additional grants agreements to be signed. The projects aim to improve Member States' interoperability across sectors at national level and across borders, implementing CISE information services based on the EUCISE2020 tested solutions. The projects will provide relevant inputs on the range and type of data exchange, the uptake of CISE technical solutions, the number of authorities willing to continue the cooperation and on added value information services.

Work with a consultant has been conducted to identify best practices and lessons learned from other similar large scale initiatives developed in non-EEA countries or regions, e.g. the US and Asia in order to consolidate CISE interoperability solutions and contribute to their future implementation. The final results will be delivered in the first trimester of 2018.

In combination with CISE, enhanced EU inter-agency cooperation on Coast Guard Functions will improve information exchange between relevant surveillance authorities/agencies to ensure full interoperability between different information flows and enabling services, thereby avoiding duplication of efforts and means.

A qualitative assessment of data exchange will only be available as from the end of 2018, when a measurement can be progressively performed with the authorities involved in real data sharing.

data sharing.				
Main outputs in 2017:				
Policy-related outputs				
Description	Indicator	Target date	Latest known results (situation on 31/12/2017)	
Joint Staff Working Document - Second report from the Commission and the EEAS on the implementation of the EU Maritime Security Strategy (PLAN/2017/1082)	Notification to the College		SWD(2017)238/2 final of 16/06/2017	
European Coast Guard Functions Forum (ECGFF).	Number of participating countries	End 2017	Enhanced coordination with the European Fisheries Control Agency, the European Maritime Safety Agency and Frontex.	
Mediterranean Coast Guard Functions Forum (MCGFF).	Number of participating countries	End 2017	Development of cooperation on security and antipollution among Mediterranean Coast Guard authorities. Coordination with sea basin policies (e.g. WestMED).	
Triggering agreement	Overview and	2017	Quantifiable results	

between national authorities on CISE enabled information services to contribute to closing the information gap identified in 2012.	number of committed stakeholders.		are expected at the end of 2018.
Main expenditure outputs			
Description	Indicator	Target date	Latest known results (situation on 31/12/2017)
Grants to support improvement of national interoperability and implementation of CISE enabled services in line with CISE objectives and solutions.	Number of Member States and authorities participating in projects.	Grant allocation in 2017. Duration of projects: 2 years.	Grant allocation in 2 nd semester 2017.

General objective IV: A Stronger Global Actor

Impact indicator: Sustainable Development Goal 1.1.1: Proportion of population below

international poverty line

Source of the data: World Bank (poverty rate); UN Population Division (population

weights)

Baseline	Interim	Latest known	Target
(Computed on country	milestone	value	(2030)
level data from 2012 or		(Computed on	UN Sustainable
before, drawing on		country level data	Development Goals
World Bank data for the		from 2016 or	
poverty rates, and UN		before, drawing on	
Population Division data		World Bank data	
for the weights;		for the poverty	
extracted in November		rates, and UN	
2017 to take into		Population Division	
account data revisions)		data for the	
		weights; extracted	
		in November	
		2017)	
17.0% (including the	Rolling	15.1% (including	0%
graduated countries -	On course for	the graduated	
Partnership countries for	2030 based on	countries -	
which bilateral assistance	annual progress	Partnership	
is phased out).	report prepared	countries for which	
	by UN Secretary	bilateral assistance	
28.4% (excluding the	General.	is phased out)	
graduated countries)		26.7% (excluding	
For the calculation of the		the graduated	
baseline, beneficiary		countries)	
countries under the Development			
Cooperation Instrument			
and European			
Development Fund have			

been taken into account.		
Beneficiaries under the		
European Neighbourhood		
Instrument and EU-		
Greenland Partnership		
Instrument have been		
excluded.		

6. Specific measurement for Stronger Global Actor in fisheries:

Improvement in global fisheries governance, measured by the sustainable management of emblematic tuna and tuna-like species as per relevant scientific advice.

This indicator measures to what extent some highly significant tuna and tuna-like species (Bigeye tuna, Bluefin tuna, Skipjack tuna, Yellowfin tuna, Pacific Bluefin tuna and swordfish) are fished at sustainable levels (Fcurr/Fmsy ≤ 1) in relevant geographical areas (Atlantic Ocean, Indian Ocean and Pacific Ocean). This advice is a direct result of EU action in the relevant RFMO⁴² for a number of years.

Source of data: Annual stock situation in scientific reports of RFMOs concerned.

Baseline 2013	Interim milestone 2017	Target 2020	Latest known results (2017)
14 out of 19 selected stocks are at sustainable levels.	15 stocks	19 stocks Target set by DG MARE.	16 out of the world's 18 (*) emblematic tuna stocks were at sustainable levels according to the relevant scientific advice. This means we have reached our intermediate target of bringing 15 stocks within safe limits by end 2017. The following 2 stocks still suffer from overfishing: Bigeye tuna in the Atlantic Ocean Yellowfin tuna in the Indian Ocean. (*) The DG MARE Strategic Plan 2016- 2020 refers to a total of 19 stocks. DG MARE has decided to remove swordfish which has been treated as one stock, but in reality should be looked at differently according to the oceans concerned.

⁴² RFMOs which manage highly-migratory species, mainly tuna: http://iotc.org/, http://iotc.org/, <a href="http://iot

7. Specific measurement for Stronger Global Actor, Fisheries:

Fighting IUU fishing globally measured by the number of third countries that the Commission has engaged in a dialogue with and the number of countries having addressed their deficiencies.

This indicator measures the number of third countries with whom the EU has conducted a formal dialogue and the number of countries that have implemented successfully an action plan addressing identified deficiencies.

The externalities affecting this indicator relate to the constraints linked to any international activity, and in this particular case, the domestic political situation of the concerned countries and their administrative capacities also influence their ability to reform. Achieving the target will also depend on the third countries' willingness to take the necessary steps in their action plan.

Source of data: Commission, DG MARE.

Source of data. Commission, Do MARL.					
Baseline 2012-	Interim milestones		Target 2020	Latest known	
2014	2016	2018	(set by DG MARE)	results (2017) (*)	
Number of countries that the Commission has conducted an IUU dialogue with: 45	55 (cumulative figure)	65 (cumulative figure)	70 (cumulative figure)	60 (cumulative figure)	
Number of countries having significant IUU deficiencies: 17	Number of <i>new</i> countries having significant IUU deficiencies: 5	Number of <i>new</i> countries having significant IUU deficiencies: 5	Number of <i>new</i> countries having significant IUU deficiencies: 2	Number of new countries having significant IUU deficiencies: 6 in 2015-2016; 2 in 2017.	
Number of countries that have successfully implemented an action plan: 4	8 (2015-2016)	8 (2017-2018)	All countries for which an action plan has been proposed.	Number of countries having successfully implemented the action plan: 6 in 2015-2016; 2 in 2017.	

^(*) On 1 January 2018, in total 9 countries were notified of the possibility of being identified as non-cooperating third countries in the fight against IUU fishing ("yellow card"), of which 2 countries were notified in 2017. 3 countries were identified as non-cooperating ("red card"), of which 2 in 2017.

Main outputs in 2017:

Policy-related outputs

Description	Indicator	Target date	Latest known results (situation on 31/12/2017)
Implementation of a prototype	Catch data	1 July	In the NEAFC RFMO,
for the electronic exchange of	reporting to	2017	DG MARE demonstrated
fishery data with NEAFC based	NEAFC in the		successfully that the
on the United Nations Centre for	FLUX format		FLUX standard can be
Trade Facilitation and Electronic			used for data

Business (UN/CEFACT) standard.		I	ovehanges between
busiliess (UN/CEFACT) stalldard.			exchanges between parties in the NEAFC
			area.
Commission Implementing Decision amending Commission Implementing Decision (EU) 2016/1138 as regards certain deadlines for the use of UN/Cefact standards in the exchange of information on fisheries.	Adoption by the Commission	2017	C(2017) 457 of 02/02/2017
Commission Decisions on pre- identification of a third country as a non-cooperating third country in fighting IUU fishing: – Liberia (2016/MARE/027) – Viêt Nam (2016/MARE/028)	Adoption by the Commission	2017	 Liberia: C(2017) 3174 of 23/05/2017 Viêt Nam: C(2017) 6941 of 23/10/2017
Revocations of pre-identifications (documentation terminating the démarches vis-à-vis third countries in fighting IUU fishing).	Adoption by the Commission	2017	 Curaçao: C(2017) 1043 of 22/02/2017 Solomon Islands: C(2017) 1045 of 22/02/2017
Commission Decisions on identification of a third country as a non-cooperating third country in fighting IUU fishing: - Saint Vincent and the Grenadines (2016/MARE/014 and 2016/MARE/036) - Comoros (2016/MARE/037 and 2016/MARE/039)	Adoption by the Commission	2017	 Saint Vincent and the Grenadines: COM(2017) 243 and C(2017) 3204 of 23/05/2017 Comoros: C(2017) 3183 and COM(2017) 241 of 23/05/2017
Revocations of identifications	Adoption by the Commission	2017	 Sri Lanka: C(2017) 7042 of 25/10/2017 Guinea: C(2017) 7262 of 07/11/2017 Belize: C(2017) 7266 of 07/11/2017
Commission Implementing Regulation amending Regulation (EU) No 468/2010 establishing the EU list of vessels engaged in IUU fishing (PLAN/2017/1529)	Adoption by the Commission	Q3 2017	C(2017) 7700 of 22/11/2017

Specific objective 1: More sustainable and competitive fisheries and aquaculture by 2020 Related to spending programme(s)

☑ Programme-based: EMFF☑ Non programme-based

Result indicator 1: Volume and value of aquaculture production in the EU.

This indicator measures the volume and value of EU aquaculture production. It provides an indication of the **economic performance** of the sector. Increases in volume and value will contribute to the CFP objectives (by reducing pressure on wild stocks) and to the Blue Growth strategy (by securing jobs and growth in coastal and rural areas). This is one of the common indicators in the Member States' EMFF operational programmes.

Source of data: Eurostat data; DCF data⁴³; The 2014 Annual Economic Report on the EU Aquaculture, STECF⁴⁴, Publications Office of the EU, Luxembourg.

	Aquaculture, STECI , Fublications Office of the Eo, Euxembourg.				
Baseline 2013	Milestone 2017	Target 2020	Latest known results (2018)		
Volume: 1.18 million tonnes.	Annual growth of +2% in 2016 and in 2017.	+10% compared to the baseline 2013. Target set by DG MARE based on: - long term projections in multiannual national plans for aquaculture of main producers; - the study "Long-Term Economic and Ecological Impact of Larger Sustainable Aquaculture" (European Parliament, 2014); - recent production and economic trends in the EU aquaculture production.	Sales volume: 1.3 million tonnes in 2015 (latest data available) ⁴⁵ . Source: Eurostat 2018.		
Value: €3.85 billion.	Annual growth of +2,25% in 2016 and in 2017.	+17% compared to the baseline 2012. Target: see above.	Sales value: € 4.5 billion in 2014 (latest data available). Source: Economic Report of EU aquaculture sector (STECF-16-19) ⁴⁶ .		

Main outputs in 2017:

⁴⁵ Yearly intervals reported every two years (ESTAT and DCF Regulation).

⁴³ EU framework for the collection, management and use of data in the fisheries sector ("Data Collection Framework").

Scientific, Technical and Economic Committee for Fisheries (STECF).

https://stecf.jrc.ec.europa.eu/documents/43805/1491449/_2016-10_STECF+16-19+-+EU+Aquaculture_JRCxxx.pdf

Policy-related outputs	5		
Description	Indicator	Target date	Latest known results (situation on 31/12/2017)
2017 EU Fish Market report.	Publication of the report	October 2017	Published in December 2017 ⁴⁷
Two Member State technical workshops on exchange of experiences and good practices in aquaculture.	Organisation of the workshops with participation from national authorities.	Q2 and Q4 2017	27-28/04/2017 and 05/12/2017
Seminar on EU consumer habits regarding fishery and aquaculture products.	Organisation of the seminar with participation from the sector, stakeholders, national authorities and consumer groups.	Q1 2017	MTFAP expert group ⁴⁸ meeting on 22/02/2017
Seminar on Production and Marketing Plans organised at the initiative of the Market Advisory Council.	Organisation of the seminar with representation from the Producer Organisations, national authorities and the Commission.		Event took place on 27/09/2017

http://www.eumofa.eu/documents/20178/108446/The+EU+fish+market+2017.pdf Expert Group for Markets and Trade in Fishery and Aquaculture Products.

Result indicator 2: Number of Member States with an effective control system.

When it identifies shortcomings in the control system of a Member State by means of verifications, autonomous inspections or audits, the Commission may establish an action plan through an implementing decision. Each action plan is established in agreement with the Member State concerned and contains a detailed and time-bound roadmap for the improvement of certain parts of the Member State's control system, based on the shortcomings identified during verifications/inspections/audits performed⁴⁹.

Source of data: Commission, DG MARE – Commission decisions establishing action plans.

plansi					
Baseline December 2013	Interim milestone 2017		Target 2	2020	Latest known results (2017)
6 Member States (ES, MT, IT, LV, PT, FR) are under an action plan to overcome shortcomings in their fisheries control system.	under a meanir all Men have a control All Mer that we action	ber States are an action planing that almost obser States of effective system. The system of the states of the system of the states of the system of the sy	No Membis under a action plane meaning Member Starget: Control sy Target: Complian the Control regulation implement rules.	an, that all States effective ystem ⁵⁰ .	In total, 16 action plans have been established, of which 3 have been closed (MT, ES, LV). Out of the remaining 13 action plans ⁵¹ , it is expected that 12 can be closed before yearend 2018 and 1 (RO) in 2019. It is likely that 5 new action plans will be established in 2018 ⁵² .
Main outputs in 201	7:				
Policy-related outpo	uts				
Description	Indicator		Target date		nown results n on 31/12/2017)
Evaluation of the Cor Regulation (REFIT initi			Q1 2017	`	17) 192 and 17) 134 of 24/04/2017

In addition to action plans, there are other instruments that can be used to help improving the effectiveness of the Member States(MS)' control systems. For example, EU-pilots, infringement proceedings and the interruption/suspension of EMFF payments. Hence, an update on the implementation of action plans does not always give the full picture of the state of the control systems in a MS. Besides, an action plan only covers specific parts of the MS' control systems. Consequently, the full implementation of an action plan does not mean that the entire control system is effective. At present, the interim milestone for 2017 implies 11 action plans (6 open in December 2013 and 5 additional ones). The aim is to close all those action plans before 2020. The target 2020 should be

In many cases, action plans only cover specific parts of a Member State's control systems. Consequently, the full implementation of an action plan does not necessarily mean that the entire control system is effective. Besides, in addition to action plans referred to in article 102.4 of the Control Regulation, there may be other enforcement instruments such as EU pilots and infringement

proceedings that are used to address shortcomings in the Member States' control systems. 51 Belgium (C(2017)2805), Germany (C(2017)2581), Estonia (C(2017)2948), Croatia (C(2016) 5804), The Netherlands (C(2016) 1315), Finland (C(2015) 2495/3), Lithuania (C(2015) 8204), Sweden (C(2015) 1175), Bulgaria (C(2014) 9501), Romania (C(2014) 9502). France (C(20143594), Portugal (C(20146485) and Italy (C(2013)8635).

See also the EMFF Programme statement for the draft budget 2019.

viewed bearing this in mind.

Following the catch registration audits performed in 2017, it is likely that there will be five new action plans in 2018 (HE, IT, HR, MT and CY).

	Council		
Impact assessment on the	Inception	2017	Inception impact assessment:
possible revision of the	Impact	2017	published on 03/10/2017
Control Regulation.	assessment		Pablistica 011 05/10/2017
Control Negalation.	finalised		
Commission Implementing	Adoption by		
Commission Implementing Decisions establishing	the		
fisheries control action	Commission		
	Commission		
plans: (D4)		01	
Fisheries control action plans		Q1	
with:		2017	F 1 : C(2017) 2040 (
- Estonia (PLAN/2016/146)			- Estonia: C(2017) 2948 of
– Belgium (PLAN/2016/224)			10/05/2017
			– Belgium: C(2017) 2805 of
			02/05/2017
Fisheries control action plan		Q2	C(2017) 2581 of 27/04/2017
with Germany		2017	
(PLAN/2016/141)			
Amendment of the control		Q1	Cancelled
action plan with:		2017	
– Bulgaria (2015/MARE/099)			
– Romania			
(2015/MARE/100)			
Commission Implementing	Adoption by		
Decisions on SCIPs :	the		
 for demersal and pelagic 	Commission		C(2016) 8834 of 05/01/2017
fisheries in the Union			
Waters of the North Sea			
and in the Union waters of			
ICES Division IIa.			
 for demersal species in 		Q2	Cancelled
Western Waters of the		2017	
Northeast Atlantic			
(2016/MARE/002)			
Commission Decision]		C(2017) 1690 of 17/03/2017
appointing the			
representatives of the			
Commission and their			
alternates to the			
Administrative Board of			
EFCA.			
Main expenditure outputs			
Description	Indicator	Target	Latest known results
		date	(situation on 31/12/2017)
Control expenditure under	Payments	2017	The regular work on the
EMFF Regulation (EU) No	, ·		control expenditure under
508/2014 (shared			EMFF Regulation (EU) No
management) and			508/2014 (shared
Regulation 861/2006 (direct			management) and Regulation
management).			(EC) No 861/2006 (direct
- 5	<u> </u>		\ -, - = - = - = - \ \ \ \ \ \ \ \ \ \ \ \ \

			management). was undertaken all along the year (commitments and payments).
Grant to EFCA.	Payment	2017	Financing decision for 2018: C(2017)8174 of 07/12/2017
Study on monitoring of small-scale fisheries.	Launch of the study	2017	The call for tenders was launched and the tenders were evaluated. A suitable contractor was selected but EASME could finally not sign the contract for administrative reasons beyond the control of DG MARE.

Related to spending programme(s)

☑ Programme-based: EMFF

☑ Non programme-based

Result indicator 1: EU investment relating to the blue economy expressed as percentage of total European Structural and Investment Funds (ESIF).

An analysis of ESIF operational programmes indicated that of the 120 categories of spending, only 3 (2 on ports and one that included ocean energy) could be directly linked to the blue economy, apart from the funding that the EMFF will bring to fisheries and aquaculture and other maritime issues. The same goes for Smart Specialisation Strategies. Nevertheless, maritime projects could fit easily into many of the other categories – support to SMEs, research infrastructure, wind energy, making use of cultural or natural heritage to enhance attractiveness for tourism etc. Initial estimates suggest about 3% of total structural and investment funding could be spent on maritime issues. DG MARE has been raising awareness of these opportunities through events in all the sea basins and now the work has been taken up by regional and national administrations in the countries concerned.

Source of data: Reports sent by Management Authorities and accessed through Infoview.

Baseline 2015	Interim milestone 2017	Target 2023	Latest known results (2017) (*)
3% of total Source: estimate based on analysis of the Member States' ESIF operational programmes.	4% of total	5% of total Target set by DG MARE.	The latest information suggests that spending in these areas is lower than the 2017 milestone of 4% (cf. Annual Activity Report 2016). The mid-term review of the DG MARE Management Plan 2017 revealed that it is not feasible to estimate the proportion with any reliability at present because the Managing Authorities do not provide this information to the Commission. This would require a sampling of Managing Authorities which is not planned for the near future.

(*) Data reliability is low. 46 indicators are used to monitor the European Regional Development Fund but none is exclusively maritime (linked to the blue economy). Estimates were based on the assumption that a certain proportion of categories for intervention (e.g. research infrastructure) would be maritime. It would be expected that the percentage would be higher in the Mediterranean because the Member States' operational programmes allocate a higher proportion to tourism and a large part of this will be coastal.

Main outputs in 2017:

Policy-related outputs

Description	Indicator	Target date	Latest known results (situation on 31/12/2017)
Western Mediterranean	Completion by the Commission	February 2017	Took place in Barcelona on 1 and 2 February

				2017
stakeholder	and relevant			2017.
conference.	countries			
Demonstration	Launch call for	Q2 2017		EASME/EMFF/2017/1.2.1.12
projects in the blue	proposals			of 24/10/2017
economy.				
Set up the	Launch call for	Q2 2017		Q4 2017
Bioeconomy forum.	tender			
International	Launch ad hoc			Q4 2017
cooperation on	grant to IOC-			_
Maritime spatial	UNESCO			
planning				
Staff Working	Notification to	February 20	17	SWD(2017) 126 of
Document on nautical	the College	, ,		30/03/2017
tourism				3, 33, 232
(2017/MARE/001)				
Staff Working	Notification to	Q1 2017		SWD(2017) 128 of
Document on Blue	the College	Q= ===/		31/03/2017
Growth	and domege			31, 33, 231,
(PLAN/2017/723)				
Commission	Adoption by the	April 2017		COM(2017) 183 of
Communication on the	Commission	7.pm 2017		19/04/2017
Initiative for the	Commission			13,01,201,
sustainable				
development of the				
blue economy in the				
western				
Mediterranean				
(2017/MARE+/007)				
Mid-term review of	Notification of	Q4 2017		Q1 2018
the implementation of	the Staff	Q4 2017		Q1 2018
the Atlantic Action				
	Working Document to			
Plan (PLAN/2017/657)				
Main avnanditura aut	the College			
Main expenditure out	<u> </u>	Taract	l start	known rocults
Description	Indicator	Target		known results
Chudu be define		date		ion on 31/12/2017)
Study to define areas of		Q1 2017		rs evaluated.
particular environmenta	I for tender			to be launched in Q1 2018
interest in the Atlantic.		01 2017	-	E, DG MARE)
Studies to support ocea		Q1 2017		h of call for tender
governance.	for tender	04.0017	cancell	
Study on economic	Launch call	Q4 2017	Q1 20:	18
impact of spatial	for tender			
planning.				

Result indicator 2: Marine Knowledge 2020

Improvement in marine knowledge measured by the degree of use of the European Marine Observation and Data Network (EMODnet) in terms of the number of downloads of data per month.

By making marine data more available and interoperable, EMODnet reduces uncertainties on the behaviour of the sea, which allows for innovation and productivity in the blue economy. The trends in data usage are at present the best way to measure progress.

Source of data: Annual Reports from EMODnet secretariat: http://www.emodnet.eu/

Baseline 2014	Interim milestone 2017	Target 2020	Latest known results (2017)
1.700 downloads of data per month ⁵³ .	12.000 downloads of data per month.	17.000 downloads of data per month. Target set by DG MARE.	EMODnet is hosted by the Flanders Marine Institute (VLIZ) ⁵⁴ since 2016. There is full coverage of European seas. It has improved forecasting of storm surges in the North Sea. 2017 statistics show a positive trend in the use of EMODnet (*) ⁵⁵

Latest known results (2017):

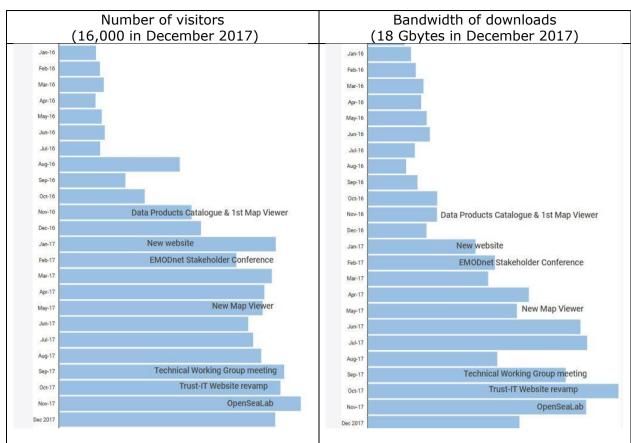
Since 2016, businesses have reported that the availability of quality-assured data is saving time and therefore money. The number of visitors to the central portal and the bandwidth of data delivered have increased substantially in 2017. Stronger collaboration has been established with the European Environment Agency and regional sea conventions on nutrient measuring and reporting and with the Copernicus marine service on archiving and access to physical and chemical parameters. A meeting and seminar with officials from the Chinese State Ocean Administration paved the way for more interoperable standards. A user group advising on the further development of EMODnet, with particular emphasis on business, has been set up and will have its first meeting in early 2018.

(*) Previously, the monthly number of downloads was used to measure progress but this has become impractical because of the inhomogeneity of the different thematic groups. Physical parameters are downloaded frequently in small quantities. Topographic maps are downloaded less frequently but in larger quantities. It was decided to separate the metric between number of visitors and bandwidth of downloads.

⁵³ First EMODnet annual report, September 2013-August 2014: https://webgate.ec.europa.eu/maritimeforum/en/node/3644

⁵⁴ C(2016) 475

⁵⁵ See also the EMFF Programme statement for the draft budget 2019.



Main outputs in 2017:	Main outputs in 2017:					
Policy-related outputs						
Description	Indicator	Target date	Latest known results (situation on 31/12/2017)			
Renew EMODnet secretariat.	Launch call for tender	Q1 2017	EASME/EMFF/2017/005 published on 18/05/2017			
Projects for extension and maintenance of EMODnet.	Launch call for tender	Q4 2017	Q1 2017			
Conference to asses results of stress tests in European marine data and prepare the European Ocean Observing System.	Conference conclusions	February 2017	April 2017			

General objective II: A Resilient Energy Union with a Forward-Looking Climate Change Policy.

Specific objective 2: A sustainable blue economy generating growth, jobs and prosperity by 2020

Related to spending programme(s)

☑ Programme-based: EMFF

☑ Non programme-based

Result indicator 1a - Ocean Energy: installed capacity in offshore ocean energy.

Ocean energy includes, among others, tidal range, tidal stream and wave energy. It is a relatively new renewable energy sector. Current capacity is limited but substantial growth is expected by 2020.

Source of data: Ocean Energy Europe, the trade association for ocean energy.

Baseline 2010	Interim milestone 2017	Target 2020	Latest known results (2017)
250MW of ocean energy capacity installed (240MW of tidal range, 10MW tidal stream and wave).	271MW of ocean energy capacity installed.	848MW of ocean energy capacity installed (includes tidal range, tidal stream, wave, OTEC and salinity gradient technologies, pipeline analysis by OEE). Source of the target: JRC ⁵⁶ .	254 MW. Source: JRC Ocean Energy Status Report - 2016 Edition ⁵⁷ .

Main outputs in 2017:

Policy-related outputs

Description	Indicator	Target date	Latest known results (situation on
Grants for environmental monitoring of wave and	Launch call for proposals	Q3 2017	31/12/2017) Q3 2017
tidal arrays.			

https://ec.europa.eu/jrc/en/publication/eur-scientific-and-technical-research-reports/2014-jrc-ocean-energy-status-report.

Please note that market uptake does not correspond to the targets set in the National Renewable Energy Action Plans (NREAPs), so that the ocean energy industry has reduced its deployment forecasts for 2020 from 848 MW to 350 MW.

⁵⁶ JRC Ocean Energy Status Report – 2014 Edition:

⁵⁷ JRC Ocean Energy Status Report – 2016 Edition: https://ec.europa.eu/jrc/en/publication/eurscientific-and-technical-research-reports/jrc-ocean-energy-status-report-2016-edition

Result indicator 1b - Offshore Wind: installed capacity in offshore wind energy.

Offshore wind is a major driver for the marine economy and a bellwether for the health of emerging maritime industries. Its strong growth is driving down costs and has the potential to deliver growth in other sectors of the blue economy such as port handling and aguaculture.

Source of data: Data are obtained from the European Wind Energy Association

(WindFurone)

	(WildEdiope).					
Baseline 2010	Interim milestone 2017	Target 2020	Latest known results (2017)			
2,946MW of installed offshore wind capacity.	18,000MW of installed offshore wind capacity.	23,500MW of installed offshore wind capacity (central scenario, estimate by EWEA).	3,1 GW of new offshore wind capacity installed in 2017, double the capacity installed in 2016. Source: WindEurope			
		Source of target: DG MARE based				
		on study results of March 2015 ⁵⁸ .				

⁵⁸ Offshore wind in Europe – Walking the tightrope to success, Ernst & Young et Associés, March 2015: http://www.ewea.org/fileadmin/files/library/publications/reports/EY-Offshore-Wind-in-Europe.pdf

General objective III: Towards a New Policy on Migration Specific objective 2: A sustainable blue economy generating growth, jobs and prosperity by 2020

Related to spending programme(s)

☑ Programme-based: EMFF

☑ Non programme-based

Result indicator - Maritime security: Degree of implementation of the EU Maritime Security Strategy (EUMSS).

The EUMSS Action Plan (EUMSS AP) contains 134 actions. One of the main deliverables for DG MARE is constituted by information sharing, in particular the Common Information Sharing Environment (CISE). The goal is to measure the overall implementation of the EUMSS-Rolling Action plan in %.

Source of data: EUMSS-AP Implementation report.

Baseline year 2014	Interim milestone 2016	Target (Rolling plan)	Latest known results (2017)
0% Source: EUMSS- Action Plan Implementation Report.	5-10%	Target set by the Council of the EU.	The second Implementation Report was adopted in June 2017 ⁵⁹ and presented to the Council in June and September 2017 ⁶⁰ . The Council agreed with a revision of the Action Plan in order to update it in line with current Union' priorities and policy developments. A revised Action Plan is expected to be adopted in the course of 2018.

Main outputs in 2017: Policy-related outputs

Description	Indicator	Target	Latest known results
·		date	(situation on 31/12/2017)
Joint Staff Working Document -	Notification		SWD(2017)238/2 final of
Second report from the	to the		16/06/2017
Commission and the EEAS on the	College		
implementation of the EU			
Maritime Security Strategy			
(PLAN/2017/1082)			

⁵⁹ SWD(2017) 238 final: JOINT STAFF WORKING DOCUMENT - Second report on the implementation of the EU Maritime Security Strategy Action Plan.

The first EUMSS Implementation Report (SWD(2016) 217) was presented to the Council in June 2016.

Friends of the Presidency Group on 21 June, Political and Security Committee on 12 September, and Politico-Military Group on 20 September.

Specific objective 3: Sustainable fisheries worldwide and improved international governance by 2020

Related to spending programme(s)

☑ Programme-based: EMFF

☑ Non programme-based

Result indicator 1: Conservation measures based on scientific advice adopted, for all species under the purview of RFMOs of which the EU is a member.

The stance of the EU in international organisations dealing with fisheries management, in particular RFMOs, is based on the best available scientific advice⁶¹ so as to ensure that fishery resources are managed in accordance with the objectives laid down in Article 2 of Regulation (EU) No 1380/2013.

Source of data: RFMO reports⁶².

Baseline 2012	Interim milestone 2017	Target 2020	Latest known results (2017)
49 out of 53 conservation measures adopted by RFMOs in their annual meeting are in line with the best available scientific advice.	95% of the conservation measures adopted by RFMOs in their annual meetings are in line with the best available scientific advice.	All conservation measures adopted by RFMOs in their annual meetings are in line with the best available scientific advice. Target set by Article 29 of Regulation (EU) No 1380/2013, RFMOs conventions and recommendations or resolutions.	55 out of 57 conservation measures adopted by RFMOs in their annual meeting were in line with the best available scientific advice. 63

Main outputs in 2017:

Policy-related outputs

Description	Indicator	Target date	Latest known results (situation on
			31/12/2017)
Ministerial Conference	Completion by the	Q1 2017	C(2017) 1575 of
MEDFISH4EVER – Ministerial	Commission and		13/03/2017
Declaration	relevant Member		
(PLAN/2017/708)	States and		

⁶¹ The 'best available scientific advice' is the term used by the UN Fish Stock Agreement 1995. It is generally the advice provided by the Scientific Committee of the specific RFMO in line with international standards.

RFMOs which manage highly-migratory species, mainly tuna: http://iccat.int/en/, http://iccat.int

The indicator puts the number of conservation measures adopted in RFMOs to which the EU is a party in relation to the total number of adopted conservation measures in these RFMOs in a given year. See also the Programme statement on RFMOs and SFPAs for the draft budget 2019.

		1	
	riparian third countries		
Proposal for a SPRFMO Transposition Regulation (2015/MARE/060)	Adoption by the Commission	Q1 2017	COM(2017) 128; COD(2017)56
SPRFMO mandate 2017- 2021 (PLAN/2016/389)	Adoption by the Commission		COM(2017) 216; NLE(2017)93
SIOFA mandate 2017-2021 (PLAN/2016/390)	Adoption by the Commission		COM(2017) 214; NLE(2017)91
Bering Sea Convention mandate 2017-2021 (PLAN/2016/391)	Adoption by the Commission		COM(2017) 215; NLE(2017)92
Proposal for a Regulation of EP and Council on conservation and enforcement measures applicable in the Regulatory Area of NAFO (2010/MARE/014)	Adoption by the Commission	Q2 2017	Q2 2018
Proposal for a IOTC Transposition Regulation (2016/MARE/003)	Adoption by the Commission	Q2 2017	Q2 2018
Proposal for a GFCM Transposition Regulation.	Adoption by the Commission	Q2 2017	Q1 2018
Proposal for a Regulation of EP and Council establishing a BCD Programme for Bluefin tuna (2016/MARE/127)	Adoption by the Commission	Q4 2017	June 2018
Commission Recommendation for a negotiation mandate on the conservation and sustainable use of marine biodiversity (BBNJ) ⁶⁴ (PLAN/2017/1931)	Adoption by the Commission		COM(2017)812 of 06/01/2018
Commission Decision on signature of an EC-US Joint Statement on ocean partnership (2016/MARE/117)	Adoption by the Commission	2017	Q2 2018
Amendment of Commission Delegated Regulation (EU) 2015/98 on the implementation of the Union's international obligations, under ICCAT	Adoption by the Commission		C(2017) 2358 of 18/04/2017

Commission Recommendation for a Council Decision authorising the opening of negotiations on behalf of the EU on an international legally binding instrument under the United Nations Convention on the Law of the Sea on the conservation and sustainable use of marine biodiversity of areas beyond national jurisdiction.

and the Atlantic Tunas and	
the Convention on Future	
Multilateral Cooperation in	
the Northwest Atlantic	
Fisheries.	

Result indicator 2: Number of SFPAs in force.

The number of SFPAs (Sustainable Fisheries Partnership Agreements) in force is directly linked to the capacity of the EU fleet to extend its fishing operations in non-EU waters in a highly regulated and transparent framework.

The objective is to ensure as much as possible continuity between fishing grounds – in particular for the tuna fleet – through the existence of a network of SFPAs in force based on CFP reform principles: sustainability, value for money, improved governance and consistency with other EU policies. Each year, on average 25% of the SFPA protocols will expire and in order to ensure continuity of fishing and maintain a network of SFPAs, new protocols must be negotiated and enter into force at the right moment.

Source of data: the new or renewed SFPAs and Protocols published in the Official Journal of the EU.

Baseline 2013	Interim milestone 2017	Target 2020	Latest known results (2017)
10	14	15	12 (*)
		Target set by DG MARE.	

(*) At the end of December 2017, **12 protocols to SFPAs** were in force (thereby already achieving the milestone we have set for 2017):

- 3 multi-species (or mixed) agreements: for Mauritania, Morocco and Greenland;
- 9 tuna agreements: for Cape Verde, Ivory Coast, Sao Tomé and Principe, Madagascar, Mauritius, Senegal, Seychelles, Liberia and Cook Islands⁶⁵.

In 2017, negotiations were successfully completed for the renewal of the SFPA protocol with Mauritius. Negotiations have started with Guinea Bissau and continued with Mozambique and Kiribati.

The Commission proposed Recommendations for negotiation mandates in view of new protocols with Sao Tome e Principe and with Ivory Coast. First steps were taken to obtain a negotiation mandate with Morocco.

Ex-post and ex-ante evaluations were finalised for the renewal of the Protocols and related Staff Working Documents were prepared to present the evaluation findings and recommendations to other Institutions and the public at large.

At the end of 2017, over **200 vessels flagged** in one of the EU Member States were benefiting from a fishing authorisation granted under an SFPA protocol.

SFPAs are now recognised as a regulated and transparent tool to frame the activity of the EU fishing fleet in a number of partner country waters.

Completed evaluations: See 'Policy-related outputs'

Main outputs in 2017:

Policy-related outputs

 $^{^{65}}$ See also the Programme statement on RFMOs and SFPAs for the draft budget 2019.

Description	Indicator	Target date	Latest known results (situation on 31/12/2017)
Proposals for the conclusion of	Adoption by	date	(3):000:011 317 127 2317 7
a new SFPA/protocol with the	the		
following third countries ⁶⁶ :	Commission		
- Ghana (mandate)			COM(2016) 828 of
,			05/01/2017
– Guinea-Bissau (mandate			COM(2017) 27 of
and PLAN/2017/1310, 1312			24/01/2017 (mandate)
and 1313)			and Q2 2018
 Equatorial Guinea (mandate) 		Q1 2017	Q4 2018
(2016/MARE/068)		_	-
 Côte d'Ivoire (mandate) 		Q2 2017	COM(2017)752 of
(2017/MARE/004)			12/12/2017
– Gabon (2016/MARE/065,		Q3 2017	Q2 2018
066 and 067)			
Greenland		Q2 2017	Cancelled
(2015/MARE/004)			
Sierra Leone		Q4 2017	Q4 2018
(2015/MARE/052,			
2016/MARE/050, 051 and			
052)			
 Morocco (2017/MARE/002, 		Q2	COM(2018)1 of
022, 023 and 024)		(mandate)	08/01/2018 (mandate)
		and Q4	and Q2 2018
		2017	
– Kenya (2016/MARE/053,		Q3 2017	Q4 2018
054 and 055)			
– São Tome e Principe		Q3 2017	COM(2017) 695 of
(mandate)			01/12/2017
(2017/MARE/003)			
- Proposal for a Council			COM(2017) 556 of
Decision denouncing the FPA			29/09/2017
between the EC and the			
Union of the Comoros,			
adopted by Council			
Regulation (EC) No			
1563/2006 of 5 October			
2006.		04 2017	04 2019
Comoros (2016/MARE/057 and 058)		Q4 2017	Q4 2018
- Kiribati (2015/MARE/006,	1	Q4 2017	Q2 2018
007 and 008)		_	
– Mozambique		Q4 2017	Q2 2018
(2015/MARE/009, 010 and			
011)			

SFPAs and their associated protocols enter into force after concluding negotiations with the third country concerned.

T : (204.6/MARE/262		04.0047	04.2040
Tanzania (2016/MARE/062, 063 and 064)		Q4 2017	Q4 2018
Madagascar (mandate) (2017/MARE/009)		Q4 2017	Q1 2018
Mauritius (2016/MARE/059, 060 and 061)		Q4 2017	COM(2017) 483, COM(2017) 484 and COM(2017) 486 of 15/09/2017
Commission Decision amending the Protocol to the Fisheries Partnership Agreement with Mauritania (PLAN/2017/1343)			C(2017) 5070 of 24/07/2017
Retrospective and prospective evaluations on a new SFPA/Protocol with the following third countries:	Notification of Staff Working Document (SWD) to the		
– Guinea-Bissau (2016/MARE/106)	College		SWD(2017) 18 and SWD(2017) 19 of 18/01/2017
Ivory Coast (2017/MARE/028)		Q1 2017	SWD(2017)446 and 447 of 12/12/2017
– São Tomé and Principe (PLAN/2017/1292)		Q1 2017	SWD(2017) 434 and SWD(2017) 437 of 01/12/2017
- Morocco (2017/MARE/021)		Q2 2017	SWD(2018)1 and 2 of 08/01/2018 (together with mandate)
– Madagascar (PLAN/2017/1296)		2017	Q2 2018
 Cape Verde 		Q4 2017	Q1 2018
Ex-ante evaluation for a possible SFPA with The Gambia.		Q4 2017	Q2 2018
Main expenditure outputs			
Description	Indicator	Target date	Latest known results (situation on 31/12/2017)
Commission Decision regarding credits for the implementation of SFPAs (financing decision).	Adoption by the Commission	Q1 2017	C(2016) 8766 final of 03/01/201767

⁶⁷ COMMISSION DECISION of 3.1.2017 on the 2017 budget appropriations under budget line 11 03 01 ('Establishing a governance framework for fishing activities carried out by Union fishing vessels in third country waters') for the implementation of the Fisheries Protocols concluded between the European Union and the Republic of Cape Verde, the Government of Cook Islands, the Republic of Côte d'Ivoire, the Government of Greenland, the Republic of Liberia, the Republic of Madagascar, the Kingdom of Morocco, the Islamic Republic of Mauritania, the Democratic Republic of São Tomé and Príncipe, the Republic of Senegal and the Republic of Seychelles, respectively.

Result indicator 3: Control of imports of fisheries products in the EU.

This indicator relates to the fight to prevent, deter and eliminate IUU⁶⁸ fishing. One of the main objectives of the fight against IUU fishing is to ensure the legality of imported fishery products and landings by fishing vessels. The control of imports is the best way to reach that objective. The IUU Regulation establishes a system of import controls of fisheries products for IUU related issues based on EU criteria for verifications. DG MARE provides guidance and information on cases of risk and discusses with Member States on the harmonized implementation of import controls. Member States are tasked with the control of imports and refusals and report to DG MARE on the latter.

Source of data: Commission, DG MARE, reporting of refusals by Member States.

Baseline 2013	Interim mileston e 2017	Target 2020
Number of refusals of imports into the EU ⁶⁹ : 74 ⁷⁰	74	No IUU consignment is accepted.
		Target set by Article 18 of the IUU regulation ⁷¹ .
Number of non-cooperating countries ⁷² in fighting IUU fishing as a percentage of the number of countries	6%	Reduce the number of countries that are non-cooperating to zero.
allowed to export to the EU: 12%		Target set by Chapter VI of the IUU regulation.

Latest known results (2017):

Main outputs in 2017

A network has been created amongst Member States and DG MARE to exchange information about particular risks or **refused imports** in one Member State. In 2016, 35 refusals of catch certificates allowing for imports have been reported by Member States and 7 in 2017.

Member States are responsible to control imports of fishery products into the EU and report to DG MARE. All Member States apply risk assessment. However, while Member States' controls appear to be more efficient and effective, the improvements achieved by third countries addressing identified deficiencies in their anti-IUU systems have also to be taken into account.

See also the indicator on the fight against IUU fishing.

Main outputs in 2017:			
Policy-related outputs			
Description	Indicator	Target	Latest known results (situation on 31/12/2017)
Modernisation of the catch	Memorandum of	2017	Working groups with
certification system by using IT	Understanding with		Member States
cost-effective system,	DG SANTE signed.		established (one
harmonized risk analysis and	Preparation of		virtual, one physical).
catch certification controls to	business/user		3 physical meetings in
improve implementations by	requirements for		2017.

⁶⁸ Illegal, Unreported and Unregulated (IUU) fishing.

This number depends on the effectiveness of Member States' implementation as well as actual attempts to import illegal products into the EU by operators.

Number of import refusals as reported to the Commission by Member States.

The IUU Regulation prevents, deters and eliminates IUU fishing, and prohibits any import of IUU products.

Countries which fail to adhere to their responsibility as a flag, coastal, port or market State and refuse to cooperate in the fight against IUU fishing.

Mambar Ctatas of the of TIIII	the future IT			
Member States of the of IUU	the future IT			
Regulation.	system under		Political support	
	TRACES in		obtained in informal	
	cooperation with		DG meeting under the	
	DG SANTE business		Estonian Presidency.	
	analysis.			
			Business analysis of	
			user requirements	
			and business case	
			finalised.	
			In 2017, a functional	
			but limited model and	
			basic screens were	
			developed in the IT	
			system "CATCH".	
Policy-related outputs on IUU	See table on "Specific measurement for Stronger Global			
fishing	Actor, Fisheries: Fighting IUU fishing globally measured			
	by the number of third countries that the Commission			
	has engaged in a dialogue with and the number of			
	countries having addressed their deficiencies."			