



2019

Annual Activity Report

Annexes

**Directorate-General for
Migration and Home
Affairs**



Table of Contents

ANNEX 1:	STATEMENT OF THE DIRECTORS IN CHARGE OF RISK MANAGEMENT AND INTERNAL CONTROL	3
ANNEX 2:	REPORTING – HUMAN RESOURCES, BETTER REGULATION, INFORMATION MANAGEMENT AND EXTERNAL COMMUNICATION	4
ANNEX 3:	DRAFT ANNUAL ACCOUNTS AND FINANCIAL REPORTS	10
ANNEX 4:	MATERIALITY CRITERIA	23
ANNEX 5:	RELEVANT CONTROL SYSTEMS FOR BUDGET IMPLEMENTATION (RCSs)	39
ANNEX 6:	IMPLEMENTATION THROUGH NATIONAL OR INTERNATIONAL PUBLIC-SECTOR BODIES AND BODIES GOVERNED BY PRIVATE LAW WITH A PUBLIC SECTOR MISSION	54
ANNEX 7:	EAMR OF THE UNION DELEGATIONS (IF APPLICABLE)	58
ANNEX 8:	DECENTRALISED AGENCIES AND/OR EU TRUST FUNDS	59
ANNEX 9:	EVALUATIONS AND OTHER STUDIES FINALISED OR CANCELLED DURING THE YEAR	60
ANNEX 10:	SPECIFIC ANNEXES RELATED TO "FINANCIAL MANAGEMENT"	68
ANNEX 11:	SPECIFIC ANNEXES RELATED TO "ASSESSMENT OF THE EFFECTIVENESS OF THE INTERNAL CONTROL SYSTEMS"	88
ANNEX 12:	PERFORMANCE TABLES	89

ANNEX 1: Statement of the Directors in charge of Risk Management and Internal Control

I declare that in accordance with the Commission's communication on the internal control framework¹, I have reported my advice and recommendations on the overall state of internal control in the DG to the Director-General.

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

Brussels, 23 April 2020

Beate GMINDER

Director for Migration and Security Funds: Financial Resources

(e-signed)

Based on my own judgement and the information at my disposal, including the handover notes submitted by my predecessor, I hereby certify that the information provided in Section 1 of the present Annual Activity Report and in its annexes is, to the best of my knowledge, accurate and complete.

Brussels, 23 April 2020

Johannes LUCHNER

Director for Strategy and General Affairs

(e-signed)

¹ C(2017)2373 of 19.04.2017.

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

This annex is the annex of section 2.2 "Other organisational management dimensions".

Human Resources management		
Objective : 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.		
Indicator 1 : Percentage of female representation in middle management		
Source of data: HR Dashboard		
Baseline January 2015	Target <i>Target adopted by the Commission on 15 July 2015 – SEC(2015)336</i>	Latest known results 2019
<u>DG HOME excl. SRD HOME/JUST</u> : 43.8% <u>COM</u> : 31.8%	<u>DG HOME excl. SRD HOME/JUST</u> : Although DG HOME is already above the target adopted by the Commission of 35% for 2019, DG HOME will try to maintain this ratio and pay attention to it in future recruitments at middle management level.	DG HOME: 50% Commission: 42%
Indicator 2 : Percentage of staff who feel that the Commission cares about their wellbeing		
Source of data: Commission staff survey		
Baseline 2014	Target	Latest known results (2018)
<u>DG HOME excl. SRD HOME/JUST</u> : 35.3% <u>SRD HOME/JUST</u> : 31% <u>COM</u> : 35%	<u>DG HOME</u> : Maintain or exceed the current results for the next staff surveys	DG HOME: 33% Commission: 52%
Indicator 3 : Staff engagement index²		
Source of data: Commission staff survey		
Baseline 2014	Target	Latest known results (2018)
<u>DG HOME excl. SRD HOME/JUST</u> : 63.8% <u>SRD HOME/JUST</u> : 73.6% <u>COM</u> : 65%	<u>DG HOME</u> : Exceed the EC average for the next staff surveys	DG HOME: 61% Commission: 69%

² Staff engagement is usually not measured directly but as a combination of factors leading to high engagement levels. The Staff Engagement Index is based on seven factors combined in one overall figure: I have the information, material and resources to do my work well, My colleagues are committed to doing quality work, I have a clear understanding of what is expected from me at work, I have recently received recognition or praise for good work, I feel that my opinion is valued, My manager seems to care about me as a person, My line manager helps me to identify my training and development needs.

Main outputs in 2019:			
Output	Indicator	Target	Latest known results 2019
Activities to encourage female representation in middle and senior management positions	Female representation percentage in middle management (for first appointments - mandatory targets set until 2019 ³) and in senior management	At least one additional female middle manager to be appointed by 2019. A balance between male and female representation at the level of middle and senior management.	Target reached One female middle manager was appointed in March.
Implement the 2019 Learning and Development Plan	Number of actions for talent management in DG HOME	Increase the number of actions carried out compared to last year (5 actions)	Target reached DG HOME took part in all the new initiatives within the Talent Management- Junior Professional Programme, and the Female Talent Development Programme. Additionally, 14 coaching sessions were provided to middle managers, to senior managers and to Deputy Heads of Unit.
Activities to improve the integration of newcomers Newcomers' sessions	Number of sessions for newcomers.	At least 2 newcomers' sessions to be organised	Target reached 3 newcomers sessions were organised in 2019: 2 for official and external staff and one for trainees.
Events/seminars aiming at people development and continuous learning.	Number of seminars and lunch conferences	Maintain or increase the number of activities offered compared to last year (25 activities).	Target reached There were 44 seminars/trainings and lunchtime conferences in 2019.
Continuation and reinforcement of existing activities in the area of well-being	Number of well-being activities offered in DG HOME Approval of action plan	Maintain or increase the number of activities compared to last year (4 activities). By end of Q2 2019	Target partially reached All existing activities under the fit@work programme have been maintained in 2019; however, some interruptions occurred towards the end of the year due to the refurbishment of the building, which includes a revamp of the well-being rooms. The action plan following the staff survey was approved.

³ SEC(2017) 359 final

Better Regulation

Objective: 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: Percentage of Impact assessments submitted by DG HOME to the Regulatory Scrutiny Board that received a favourable opinion on first submission.

Source of data: DG HOME

Baseline 2015	Interim milestone 2016	Target 2020	Latest known results 2019
68% (Commission average in 2014)	Positive trend compared to the baseline.	Positive trend compared to DG's 2016 situation.	In 2019, DG HOME did not submit any Impact Assessments to the Board. 73% of the impact assessments submitted in the years 2016-2018 received a favourable opinion on first submission.

Indicator 2: Percentage of the DG's primary regulatory acquis covered by retrospective evaluation findings and Fitness Checks not older than five years.

Source of data: DG HOME

Baseline 2015	Interim milestone 2016	Target 2020	Latest known results 2019
50%	Yearly increase of 25% of the gap between baseline and target	70% of the EU acquis covered by evaluations	<p>The percentage presented in the 2015 baseline of the Strategic Plan (50%) was calculated taking into account evaluations as well as other reviews carried out between 2011 and 2015. If evaluations only are taken into account, the 2015 baseline is much lower (7%).</p> <p>The 2019 percentage of acquis submitted to evaluations in the period 2015–2018 is 28%. The increase from 7% to 28% shows that there has been a big effort to evaluate DG HOME's acquis in the last years.</p>

Main outputs in 2019:

The main planned outputs linked to the Better Regulation objective in the Strategic Plan are listed in Part 1 under the relevant specific objective in the tables and evaluation plan.

Information Management Aspects

Objective: Information and knowledge in your DG is shared and reusable by other DGs. Important documents are registered, filed and retrievable

Indicator 1: Percentage of registered documents that are not filed⁴ (ratio)

Source of data: Hermes-Ares-Nomcom (HAN)⁵ statistics

Baseline 2015	Target	Latest known results 2019
10.44%	<5%	3.35%

Indicator 2: Percentage of HAN files readable/accessible by all units in the DG

Source of data: HAN statistics

Baseline 2015	Target	Latest known results 2019
95.66%	>95%	88.06%

Indicator 3: Percentage of HAN files shared with other DGs

Source of data: HAN statistics

Baseline 2015	Target	Latest known results 2019
3.46%	>50%	64.28% (increase from 22.31% in 2018)

Main outputs in 2019:

Output	Indicator	Target	Latest known results 2019
Documents easily shared with other DGs	Number of ARES files open for consultation to the other DGs	20% Q4 2019	Target reached 64%. The filing plan for DG HOME will be further updated in the coming months.
Statistical compilation	Release	Q4 2019	Target reached Finalised and uploaded to HOME Intranet.
Lunchtime conferences	Number	At least two per month	Target reached There were 28 seminars and lunchtime conferences in 2019.
The secure zone and HOME Registry running according to required standards	- Number of meetings held in the secure zone by DG HOME /other DGs; - Number of EU classified documents handled by the Registry	150 200	Target partially reached 144 of total scheduled meetings in the Secure Zone (117 organised by DG HOME and 27 by other DGs). Total of 284 EU classified documents handled by the Registry.

⁴ Each registered document must be filed in at least one official file of the Chef de file, as required by the e-Domec policy rules (and by ICS 11 requirements).
The indicator is to be measured via reporting tools available in Ares.

⁵ Suite of tools designed to implement the e-Domec policy rules.

External communication activities

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 1: Percentage of EU citizens having a positive image of the EU

Definition: 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 92 of Autumn 2019 First results (DG COMM budget)

Baseline November 2014	Target 2020	Latest known results 2019
Total "Positive": 39 % Neutral: 37 % Total "Negative": 22 %	Positive image of the EU ≥ 50%	Total "Positive": 42% Neutral: 37% Total "Negative": 20%

Main outputs in 2019:

Output	Indicator	Target	Latest known results 2019
Twitter	Increase number of followers Increase number of Tweets	+10% Average n°/day: 6	Target reached +37%
Increase quality and accessibility of DG HOME website, in particular when it comes to availability of media related information	A combination of a lower bounce rate & a higher average time spent on the site Visits	Bounce rate down 8% in comparison to 2018 and average time spent on website exceeding 1 minute 30 sec 2 million for the whole of 2019	Bounce rate up 2.18% (70.58% in 2019 compared to 68.4% in 2018.) Time spent on website: 1 minute 34 seconds (down 17 seconds compared to 2018). 2,668,125 visits
Create a new series of graphic and visual information products (e.g. factsheets) to explain to the general public through multipliers the main actions and measures put in place by the European Commission to address migration and security	Number of products created for journalists	25	Target reached 47 factsheets
Citizens dialogues with DG HOME senior management	Number of dialogues and reach	2 dialogues targeting around 50 persons each (100)	Target reached 5 citizens dialogues took place in 2019 involving Commissioners

			Avramopoulos and King.
Presentations of migration and security policies to visitors	Rate of response to requests for presentations to visitors from DG COMM	100%	100%
Updating / Creation / Distribution of brochures, leaflets explaining DG HOME's policy areas	Number of new publications Disseminated reach	5 publications 2,000 copies distributed (Print/downloads)	3 publications 1,100 copies distributed
Updating / Creation / Dissemination of Home affairs videos explaining DG HOME's policy areas	Subscribers total Total unique viewers Impressions total Views total	20% improvement over previous years' viewing figures	Target reached 4 #EUProtects videos Priority given to #EUprotect videos / 16 videos produced by DG HOME on various policy areas.
Participation in the editorial board of the media consortium entrusted with informing prospective asylum seekers and migrants in a wide range of third countries.	Engagement in all related social media accounts Visits of website infomigrants.net	1.5 million a year 2 million visits	InfoMigrants' community grew steadily on Facebook, with a total of 1.5 million likes (all languages combined), up from 1.4 million in September, and 24,6 million monthly unique users reached in October 2019.
Kick off meeting with project organisations new Union actions	Number of project beneficiaries reached with the event	150	Target reached 170
Number of people reached with communication actions in 2019	Total number of interactions across all the communication channels	5 million	4.5 million

Main outputs in 2019:

Baseline (2018)	Estimated commitments (2019)	Latest known results (2019)
EUR 1,600,000 direct grant to media consortium	EUR 2,600,000 direct grant to media consortium	EUR 2,600,000 from the 2018 Annual Work Programme (AWP) covering activities of 2019 (EUR 2,000,000 from the 2019 AWP covering activities of 2020).
EUR 750,000 under procurement	EUR 1,550,000 for activities under procurement	EUR 669,000 from the 2018 AWP covering activities in 2019. EUR 1,769,000 from AWP 2019 covering activities of 2019 and 2020.

ANNEX 3: Draft annual accounts and financial reports

The AAR provides detailed information on compliance with payment time limits (Article 116.1 FR) and suspension of time limits (Article 116.4 FR), with average time to grant and average time to inform applicants of the outcome of the evaluation of the application (Article 194.2 FR), as well as cases of non-respect of non-retroactivity (Article 193.2 FR). Information on the waivers of recovery orders (Article 101.5 FR) are provided as comments in Table 10 of Annex 3 (attached). Some further information (e.g. percentage on-time) has been added to these reports in order to support the information required by the FR.

Annex 3 Financial Reports - DG HOME - Financial Year 2019

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

Table 12 : Summary of Procedures

Table 13 : Building Contracts

Table 14 : Contracts declared Secret

Table 15 : FPA duration exceeds 4 years

Additional comments

TABLE 1: OUTTURN ON COMMITMENT APPROPRIATIONS IN 2019 (in Mio €) for DG HOME

			Commitment appropriations authorised	Commitments made	%
			1	2	3=2/1
Title 18 Migration and home affairs					
18	18 01	Administrative expenditure of the 'Migration and home affairs' policy area	5,81	5,44	93,61 %
	18 02	Internal security	1.439,58	1.337,67	92,92 %
	18 03	Asylum and migration	1.298,39	1.284,60	98,94 %
	18 04	Fostering European citizenship	0,05	-	0,00 %
	18 05	Horizon 2020 - Research related to security	-	3,14	-56,33 %
	18 06	Anti-drugs policy	18,21	18,16	99,75 %
Total Title 18			2.758,89	2.647,64	95,97 %
Title 33 Justice and consumers					
33	33 01	Administrative expenditure of the 'Justice and consumers' policy area	0,37	0,37	100,00 %
Total Title 33			0,37	0,37	100,00 %
Total DG HOME			2.759,26	2.648,01	95,97 %

* 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

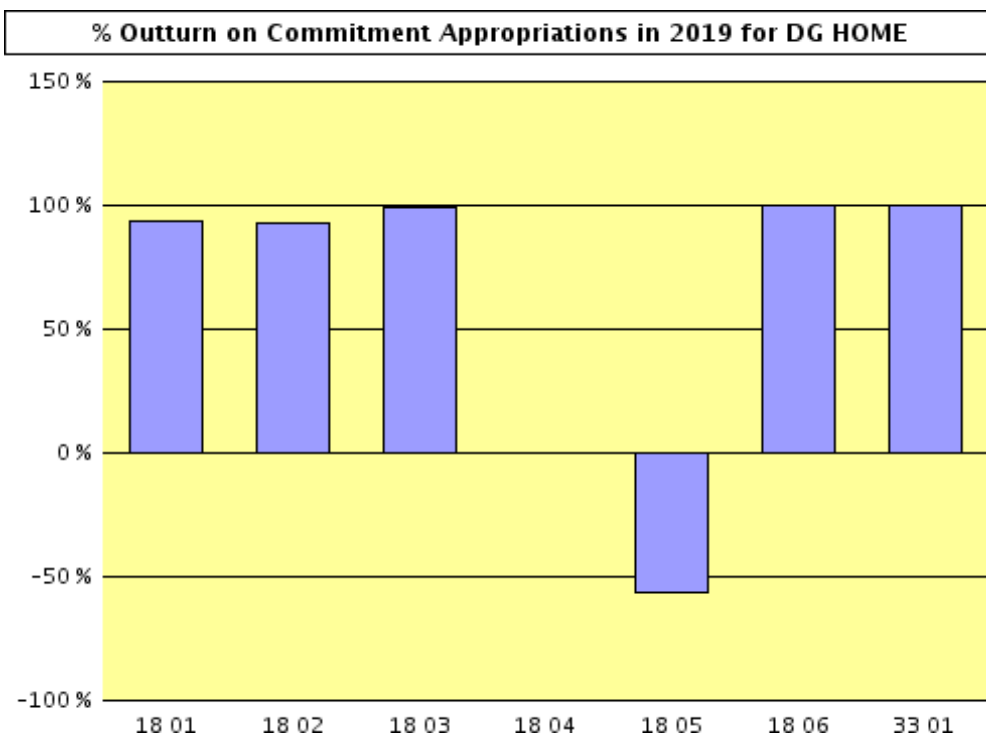


TABLE 2: OUTTURN ON PAYMENT APPROPRIATIONS in 2019 (in Mio €) for DG HOME					
			Payment appropriations authorised *	Payments made	%
			1	2	3=2/1
Title 18 Migration and home affairs					
18	18 01	Administrative expenditure of the 'Migration and home affairs' policy area	10,545776	4,703019	44,60 %
	18 02	Internal security	1256,127485	1119,484011	89,12 %
	18 03	Asylum and migration	995,4702658	980,2548415	98,47 %
	18 04	Fostering European citizenship	0,18343082	0,11569173	63,07 %
	18 05	Horizon 2020 - Research related to security	46,18422418	31,70058446	68,64 %
	18 06	Anti-drugs policy	17,75765363	17,71140234	99,74 %
Total Title 18			2326,268835	2153,96955	92,59%
Title 33 Justice and consumers					
33	33 01	Administrative expenditure of the 'Justice and consumers' policy area	0,365496	0,48443236	132,54 %
Total Title 33			0,365496	0,48443236	132,54%
Total DG HOME			2326,634331	2154,453983	92,60 %

* 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).

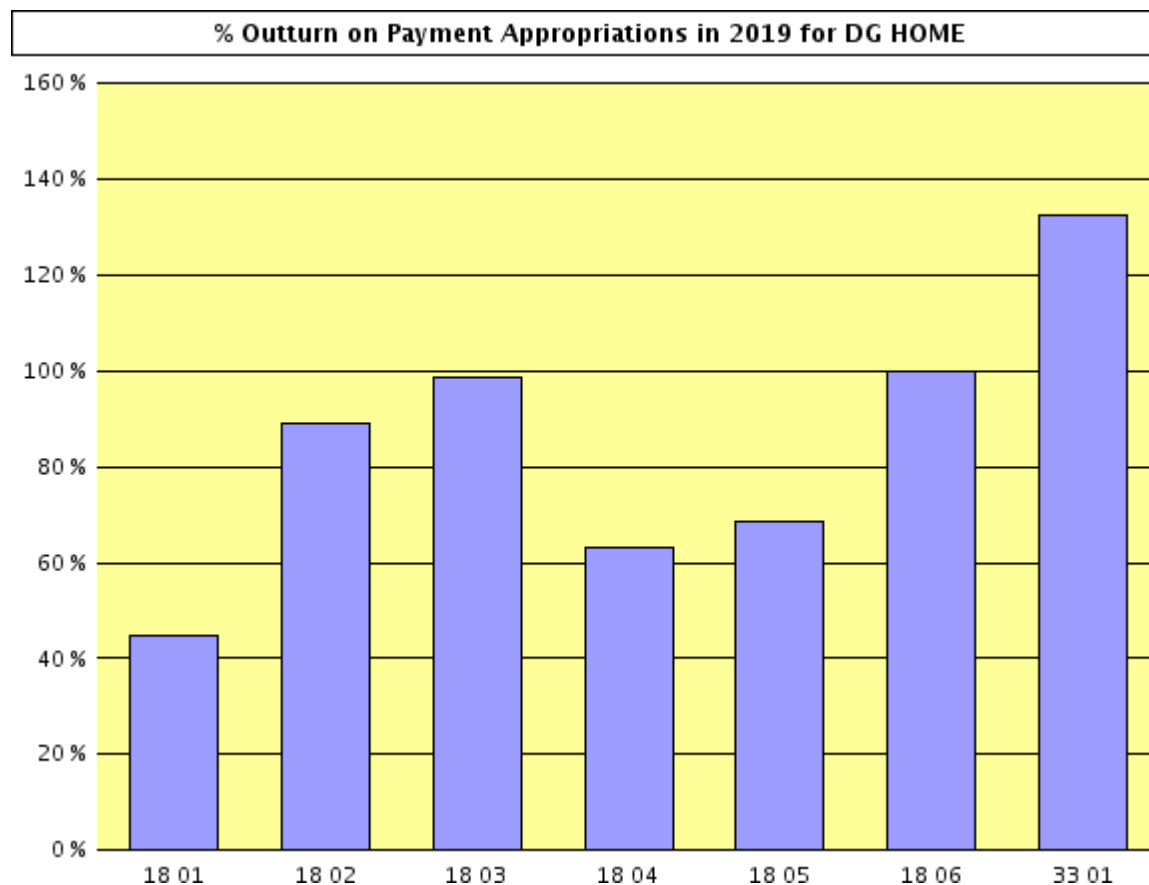


TABLE 3 : BREAKDOWN OF COMMITMENTS TO BE SETTLED AT 31/12/2019 (in Mio €) for DG HOME									
Chapter			Commitments to be settled				Commitments to be settled from financial years previous to 2018	Total of commitments to be settled at end of financial year 2019	Total of commitments to be settled at end of financial year 2018
			Commitments	Payments	RAL	% to be settled			
			1	2	3=1-2	4=1-2/1	5	6=3+5	7
18	18 01	Administrative expenditure of the 'Migration and home affairs' policy area	5,44	3,30	2,14	39,37%	0,00	2,14	2,19
	18 02	Internal security	1.337,67	532,34	805,33	60,20%	1.278,00	2.083,33	2.003,41
	18 03	Asylum and migration	1.284,60	211,81	1.072,79	83,51%	1.812,70	2.885,50	2.681,05
	18 04	Fostering European citizenship	0,00	0,00	0,00	0,00%	0,01	0,01	0,25
	18 05	Horizon 2020 - Research related to security	1,77	0,70	1,07	60,62%	54,18	55,26	85,65
	18 06	Anti-drugs policy	18,16	15,29	2,88	15,83%	1,96	4,83	5,79
Total Title 18			2.647,64	763,43	1.884,21	71,17%	3.146,85	5.031,07	4.778,33

TABLE 3 : BREAKDOWN OF COMMITMENTS TO BE SETTLED AT 31/12/2019 (in Mio €) for DG HOME									
Chapter			Commitments to be settled				Commitments to be settled from financial years previous to 2018	Total of commitments to be settled at end of financial year 2019	Total of commitments to be settled at end of financial year 2018
			Commitments	Payments	RAL	% to be settled			
			1	2	3=1-2	4=1-2/1	5	6=3+5	7
33	33 01	Administrative expenditure of the 'Justice and consumers' policy area	0,37	0,22	0,14	39,53%	0,00	0,14	0,30

Total Title 33	0,37	0,22	0,14	39,53%	0,00	0,14	0,30
-----------------------	-------------	-------------	-------------	---------------	-------------	-------------	-------------

Total for DG HOME	2648,005924	763,65	1884,358985	71,16 %	3146,853737	5031,212722	4778,625595
--------------------------	--------------------	---------------	--------------------	----------------	--------------------	--------------------	--------------------

Breakdown of Commitments Remaining to be Settled (in Mio EUR) at 31/12/2019 for DG HOME

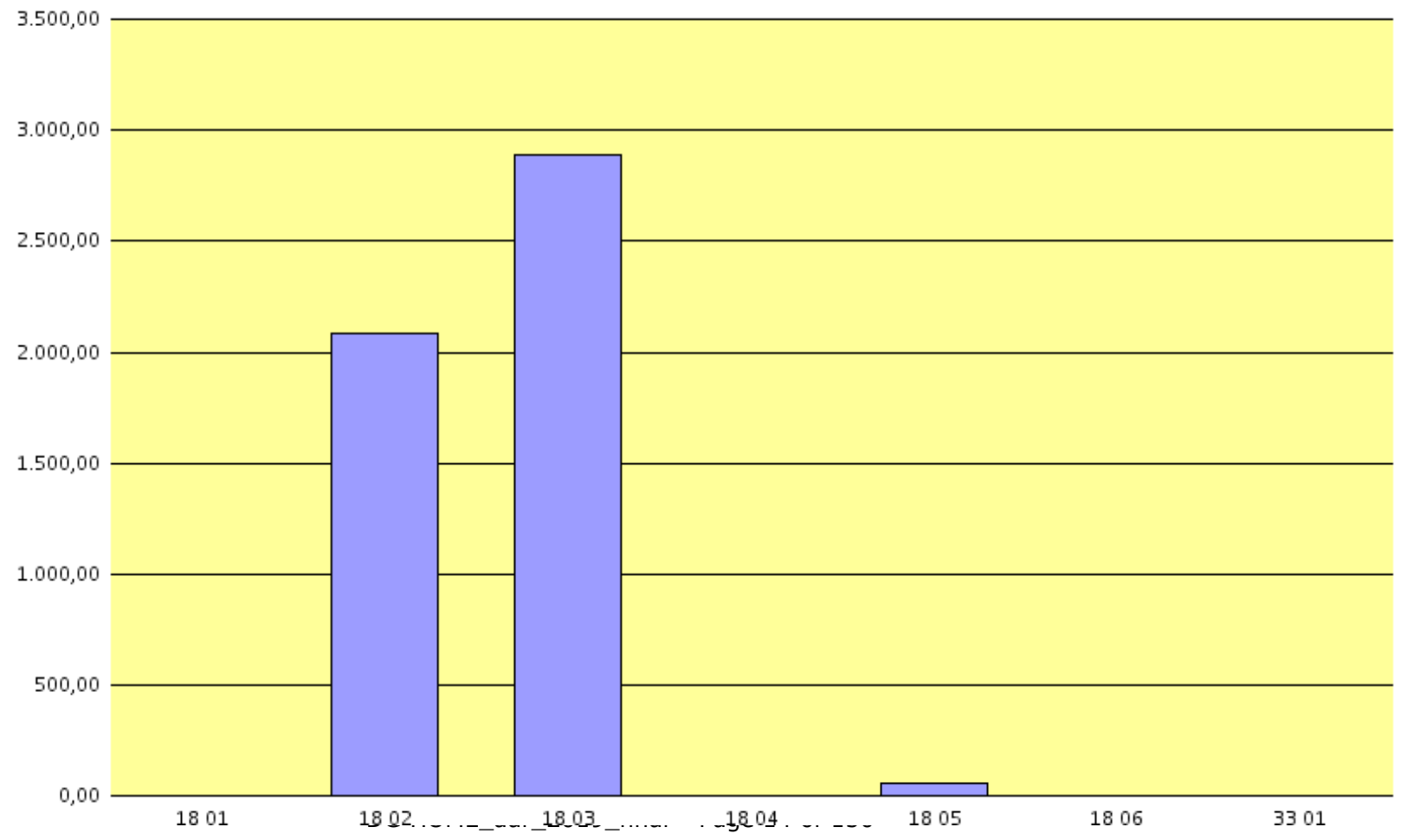


TABLE 4 : BALANCE SHEET for DG HOME

BALANCE SHEET	2019	2018
A.I. NON CURRENT ASSETS	338291684,5	337322117,8
A.I.2. Property, Plant and Equipment	0,00	0,00
A.I.5. Non-Current Pre-Financing	338.291.684,52	337.322.117,77
A.II. CURRENT ASSETS	388205965,9	436804307,5
A.II.2. Current Pre-Financing	383.192.845,57	432.747.559,46
A.II.3. Curr Exch Receiv & Non-Ex Recoverables	5.013.120,37	4.056.748,02
ASSETS	726497650,5	774126425,3
P.II. CURRENT LIABILITIES	-428226119,8	-291986062,8
P.II.4. Current Payables	-311.532.561,28	-40.153.387,35
P.II.5. Current Accrued Charges & Defrd Income	-116.693.558,48	-251.832.675,48
LIABILITIES	-428226119,8	-291986062,8
NET ASSETS (ASSETS less LIABILITIES)	298271530,7	482.140.362,42

TABLE 5 : STATEMENT OF FINANCIAL PERFORMANCE for DG HOME

STATEMENT OF FINANCIAL PERFORMANCE	2019	2018
II.1 REVENUES	-40515400,06	-76645345,71
II.1.1. NON-EXCHANGE REVENUES	-41322852,98	-78951449,95
II.1.1.5. RECOVERY OF EXPENSES	-8.140.508,85	-851.604,43
II.1.1.6. OTHER NON-EXCHANGE REVENUES	-33.182.344,13	-78.099.845,52
II.1.2. EXCHANGE REVENUES	807452,92	2306104,24
II.1.2.1. FINANCIAL INCOME	-107.196,00	-2.573,04
II.1.2.2. OTHER EXCHANGE REVENUE	914.648,92	2.308.677,28
II.2. EXPENSES	2286730815	1771952130
II.2. EXPENSES	2286730815	1771952130
II.2.10.OTHER EXPENSES	6.619.011,02	17.406.798,93
II.2.1. EXP IMPLM BY MEMBER STATES (SHARED)	966.783.358,73	870.519.858,41
II.2.2. EXP IMPLM BY COMMISS&EX.AGENC. (DM)	412.459.166,81	295.246.292,73
II.2.3. EXP IMPL BY OTH EU AGENC&BODIES (IM)	688.195.599,63	585.814.539,07
II.2.4. EXP IMPL BY 3RD CNTR & INT ORG (IM)	212.659.425,08	2.937.506,73
II.2.8. FINANCE COSTS	14.253,38	27.134,13
STATEMENT OF FINANCIAL PERFORMANCE	2.246.215.414,59	1.695.306.784,29

TABLE 5bis : OFF BALANCE SHEET for DG HOME

OFF BALANCE	2019	2018
OB.1. Contingent Assets	0	149474,74
GR for pre-financing	0,00	149.474,74
OB.3. Other Significant Disclosures	-5454067264	-6030026038
OB.3.2. Comm against app. not yet consumed	-4.603.339.568,63	-4.489.838.825,53
OB.3.3.1 Structural operations	-850.727.695,45	-1.540.187.212,32
OB.4. Balancing Accounts	5454067264	6029876563
OB.4. Balancing Accounts	5.454.067.264,08	6.029.876.563,11
OFF BALANCE	0,00	0,00

TABLE 6: AVERAGE PAYMENT TIMES in 2019 for HOME

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)
30	508	446	87,80 %	15,35426009	62	12,20 %	42,22580645
45	10	9	90,00 %	23,66666667	1	10,00 %	46
60	370	349	94,32 %	27,63323782	21	5,68 %	75,9047619
90	119	81	68,07 %	59,03703704	38	31,93 %	133
180	56	54	96,43 %	38,83333333	2	3,57 %	390,5

Total Number of Payments	1063	939	88,33 %		124	11,67 %	
Average Net Payment Time	31,68109125			25,11608094			81,39516129
Average Gross Payment Time	44,15522107			36,70074547			100,6048387

Suspensions							
Average Report Approval Suspension Days	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
9	69	193	18,16 %	1063	##### ##	32,02 %	##### ###

Late Interest paid in 2019			
DG	GL Account	Description	Amount (Eur)
HOME	65010100	Interest on late payment of charges New F	14 253,38
			14 253,38

TABLE 7 : SITUATION ON REVENUE AND INCOME in 2019 for DG HOME

Chapter		Revenue and income recognized			Revenue and income cashed from			Outstanding balance
		Current year RO	Carried over RO	Total	Current Year RO	Carried over RO	Total	
		1	2	3=1+2	4	5	6=4+5	
52	REVENUE FROM INVESTMENTS OR LOANS GRANTED, BANK AND OTHER INTEREST	0,00	1.212,31	1.212,31	0,00	0,00	0,00	1.212,31
59	OTHER REVENUE ARISING FROM ADMINISTRATIVE MANAGEMENT	109.056,03	0,00	109.056,03	109.056,03	0,00	109.056,03	0,00
60	CONTRIBUTIONS TO UNION PROGRAMMES	147.000,00	30,00	147.030,00	147.000,00	30,00	147.030,00	0,00
63	CONTRIBUTIONS UNDER SPECIFIC AGREEMENTS	33.031.134,73	1.156.122,13	34.187.256,86	32.283.424,71	776.762,30	33.060.187,01	1.127.069,85
66	OTHER CONTRIBUTIONS AND REFUNDS	50.680.192,25	2.757.588,66	53.437.780,91	47.857.250,24	1.714.239,25	49.571.489,49	3.866.291,42
90	MISCELLANEOUS REVENUE	4.209,40	53.158,79	57.368,19	4.209,40	0,00	4.209,40	53.158,79
Total DG HOME		83971592,41	3968111,89	87939704,3	80400940,38	2491031,55	82891971,93	5047732,37

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

INCOME BUDGET RECOVERY ORDERS ISSUED IN 2019 Year of Origin (commitment)	Irregularity		Total undue payments recovered		Total transactions in recovery context(incl. non- qualified)		% Qualified/Total RC	
	Nbr	RO Amount	Nbr	RO Amount	Nbr	RO Amount	Nbr	RO Amount
2008	5	675.099,57	5	675.099,57	5	675.099,57	100,00%	100,00%
2009	6	1.280.625,90	6	1.280.625,90	7	1.284.835,30	85,71%	99,67%
2010	4	988.882,27	4	988.882,27	4	988.882,27	100,00%	100,00%
2011	11	2.272.685,65	11	2.272.685,65	12	2.427.243,17	91,67%	93,63%
2012	7	577.214,78	7	577.214,78	8	2.577.699,11	87,50%	22,39%
2013	5	967.102,25	5	967.102,25	10	2.385.804,25	50,00%	40,54%
2014	8	102.795,43	8	102.795,43	11	1.662.680,18	72,73%	6,18%
2015	3	1.036.007,04	3	1.036.007,04	7	2.155.517,33	42,86%	48,06%
2016	2	74.990,16	2	74.990,16	15	5.800.444,97	13,33%	1,29%
2017	1	49.781,56	1	49.781,56	10	2.376.129,52	10,00%	2,10%
2018	1	18.951,93	1	18.951,93	11	28.412.419,41	9,09%	0,07%
No Link	2	128.250,00	2	128.250,00	8	23.631.584,12	25,00%	0,54%
Sub-Total	55	8.172.386,54	55	8.172.386,54	108	74.378.339,20	50,93%	10,99%

EXPENSES BUDGET	Irregularity		OLAF Notified		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
INCOME LINES IN INVOICES							1	8.374,46		
NON ELIGIBLE IN COST CLAIMS	70	7.712.638,80			70	7.712.638,80	72	8.409.022,94	97,22%	91,72%
CREDIT NOTES	10	66.575,00			10	66.575,00	34	954.832,67	29,41%	6,97%
Sub-Total	80	7.779.213,80			80	7.779.213,80	107	9.372.230,07	74,77%	83,00%
GRAND TOTAL	135	15.951.600,34			135	15.951.600,34	215	83.750.569,27	62,79%	19,05%

TABLE 9: AGEING BALANCE OF RECOVERY ORDERS AT 31/12/2019 for DG HOME

	Number at 1/01/2019	Number at 31/12/2019	Evolution	Open Amount (Eur) at 1/01/2019	Open Amount (Eur) at 31/12/2019	Evolution
2014	1	1	0,00 %	84,91	84,91	0,00 %
2015	2	1	-50,00 %	89.699,01	9.456,23	-89,46 %
2016	3	3	0,00 %	685.943,29	685.943,29	0,00 %
2017	3	3	0,00 %	640.085,96	640.085,96	0,00 %
2018	17	2	-88,24 %	2.552.298,72	141.509,95	-94,46 %
2019		10			3.570.652,03	
	26	20	-23,08 %	3.968.111,89	5.047.732,37	27,21 %

TABLE 10 :Recovery Order Waivers >= 60 000 € in 2019 for DG HOME

Waiver Central Key	Linked RO Central Key	RO Accepted Amount (Eur)	LE Account Group	Commission Decision	Comments
--------------------	-----------------------	--------------------------	------------------	---------------------	----------

Total DG HOME	
----------------------	--

Number of RO waiver s	
------------------------------	--

Justifications:

Please enter the text directly (no copy/paste of formatted text which would then disappear when saving the document in pdf), use "ctrl+enter" to go to the next line and "enter" to validate your typing.

TABLE 11 :Negotiated Procedures in 2019 for DG HOME

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

TABLE 12 : Summary of Procedures in 2019 for DG HOME

Internal Procedures > € 60,000

Procedure Legal base	Number of Procedures	Amount (€)
Open Procedure (Art. 104(1) (a) FR)	1	2.000.000,00
Open procedure (FR 164 (1)(a))	7	124.361.538,00
Restricted procedure based on a call for expressions of interest - Preselection of candidates (Annex 1 - 13.3 (a))	1	198.692,00
Total	9	126.560.230,00

TABLE 13 : BUILDING CONTRACTS in 2019 for DG HOME

Legal Base	Procedure subject	LC/FW?	Contract/FW Number	Contractor Name	Contract/FW Subject	Amount (€)

TABLE 14 : CONTRACTS DECLARED SECRET in 2019 for DG HOME

Legal Base	Procedure subject	LC/FW?	LC Contract/Grant type or FW type	LC Date	Contract/FW Number	Contractor Name	Contract/FW Subject	Amount (€)

TABLE 15 : FPA duration exceeds 4 years - DG HOME

None of your FPA (if any) exceeds 4 years

ANNEX 4: Materiality criteria

Materiality criteria and Methodology for measuring the residual amount at risk and determining its materiality.

As from 2019⁶, a 'de minimis' threshold for financial reservations is introduced. Quantified AAR reservations related to residual error rates above the 2% materiality threshold, are deemed not substantial for segments representing less than 5% of a DG's total payments and with a financial impact.

The implementation of this 'de minimis' threshold applies at the level of the AAR reservations, i.e. not at all affecting the detailed reservations at the level of the Payment Agency(s)/Operational Programme(s). Given the amounts involved, this threshold has effect on the AAR reservations of DG HOME for research related funds.

Introduction

Deciding whether a weakness is significant is a **matter of judgement** by the Authorising Officer by Delegation, who remains responsible for the declaration of assurance, including any reservations to it. In doing so, she should **identify the overall impact of a weakness** and **judge whether it is material** enough so that the non-disclosure of the weakness is likely to have an influence on the decisions or conclusions of the users of the declaration. The benchmark for this judgement is the materiality criteria which the AOD sets at the moment of designing the internal control system under his/her responsibility.

For DG HOME, the materiality of residual weaknesses identified (i.e. after mitigating and corrective measures) is assessed based on qualitative and/or quantitative criteria, in line with the instructions for the preparation of the Annual Activity Report.

The **qualitative assessment** includes an analysis of the causes and the types of error (including whether they are repetitive) to conclude on the nature, context and/or scope of the weaknesses identified. This may refer to significant control system weaknesses or critical issues reported by the Authorising Officers by Sub-Delegation (or as part of the IcaT exercise), the European Court of Auditors (ECA), the Internal Audit Service (IAS), DG BUDG or OLAF. Also, the duration and any mitigating controls or corrective actions are taken into consideration.

The **quantitative assessment** aims at estimating any financial impact ("amount at risk") resulting from the errors detected. In line with the standard materiality threshold proposed by the instructions for the preparation of Annual Activity Reports, DG HOME has set the materiality level for each distinct control system with coherent risk characteristics for the amount at risk resulting from the *residual* errors at 2% of relevant payments made in the reporting year, or in case of multi-annual approach over the programming period

This analysis and the conclusions are presented concisely in the body of the Annual Activity Report where the information reported under each building block is summarised and **which logically supports the five statements** included in the Declaration of Assurance (true and fair view, resources used for the intended purpose, sound financial management, legality and regularity, and non-omission of significant information) **for all significant expenditure categories and control systems.**

DG HOME implements its operational budget through three main different methods of implementation: direct management (grants, procurement, sometimes cross-subdelegated to other DGs), indirect management (payments to traditional agencies,

⁶ Agreement of the Corporate Management Board of 30/4/2019.

delegation agreements) and shared management. As these methods of implementation have a different risk profile and its own control and supervision arrangements, the observed quantified weaknesses should be assessed per each distinct control system grouped as follows:

- 1) Shared Management
- 2) Direct management grants– Union actions and emergency assistance grants and research grants
- 3) Direct management - Procurement and other expenditure
- 4) Indirect management

In addition to and separately from the materiality assessment as described below, DG HOME calculates the weighted *average error rate* for its total annual payments and the resulting "overall amount at risk" by applying the relevant (cumulative) *detected* error rate to the relevant annual payments, for each management mode and type of activity. This weighted average error rate is disclosed along the *average recoveries and financial corrections* implemented within the last five years to reach a conclusion on the risk exposure and "estimated future corrective capacity" of the DG, which is presented in the AAR Chapter 2.1.

(1) Chapter A – Qualitative criteria for defining significant weaknesses

For all methods of implementation under its operational budget, the different parameters relevant in DG HOME for determining significant weaknesses are the following ones:

- ✓ **Significant control system weaknesses:** significant control system weakness detected during the period, in reports made by Authorising Officers by Sub-delegation and/or by the audits carried out as far as **traditional agencies** are concerned, and in the framework of the single audit model, the DG's assurance is mainly based on supervisory and monitoring activities, and a verification of the functioning of the control system performed by the Internal Audit Service of the Commission and the European Court of Auditors (DAS), and the outcome of the discharge procedure
- ✓ **Significant shortcoming in internal control standards** appearing in the yearly survey on internal control standards implementation by management.
- ✓ **Insufficient audit coverage and/or inadequate information from the internal control systems.**
- ✓ **Critical issues outlined by the European Court of Auditors, the Internal Audit Service, DG BUDG and OLAF.**

When assessing the significance of any weaknesses, the following factors are taken into account:

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

When significant weaknesses are identified, a quantification of the amount at risk should be carried out when possible (See Chapter B).

In addition, **events** or weaknesses, which have a significant *reputational* impact on DG HOME, or indirectly on the Commission, will be reported irrespective of the amount of damage to the DG HOME's administrative and operational budget and will be considered for issuing a reservation on a reputational basis.

(2) Chapter B – Quantitative criteria for defining reservations

To quantify the potential financial impact of errors detected, it is necessary:

- ✓ **STEP 1: To determine the residual error rate** by
 - Determining the percentage of error in the audited sample of the population;
 - Determining the level of exposure across the entire population (by applying the detected error rates to the whole value of the population and to deduct the amounts corresponding to any corrective actions taken that have already effectively reduced the exposure);
- ✓ **STEP 2: To determine the "amount at risk";**
- ✓ **STEP 3: To determine the (financial) materiality**, compared to the relevant payments for a given control system

Steps 1, 2 and 3 differ from one control system to another, and are presented in this Chapter.

In addition, considering the multi-annual aspects of the programmes managed for grants under direct management and shared management, for this type of expenditure DG HOME favours a *multi-annual approach* by evaluating the *cumulative* budgetary impact of the *residual* errors over the whole programming period. Consequently, the calculation of errors, corrections and materiality of the residual amount at risk is calculated on a "cumulative basis". For other activities, the materiality and risk are assessed on an annual basis as described below.

1. Shared management

1.1. SOLID Funds

1.1.1 STEP 1 – Cumulative Residual Error Rate

All programmes are assessed against audit opinions at national and Commission level based on audits carried out on systems and sample of expenditure. 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:

1. The first element is the **assessment of the functioning of management and control systems (MCSs)** carried out by the audit sector. This assessment is complemented by taking into account the assessment of the operational units and the regular contacts with national authorities (process of adoption/revision of annual programmes, monitoring visits, SOLID committees, closures of annual programmes, etc.). This leads to the management opinion on the functioning of the management and control systems, on a Directorate-General level.
2. The second element is the **error rate reported by the (national) audit authorities** in their annual audit report, based on expenditure incurred for a given annual programme. The audit sector assesses the reliability of the detected error rates for each programme, based on 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. In case the detected error rates are not available, not accurate or found not to be reliable, the audit sector either recalculates them when it has sufficient information in the annual audit report to do so or, alternatively, replaces them by flat rates in line with the results of the assessment of the functioning of management and control systems.
3. The third element is the consideration of the multi-annual aspect of the programmes. Indeed, although DG HOME manages annual programmes, they all fall under the multi-annual programming period 2007/8-2013. In addition, for the vast majority of Member States, the management and control system is stable

over the programming period, thus allowing for the responsible, certifying and audit authorities to implement continuous improvements in the management of annual programmes.

- ✓ For **annual programmes closed**, the audit sector deducts the corrections (recoveries and withdrawals) that have been made by the responsible authorities and, if applicable, by the Commission (corrections for individual files, flat rate financial corrections and corrections following an ex post control). This results in a **residual error rate** for each annual programme, validated by management. Furthermore, a cumulative (average) residual error rate is calculated for programmes covered by a common management and control system (as a rule, each Fund in each MS).
- ✓ In line with DG BUDG and IAS instructions, **running annual programmes**, for which only pre-financings were made, are excluded from the calculation of the residual error since the open pre-financing payments can be considered as being not yet 'at risk'.

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 an actual reduction in the level of the error that remains uncorrected in the population.

1.1.2. Assessment of Annual Programmes (STEP 2 Financial exposure from errors in terms of cumulative "amount at risk")

The amount at risk is calculated by applying the **residual error rate** to the total value of each programme closed since the beginning of the programming period 2007/8-2013. Furthermore, a cumulative amount at risk is calculated for programmes covered by a common management and control system.

This is the Directorate General best estimate of expenditure which is not in full conformity with contractual or regulatory provisions and for which insufficient corrective measures were implemented by the date the annual activity report is signed.

For transparency purposes, the estimation of the amount at risk is presented in the Annex 10 of the AAR by Member State classifying the programmes in four categories of levels of assurance in accordance with the assurance they provide as to the legality and regularity of payments made during the reporting year:

- **Reasonable assurance** means that there is no material deficiency in key elements of the systems (only minor improvements may be needed in some cases) and the **residual error rate** is **below 2%**;
- **Reasonable assurance with low risk** of irregularities covers programmes with a **residual error rate between 2% and 5%**;
- **Limited assurance with medium risk** of irregularities covers programmes with a **residual error rate between 5% and 10%**;
- **Limited assurance with high risk** of irregularities covers programmes with a **residual error rate above 10%**.

1.1.3. Materiality criteria and reservations (Step 3: Materiality and potential reservation)

As management and controls are considered to be specific to each Management and Control System at Member State level, materiality is not assessed and reservations are not decided upon at the level of the ABB activity, but rather at the level of each distinct control system, i.e. separately for each MCS. As a rule, each Fund in a given Member State is considered a separate MCS (i.e. EBF/EIF/RF/ERF).

The Directorate-General therefore assesses each MCS in order to identify reservations and corrective measures to be applied.

- At MCS level, reservations are made as a general rule for all cases for which the cumulative residual error rate exceeds 2% over the 2007/8-2013 programming period.
- If the residual error rate is below 2%, generally no reservation is made.
- The annual impact of a reservation is calculated by applying the cumulative residual error rate to the total value of the relevant payments (i.e. final payments and clearing of pre-financing) during the reporting period for each programme under reservation. A qualitative assessment might be applied to determine whether the reservation is applicable to the payment made during the reporting year.
- In case no payments have been made in the year concerned for a programme under reservation, the reservation could still apply, but would be categorised as a non-quantifiable financial reservation or be made on a reputational/qualitative basis, rather than on a quantitative one.

1.2. AMIF/ISF Funds

1.2.1. Rationale

Unlike the ESIF funds, the legal framework of AMIF-ISF does not provide for the submission of interim payment claims by the Member States during the year. In addition to the annual pre-financing paid to the member States, the latter submit to DG HOME the annual accounts constituting the only request for payment of the annual balance per programme and year. The annual accounts include a management declaration issued by the Responsible Authority and the Audit Authority's opinions on the accounts, the management and control system and the RA's management declaration.

Consequently, DG HOME makes two payments per year and programme: one pre-financing payment and one payment clearing fully or partially, the amount claimed by the Member State in the annual accounts.

DG HOME assurance model is based on pre-financing (advance payments) and payment claims supported by the audit opinions of the Audit Authority. Following the entry into force of revised delegated regulation 1042/2014 in October 2018, as of 2019, the Audit Authorities submitted an annual control report documenting the audit work performed to support the audit opinions accompanying the payment claims, allowing for a more in-depth analysis of the audit work to confirm or otherwise the audit opinions issued. The Audit Authorities carry out their audit work prior to the submission of the annual accounts and to the Commission by 15 February. In case of ineligible amounts or material errors are reported by the Member States in the annual accounts and annual control reports the accounts are partially cleared and the amount not cleared is treated as "amount under examination". Therefore, DG HOME assurance model is based primarily on the audit opinions issued by the national audit authorities

So far, DG HOME audit strategy for AMIF-ISF 2014-2020 programme focuses has been focused on the assessment of the national management and control systems, and especially on the reliability of the audit work of the Audit Authorities.

Novelty: As of financial year 2018 (accounts submitted by Member States on 15/02/2019 or exceptionally 01/03/2019), the Audit Authorities also submit an Annual Control Report (ACR) providing a total error rate and a residual error rate for AMIF and ISF accounts and documenting the audit work underpinning the audit opinions and error rates reported. Consequently, DG HOME assurance model is strengthened with the comprehensive audit work reported in the annual control report

For the 2019 AAR and onwards, the risk "at payment" is estimated by applying the residual error rate reported in the annual control reports and validated or adjusted where applicable by the Commission services to the "relevant expenditure" (i.e. payments and the cleared pre-financing made during the reporting year)

1.2.2. STEP 1 – Cumulative Residual Error Rate (Assessment of National Programmes)

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

1. The Audit Authority's validation of the design of the national management and control system (in particular at the level of the Responsible Authority) in compliance with the designation criteria as defined in Annex I of Commission Delegated Regulation 1042/2014 of 25 July 2014 at the start of the programming period;
2. The assessment of the effectiveness of the national management and control systems carried out by DG HOME audit sector based on all information available, i.e.:

(i) the annual audit opinion issued by the Audit Authority on the functioning of the management and control systems,

(ii) the total error rate and the residual error rate disclosed by the Audit Authority in the Annual Control Report (ACR),

(iii) the results of Commission audit work and/or of all other audit bodies such as the European Court of Auditors, elements received from the financial units in their regular contacts with the national programme authorities etc

DG HOME audit sector concludes on the effectiveness of the management and control system by determining the level of assurance per Key Requirement⁷ of the system per Fund.

3. The assessment of the Audit Authority's opinion on the annual accounts, which covers the true and fair view of the accounts for the relevant financial year and the legality and regularity of the Union expenditure for which reimbursement has been requested to the Commission. Relevant information considered for this assessment include, the total error rate and/or residual error rate reported by the Audit Authority in the annual control report.
4. The audit authority's validation of the management declaration issued by the Responsible Authority for the financial year.
5. The result of the audit work carried out by DG HOME on the annual accounts submitted in February of each year. This audit work will be the basis for the Clearance of the Accounts and the payment of the annual balance for the financial year.

1.2.3. Estimation of the amount at risk (STEP 2 Financial exposure from errors in terms of cumulative "amount at risk")

As of the entry into force in October 2018 of revised delegated regulation 2014/1049, the Audit Authorities have the obligation to report in the annual control report, the total error rate (TER) and the residual error rate (RER) error rates resulting from their audit work.

Consequently, for the AAR 2019, for the computation of the residual error rates and the amounts at risk of each National Programme, DG HOME takes into account the total error rate and residual error rate reported by national audit authorities. These error rates and the underlying audit work done is assessed by DG HOME audit sector as part of the clearance of accounts review exercise and the error rates are either validated or adjusted accordingly.

⁷ Commission Implementing Regulation (EU) 2017/646 of 5 April 2017 amending Implementing Regulation (EU) 2015/378 laying down rules for the application of Regulation (EU) No 514/2014 of the European Parliament and of the Council with regard to the implementation of the annual clearance of accounts procedure and the implementation of the conformity clearance

The validated error rates are used to estimate the residual risk for payments made in the reporting year.

When DG HOME cannot rely or validate the RER reported by the audit authorities due to evidence of inadequate audit work identified during DG HOME audits or audits from other audit bodies (e.g. ECA), the RER to be used for the financial year linked to the AAR is the one associated to the assessment of the levels of assurance, as presented below:

<u>Level of Risk</u>	<u>Flat rate estimation of RER in the absence of relevant information from the AA</u>	<u>Reservation proposed</u>
Category 1: Reasonable assurance	0,50%	No
Category 2: Reasonable assurance with low risk	1,50%	No
Category 3: Limited assurance with medium risk	5,00%	Yes
Category 4: Limited assurance with high risk	10,00%	Yes

1.2.4. Materiality criteria and reservations (Step 3: Materiality and potential reservation)

DG HOME assesses each national programme in order to identify reservations and corrective measures to be applied.

At national programme level, reservations are made **whenever material weaknesses in the overall management and control systems of the national programmes** are detected (either reported by the Audit Authority, identified by the European Commission's audit work or audit work by other audit bodies e.g. Court of Auditors), independently at this stage from any calculation of the cumulative residual risk/residual risk rate.

As a general rule, a programme is put under reservation if DG HOME has firm information from its own audit conclusions, those of the Court of auditors or of other audit bodies, that payments cleared in previous years are not in compliance with Union and national rules and for which sufficient corrective measures were not implemented before end of March (deadline for preparation of draft AAR).

1. The overall management and control system is assessed by DG HOME as Category 3 or Category 4;
2. Evidence of material legality and regularity issues in the payments made by DG HOME without sufficient corrective measures implemented by the Member State (e.g. residual error rate above the 2% materiality level)
3. Material issues on the completeness, accuracy and veracity of the accounts detected by the Commission.
4. Cumulative residual error rate above 2%.

In case there is no financial risk for the reporting year for a programme under reservation (e.g. when DG HOME made no payments for the programme during the AAR reporting year or when the payments made are not affected by the issues triggering the reservation), the reservation is made on a **non-quantifiable or reputational** basis. These reservations are made for deficiencies of a qualitative nature (e.g. significant systemic deficiencies or major control failures in the management and control system of the national programmes)

The national programmes are classified in three categories:

National programmes not under reservation:

- **Reasonable assurance** means that there is no material deficiency in key elements of the management and control systems (only minor improvements may be needed in some cases) and there are no material issues as regards the legality and regularity of the payments reported in the annual accounts (unqualified opinion from the Audit Authority);
- **Reasonable assurance with low risk** of irregularities covers programmes with the existence of some deficiencies in key elements of the management and control systems without material impact on the EU Budget; and there are no material issues with both the legality and regularity of the payments reported in the annual accounts (unqualified opinion from the Audit Authority or qualified opinion with an estimated impact of the qualification limited – if provided, reported residual risk below 2%).

National programmes under reservation:

- **Limited assurance with high risk** of irregularities covers
 - programmes with the existence of deficiencies in the overall management and control systems with a material risk for the EU budget and for which no adequate corrective measures have been yet implemented); and/or
 - programmes with material legality and regularity issues and insufficient financial corrections implemented (residual total error rate remains above 2%); and/or
 - programmes with material issues on the completeness, accuracy and veracity of the accounts.

2. Direct management – research grants

Research grant expenditure is composed of directly managed FP7 and H2020 grants. The error rate affecting the payments is estimated yearly and per management system, following a relevant methodology that takes into account the risk associated to the type of expenditure (in terms of probability and final financial impact).

Research framework programmes – common aspects

The assessment of the effectiveness of the different programmes' control system is based mainly, but not exclusively, on ex post audits' results. The effectiveness is expressed in terms of detected and residual error rate, calculated on a representative sample.

General ex post methodology

The Common Representative Sample (CRS) provides an estimate, via a representative sample of cost claims across the Research and Innovation Family, of the **overall level of error** in the Research Framework Programmes, across all services involved in its management. All of these grants follow the same homogeneous overall control system set out in this report.

The CRS is complemented by 'risk-based' audits; audits selected according to one or more risk criteria. These audits are intended to detect and correct as many errors as possible, for instance by targeting the larger beneficiaries and through the identification of possibly fraudulent operators. These audits are also referred to as 'corrective' audits.

Different indicators are calculated to provide a comprehensive view of legality and regularity:

Overall Detected Error Rate: this is the error rate derived from the results of all audits, whether audits on a representative sample of beneficiaries or audits implemented for other reasons (large beneficiaries, preventive audits, risk factors, etc). Its value is cumulative and can be calculated for a specific implementing body or for the whole Research and Innovation Family.

Representative Error Rate for the Framework Programme: this is the error rate derived solely from the results of the CRS, extrapolated to the overall population and calculated for each FP as a whole. This error rate provides an estimate of the level of error in the given Framework Programme at the time of the audits, but does not factor in the follow-up and corrections/recoveries undertaken by Commission services after the audit, nor does it provide information on the net final financial impact of errors.

Residual Error Rate: the residual error rate, on a multi-annual basis, is the extrapolated level of error remaining after corrections/recoveries undertaken by Commission services following the audits that have been made. The calculation of the residual error rate, as shown below is based on the following assumptions:

1. all errors detected will be corrected;
2. all non-audited expenditure of audited beneficiaries is clean from systematic material errors so that the residual error rate in this expenditure can be estimated to be equal to the non-systematic part of the representative error rate (for expenditure subject to extension of audit findings this is only assumed when the respective extension procedures have been closed).

The residual error rate develops over time and depends on the assumptions set out above. This indicator is reliable and acceptable for the purposes for which it was intended, i.e. as a legality and regularity indicator on the progress made, through its ex post audit strategy, in dealing with errors over a multi-annual basis. However, it remains an estimate as long as not all cost claims have been received and not all cases of extension of audit findings have been fully implemented yet.

Residual error rate calculation and assessment of the effectiveness of controls

This results in a residual error rate, which is calculated in accordance with the following formula:

$$ResER\% = \frac{(RepER\% * (P - A)) - (RepERSys\% * E)}{P}$$

where:

ResER%	residual error rate, expressed as a percentage.
RepER%	representative error rate, or error rate detected in the common representative sample, expressed as a percentage. For FP 7 this rate is the same for all Research services.
RepERSys%	portion of the RepER% representing (negative) systematic errors, expressed as a percentage. The RepER% is composed of two complementary portions reflecting the proportion of negative systematic and non-systematic errors detected.
P	total aggregated amount in euros of EC share of funding in the auditable population. In FP7, the population is that of all received cost statements, and the euros amounts those that reflect the EC share included in the costs claimed in each cost statement. In H2020, it is total requested EC contribution (€) in the auditable population (i.e. all paid financial statements).
A	total EC share of all audited amounts (FP7) or the share approved by financial officers (H2020), expressed in euro. This will be collected from audit results.
E	total non-audited amounts of all audited beneficiaries. In FP7, this consists of the total EC share, expressed in euro, excluding those beneficiaries for which an extrapolation is ongoing).

The Common Representative Sample (CRS) is the starting point for the calculation of the residual error rate. It is representative of the expenditure of each FP as a whole. Nevertheless, the Director-General (or Director for the Executive Agencies) must also take into account other information when considering if the overall residual error rate is a sufficient basis on which to draw a conclusion on assurance (or make a reservation) for specific segment(s) of FP7/Horizon 2020. This may include the results of other ex post audits, ex ante controls, risk assessments, audit reports from external or internal auditors, etc. All this information may be used in assessing the overall impact of a weakness and considering whether to make a reservation or not.

If the CRS results are not used as the basis for calculating the residual error rate this must be clearly disclosed in the AAR, along with details of why and how the final judgement was made.

In case a calculation of the residual error rate based on a representative sample is not possible for a FP for reasons not involving control deficiencies,⁸ the consequences are to be assessed quantitatively by making a best estimate of the likely exposure for the reporting year based on all available information. The relative impact on the Declaration of Assurance would be then considered by analysing the available information on qualitative grounds and considering evidence from other sources and areas. This should be clearly explained in the AAR.

Multiannual approach

The Commission's central services' guidance relating to the quantitative materiality threshold refers to a percentage of the authorised payments of the reporting year of the ABB expenditure. However, the Guidance on AARs also allows a multi-annual approach, especially for budget areas (e.g. programmes) for which a multi-annual control system is more effective. In such cases, the calculation of errors, corrections and materiality of the residual amount at risk should be done on a "cumulative basis" on the basis of the totals over the entire programme lifecycle.

Because of its multiannual nature, the effectiveness of the Research services' control strategy can only be fully measured and assessed at the final stages in the life of the framework programme, once the ex post audit strategy has been fully implemented and systematic errors have been detected and corrected.

In addition, basing materiality solely on ABB expenditure for one year may not provide the most appropriate basis for judgements, as ABB expenditure often includes significant levels of pre-financing expenditure (e.g. during the initial years of a new generation of programmes), as well as reimbursements (interim and final payments) based on cost claims that 'clear' those pre-financings. Pre-financing expenditure is very low risk, being paid automatically after the signing of the contract with the beneficiary.

Notwithstanding the multiannual span of their control strategy, the Director-Generals of the Research DGs (and the Directors of ERCEA, REA, and, for Horizon 2020, EASME and INEA) are required to sign a statement of assurance for each financial reporting year. In order to determine whether to qualify this statement of assurance with a reservation, the effectiveness of the control systems in place needs to be assessed not only for the year of reference but also with a multiannual perspective, to determine whether it is possible to reasonably conclude that the control objectives will be met in the future as foreseen.

In view of the crucial role of ex post audits defined in the respective common audit strategies, this assessment needs to check in particular whether the scope and results of the ex post audits carried out until the end of the reporting period are sufficient and adequate to meet the multiannual control strategy goals.

The criteria for making a decision on whether there is material error in the expenditure of the DG or service, and so on whether to make a reservation in the AAR, will therefore be

⁸ Such as, for instance, when the number of results from a statistically-representative sample collected at a given point in time is not sufficient to calculate a reliable error rate.

principally, though not necessarily exclusively, based on the level of error identified in ex post audits of cost claims on a multi-annual basis.

Adequacy of the audit scope

The quantity of the (cumulative) audit effort carried out until the end of each year is to be measured by the actual volume of audits completed. The data is to be shown per year and cumulated, in line with the current AAR presentation of error rates. The multiannual planning and results should be reported in sufficient detail to allow the reader to form an opinion on whether the strategy is on course as foreseen.

The Director-General (or Director for the Executive Agencies) should form a qualitative opinion to determine whether deviations from the multiannual plan are of such significance that they seriously endanger the achievement of the internal control objective. In such case, she or he would be expected to qualify his annual statement of assurance with a reservation.

Research framework programmes – specific aspects

The control system of each framework programme is designed in order to achieve the operational and financial control objectives set in their respective legislative base and legal framework. If the effectiveness of those control systems does not reach the expected level, a reservation must be issued in the annual activity report and corrective measures should be taken.

Each programme having a different control system, the following section details the considerations leading to the establishment of their respective materiality threshold and the conclusions to draw with regard to the declaration of assurance.

Seventh Framework programme

For the Seventh Framework programme, the general control objective, following the standard quantitative materiality threshold proposed in the Standing Instructions for AAR, is to ensure that the residual error rate, i.e. the level of errors which remain undetected and uncorrected, does not exceed 2% by the end of the programmes' management cycle.

The question of being on track towards this objective is to be (re)assessed annually, in view of the results of the implementation of the ex post audit strategy and taking into account both the frequency and importance of the errors found as well as a cost-benefit analysis of the effort needed to detect and correct them.

Research and Innovation Family DGs made continuous efforts to mitigate the risk of error in FP7 expenditure, including:

- a number of simplifications (for example those contained in the Commission Decision of 2011) and modifications to the Model Grant Agreement;
- a major communication campaign targeting beneficiaries and their auditors;
- continuous review of ex ante control procedures, often based on the results of audits by the Commission's auditors as well as those of the European Court of Auditors.

With only one CRS item remaining open, the audit strategy for FP7 is now considered to be fully implemented.

Horizon 2020 Framework Programme

As in 2018, the above-presented error rates should be treated with caution. Since not all results of the three CRS are yet available, the error rate is not fully representative of the expenditure being controlled. Moreover, the nature of expenditure in the first years of the programme may not be totally representative of the expenditure across the whole period. As Horizon 2020 is a multi-annual programme, the error rates, and especially the residual error rate, should be considered within a time perspective. Specifically, the cleansing effect of audits will tend to increase the difference between the representative

detected error rate and the cumulative residual error rate, with the latter finishing at a lower value.

As was the case last year, there is evidence that the simplifications introduced in Horizon 2020, along with the ever-increasing experience acquired by the major beneficiaries, affect positively the number and level of errors. However, it should be clear that beneficiaries still make errors, sometimes because they lack a thorough understanding of the rules, sometimes because they do not respect the rules.

In conclusion, DG HOME considers that the 2019 cumulative residual error rate will fall within the target range established in the Financial Statement⁹, and therefore a reservation is not necessary for the Horizon 2020 expenditure.

Following a review of a sample of ex-post audits and referring to the Commission's methodology for the calculation of the H2020 error rate, the European Court of Auditors observed that "... ex-post audits aim for maximum coverage of the accepted costs, but rarely cover all the costs. The error rate is calculated as a share of all the accepted costs, instead of the amount actually audited. This means that the denominator in the error calculation is higher, so the error rate is understated. In case the errors found are of a systemic nature, the error is extrapolated which partially compensates for the above-mentioned understatement. However, since extrapolation is not performed for non-systemic errors, the overall error rate is nevertheless understated. The understatement of the error rate cannot be quantified. It is, then, impossible to determine whether the impact of this understatement is significant." As a result, the Court introduced recommendation 5.3 to address this observation, which was accepted by the Commission.

In response, the Commission is re-defining its methodology for calculating the H2020 error rate in line with the Court's observations. For the year 2019, the Commission does not have all the data necessary to calculate the error rate according to the revised methodology. However, in order to quantify the understatement mentioned by the Court in its report, it recalculated the error rate based on the sample of 40 audits finalised in 2018 and 2019 selected by the Court for its own DAS work. The methodology applied is that in the cases of non-systemic errors, the denominator used in the error calculation is the sum of costs actually audited and not the sum of all accepted costs. The application of the revised methodology on the 40 samples resulted in an error rate higher, on average, by 0.34% in comparison to the error rate calculated by applying the methodology used in the past. This additional error rate of 0.34% has been used to top up the detected error rate for 2019 calculated according to the methodology used in the past.

Regarding the future, the Commission will adapt its methodology for the calculation of Horizon 2020 error rate in line to the Court's observations starting with the audits finalised as from January 2020 on.

3. Direct management – Grants (Union actions and emergency grants)

For the direct management of grants, the assessment of the residual error rate and amount at risk not detected by the implementation of adequate ex ante elements of the internal control system is carried out through an analysis of the accumulated results of the ex post audits.

3.1 STEP 1 – Cumulative Residual Error Rate

A. Adequacy of the audit scope

⁹ A cumulative residual error rate within a range of 2-5 % and at the same time as close as possible to 2%, without necessarily expecting it to be under 2%.

(Cumulative) Auditable population (scope of the analysis) (amount) = value of all grants relating to the programming periods 2007-2013 & 2014-2020 for which a final payment or a recovery order has been issued before 31st December of the reporting year (= "closed" grants). The value considered is the total grant value as initially paid after the ex- ante controls (including interim and final payments, plus related cleared pre-financing and recoveries).

(Cumulative) Audited population (amount) = value of amounts audited (amount declared by the beneficiary multiplied by the percentage of audit coverage), relating to the programming periods 2007-2013 & 2014-2020, and for which the audit report was finalised and transmitted to the AOSD before 31st December of the reporting year.

B. Results of the audits finalised since the start of the programming periods

(Cumulative) Detected error (amount) = For audited grants, total grant value as initially paid after the ex-ante controls minus grant value as calculated after the ex post controls¹⁰.

(Cumulative) Detected error rate (%) = Detected error divided by the audited population (amount).

C. Determination of the residual error rate

(Cumulative) Corrections made (amount): all recovery orders issued until March of the year following the reporting year and relating to audited grants of the respective programming periods.

(Cumulative) Uncorrected detected errors (amount) = All detected errors pending recovery (Detected error (amount) minus corrections made (amount)).

(Cumulative) Residual error rate in the audited population (%) = Uncorrected amount divided by the audited population.

(Cumulative) Residual error rate in the entire population (%) = (uncorrected errors detected in the audited population plus detected error rate multiplied by the non-audited population divided by the auditable population).

3.2 STEP 2: Financial exposure from errors in terms of cumulative "amount at risk"

(Cumulative) Amount at risk (net amount) = uncorrected errors detected plus non-audited population multiplied by detected error rate

3.3 STEP 3: Materiality and potential reservation

As long as the residual error rate has not (yet) decreased to below 2% set as a multiannual target, a reservation should be considered.

In case this multi-annual analysis leads to a reservation, then (in view of the annual scope of the AAR) the related actual financial exposure on the authorised payments of the reporting year is calculated by multiplying the cumulative residual error rate by the sum of direct grants payments based on cost statements actually processed and pre-financings cleared in a given year.

4. Indirect management: Payments to traditional agencies

¹⁰ Positive amounts only. In case, following this calculation, the result would be a negative amount, it should be brought back to zero.

4.1 STEP 1 –Residual Error Rate

The Community subsidy is paid to the Agencies through maximum four payments a year, on the basis of an analysis of the real cash flow needs of the Agencies. Once an admissible payment request is registered by DG HOME, payments are made within 30 calendar days. If information comes to the notice of DG HOME which puts in doubt the eligibility of expenditure appearing in a payment request, DG HOME may suspend the time limit for payment for further verifications and/or take any appropriate measures in accordance with the principles of sound financial management. This above mentioned information includes suspicion of irregularity committed by the Agency in the implementation of the subsidy and suspected or established irregularity committed by the Agency in the implementation of a contract or another grant agreement or grant decision funded by the General Budget of the European Union or by any other budget managed by the Agency. If the balance of the budgetary outturn account is positive, it shall be repaid by the Agency to the Commission during the first semester of year N+1 on the basis of a debit note issued by the Commission.

The controls operated on the use of these payments, i.e. either management's supervision of audits carried out by the Internal Audit Service (IAS) or the European Court of Auditors (ECA) may result in the detection of compliance errors or irregularities. These are mainly **payment or recovery (amount) errors**: i.e. cases where, without the error, the amount paid to or recovered from beneficiary would have been different. In this case, as long as it remains uncorrected, the difference in amount is to be treated as an error with its consequences on the (cumulative) error rate.

4.2 STEP 2: Financial exposure from errors in terms of "amount at risk"

The real actual 'net'¹¹ financial impact of the errors defined under step 1 is considered as amount at risk, and (if very significant) its 'quantitative' materiality is considered for a potential financial reservation.

4.3 STEP 3: Materiality and potential reservation

To determine the materiality of the amount at risk the total amount at risk is divided by the total value of payments made in a given year for each Agency. If the amount at risk exceeds 2%, a reservation should be considered.

Besides a financial risk, other elements are considered for issuing a reservation due to a reputational risk in relation to Agencies' activities. Such information may stem, for example, from critical issues raised by the Internal Audit Service or Court of Auditors on the Agencies' management and control systems. In view of the seriousness of the findings, a reputational reservation is considered e.g. when affecting a significant part of the related activity, when being systemic, when causing a (risk of) fall-out in press and/or public, etc.

5. Indirect management: Delegation Agreements

5.1 STEP 1 –Residual Error Rate

Under the indirect management mode – delegation agreements, DG HOME relies on the Commission's assessment of the internal control system of the concerned organisations, so called pillar assessments, before entrusting budget implementation tasks to these entities through the signing of the delegation agreements.

The delegation agreements are selected for verifications on a non-statistical basis (e.g. risk-based), in order to address specific areas of concern. Further adjusting

¹¹ Any correction actually made by the Commission should be deducted from the detected error

factors may be taken into consideration for the selection of the grants. In particular, Financial Units may also provide information on identified risks for certain projects which they believe should undergo ex-post verification.

The Commission has signed Financial and Administrative Framework Agreements (FAFA) with the UN, with the aim of establishing a closer partnership. Among the conditions, the FAFA limits the extent to which financial verifications can be done by the Commission. As a result, only a small portion of a project expenditure can be verified. If irregular expenditure is found within the selected items, the FAFA does not allow to increase the sample or to extend the error to not verified expenditure. Instead, the the UN organisation and the Commission may wish to jointly request the respective UN internal audit services to assess the full scope of the findings detected. Consequently, due to limitations of FAFA, DG HOME cannot fully determine all irregular amounts of the grants under verification or respective error rate.

For the reasons indicated above (risk-based selection and limitation of the audit scope), the errors detected in the audited delegation agreements cannot be extrapolated to the whole population.

DG HOME audited one delegation agreement with UNHCR as part of the Annual Audit Plan 2018.

5.2 STEP 2: Financial exposure from errors in terms of "amount at risk"

The real actual 'net' financial impact of the errors defined under step 1 is considered as amount at risk, and (if very significant) its 'quantitative' materiality is considered for a potential financial reservation.

6. Procurement and other expenditure

6.1 STEP 1 –Residual Error Rate

Procurement-related errors can occur both in contracts awarded by the Commission and in contracts awarded by grant beneficiaries who subsequently submit the expenditure for reimbursement.

Errors incurred by grant beneficiaries are covered under the section related to grants, whereas this section covers the errors potentially occurring in contracts awarded by DG HOME.

The DG's own controls and/or internal and external audits (Internal Audit Service or the European Court of Auditors) carried out on these operations, may result in the detection of compliance errors or irregularities. These can be classified in two categories for the purpose of assessing their impact on the assurance:

- ✓ **Payment (amount) errors:** i.e. cases where, without the error, the amount paid would have been different. In this case, as long as it remains uncorrected, the difference in amount is to be treated as an error with its consequences on the error rate;
- ✓ **Procedural (contract selection and award) errors** are those which seriously impair the application of the principles of "open, fair, transparent competition" and "award to the best qualified bidder", i.e. cases where the contractor selected might have been different if the procedure would have been correct. In these cases, the size of the error is, by default, set at 100% of the transaction amount and included into the calculation of DG HOME's error rate. This is in line with ECA's new approach and is necessary to comply with the principle of transparency and allow stakeholders to compare the Commission's error rate with the one published by the ECA.

6.2 STEP 2: Financial exposure from errors in terms of "amount at risk"

The financial exposure differs depending on the type of errors:

- ✓ For **payment (amount) errors**: the amount at risk is the real actual 'net'¹² financial impact of the errors and its 'quantitative' materiality is considered for a potential financial reservation. These financial procurement errors are taken into consideration for the application of the quantitative materiality criteria
- ✓ For **procedural (contract selection and award) errors**, DG HOME considers that even when the contractor should/could have been different, this does not always mean that the full (100%) value of the contract is 'at risk' (or that the taxpayer's money would be entirely 'lost'). Consequently, these kinds of errors cannot be considered for making a financial reservation (given that in terms of materiality the actual financial impact cannot be quantified in a consistent way with the payment errors) and are therefore not included in the calculation of the actual financial exposure (amount at risk). However, given that DG HOME acknowledges the seriousness of breaching any of the key principles of public procurement, these types of procurement errors are considered for making a potential *reputational* reservation, rather than a financial one (e.g. when affecting a significant part of the related activity, when being systemic and affecting more/all of DG HOME's procurement processes, when causing a fall-out in press and/or public, etc. – see below).

6.3 STEP 3: Materiality and potential reservation

For payment (amount) errors: The materiality of the amount at risk is obtained by dividing the total amount at risk by the total value of payments made in a given year for procurement and other expenditure. If the amount at risk exceeds 2%, a *financial* reservation should be considered.

For **procedural (contract selection and award) errors**, in view of the seriousness of the (type) of procurement error, a *reputational* reservation is considered e.g. when affecting a significant part of the related activity, when being systemic and affecting more/all of DG HOME's procurement processes, when causing a fall-out in press and/or public, etc.

¹² Any correction actually made by the Commission should be deducted from the detected error.

ANNEX 5: Relevant Control System(s) for budget implementation (RCSs)

1. Shared management

STEP	ACTIVITIES		
Ex ante (2014-2020)	Negotiation and assessment/approval of spending proposals (including revision of NPs)	Implementation of operations by Member States on expenditure	Monitoring and supervision of the execution of national programmes; clearance of accounts
Ex post (2007-2013 and 2014-2020)	Ex post audits and desk reviews on the legality and regularity of expenditure	Implementing results from ex post audits	

2. Direct management - Grants

STEP	ACTIVITIES		
Ex ante (2014-2020)	Preparation, adoption and publication of AWP and Calls for proposals	Selection and award; contracting	Monitoring of the execution
Ex post (2007-2013 and 2014-2020)	Ex post audits on the legality and regularity of expenditure	Implementation of recommendations from ex post audits	

3. Direct management - Procurement

STEP	ACTIVITIES		
Ex ante	Planning and needs assessment; tendering	Evaluation and selection of the offers ¹³ ; contracting	Monitoring of the implementation of contracts
Ex post	Not applicable as DG HOME procurement is audited by IAS and ECA		

4. Indirect management - Entrusted Entities and Decentralised Agencies

STEP	ACTIVITIES		
Ex ante	Establishment (or modification) of the mandate to the entrusted entity and assessment of its financial and control framework	Monitoring, supervision and reporting	Payment of contribution (EE) and annual subsidy (DA)

¹³ For H2020, DG HOME uses framework contracts of other DGs, therefore this step is not applicable to transactions for H2020.

	Establishment of MoU with decentralised agencies		
Ex post	<p>Ex post audits on the legality and regularity of expenditure of EE under FAFA</p> <p>No ex post audits on DA (as carried out by IAS and ECA) but as parent DG follow up of the discharge process of decentralised agencies is ensure</p>	Follow up of the discharge process of decentralised agencies	

1. Shared management (MFF 2014-2020 – except when explicitly referred to MFF 2007-2013)

Step 1 – ex ante

Main risks It may happen (again) that...	Mitigating controls	Coverage, frequency and depth of controls	Cost-effectiveness indicators (three E ¹⁴)
<p>The National Programmes (NPs)¹⁵ financed through AMIF and ISF do not adequately reflect the policy objectives or priorities</p> <p>Lack of complementarity with initiatives programmed by other DGs in migration and security</p>	<p>Revisions of the NPs through a process that includes:</p> <ul style="list-style-type: none"> - Senior-level policy dialogues with the MSs to focus on objectives, results and impacts - Internal procedures to help actors during the revision phase and guidance to MSs - Internal consultation (financial and policy contents), validation at DG level of each revised NP. - Checkboards and discussions in weekly meetings. - Inter-service consultation with relevant DGs and adoption of the NPs 	<p>Coverage and frequency: 100%</p> <p>Depth: guidelines and requirements set in applicable regulatory provisions, checklist.</p>	<p>Effectiveness: % of NP revisions adopted as compared to previous years</p> <p>Efficiency: Average time to revise a NP</p> <p>Economy: Cost of controls by COM staff over total value of payments</p>
<p>Management and control systems (MCS) set up by the RA no longer compliant with the designation criteria</p> <p>Controls by the RA are not timely or duly documented</p> <p>Annual accounts submitted to the Commission include expenditure</p>	<p>At the level of <u>Responsible Authority</u> (RA):</p> <ul style="list-style-type: none"> - Control activities for selection of projects - Controls for verification of payment claims submitted by the beneficiaries (administrative and on the spot controls) - Controls for payments, accounting, advance payments, debt management, rules regarding irregularities and anti-fraud measures and recoveries when necessary - Operational and financial reporting to the 	<p>Coverage: as set in the regulatory framework. In particular, verifications carried out by the RA cover administrative, financial and technical contents of projects, and include 100% administrative verifications of the applications for reimbursement submitted</p>	<p>Effectiveness: level of assurance given by DG HOME to the management and control systems set up by MSs</p> <p>Efficiency: low rate of partial clearance of accounts by COM (clearance/total accounts) and trend over last two years</p>

¹⁴ Effectiveness, Efficiency, Economy.

¹⁵ For DG HOME actions, programmes and projects under the 2014-2020 MFF (AMIF and ISF).

Main risks It may happen (again) that...	Mitigating controls	Coverage, frequency and depth of controls	Cost-effectiveness indicators (three E¹⁴)
<p>irregular or non-compliant with EU and/or national eligibility rules and legislation.</p> <p>Submission of the accounts after the deadline set in the Regulation 514/2014.</p> <p>Beneficiaries not fully aware of their obligations (e.g. eligibility of expenditure, procurement rules, indicators, retention of documents)</p> <p>Quality of AA audit work is not reliable (limited reliance on AA audit work)</p> <p>The controls and audits by MS fail to detect and correct ineligible costs</p> <p>The audit work carried out by the AA is insufficient to obtain adequate assurance</p> <p>COM fail to take appropriate measures to safeguard EU funds, based on the information received.</p>	<p>COM</p> <ul style="list-style-type: none"> - RA guidance and continuous assistance to (potential) beneficiaries - Realistic planning by RA in close coordination with AA <p>At the level of <u>Audit Authority</u> (AA):</p> <ul style="list-style-type: none"> - Audits at the level of RA to ascertain the reliability of the controls put in place by the RA (system audits and audits on sample of expenditure included in the annual accounts) - Possibility to carry out on the spot checks at the level of beneficiary - Annual audit opinion as per article 63 of the Financial Regulation <p>System audits by COM</p> <p>Revision of audit opinions issued by AA</p> <p>Re-performance by COM of AA audit work</p> <p>Audits by the European Court of Auditors (and the IAS to a limited extent)</p>	<p>by the final beneficiaries.</p> <p>Depth</p> <p>First-level checks (administrative and on the spot controls) as management verifications.</p> <p>System audits by the AA on the RA</p> <p>Audits of expenditure by AA</p> <p>Clearance of accounts by COM</p> <p>Monitoring missions by COM</p> <p>2014-2020 Coverage: all audit opinions by AA Sampling of MCSs based on annual risk assessment</p>	<p>Time-to-pay annual clearance (and % of payments within delays)</p> <p>Economy: Cost of controls by COM staff over total value of payments</p> <p>Stable or lower number of monitoring missions by DG HOME over the last three years</p>

Step 2 – ex post (only for MFF 2007-2013 as ex post audit on expenditure not planned yet on AMIF/ISF 2014-2020)

Main risks It may happen (again) that...	Mitigating controls	Coverage, frequency and depth of controls	Cost-Effectiveness indicators (three E)
<p>2007-2013 The management verifications and subsequent controls by the Member States have failed to detect and correct ineligible costs or calculation errors.</p>	<p>2007-2013 Ex post audits by DG HOME on expenditure Financial corrections implemented by DG HOME</p>	<p>2007-2013 Coverage: sampling based on annual risk assessment Audit of the expenditure certified to DG HOME Depth: audits of the quality and reliability of the information based on DG HOME 's own audits; validation and where necessary adjustment of error rates reported by MS to calculate the cumulative residual error risk (RER).</p>	<p>Effectiveness: estimate of (residual) amount at risk per MS and cumulated. Cumulative residual risk below materiality (2007-2013 only) Errors detected by ex post audits Efficiency: time-to-final payment (and % of payments within delays) Economy: Overall cost of ex post controls over total payments</p>

2. Direct management - Grants

Step 1 – ex ante

Main risks It may happen (again) that...	Mitigating controls	Coverage, frequency and depth of controls	Cost-Effectiveness indicators (three E)
<p>Delays occur in adopting the Financing Decision or AWP</p> <p>The AWP is published later than 31 March of the year of implementation</p> <p>The AWP/Call does not adequately reflect the objectives pursued and/or the eligibility, selection and award criteria are not adequate to allow proper evaluation of the proposals</p> <p>The AWP/Call does not contain the information required in the regulatory framework</p> <p>Calls for proposals and AWPs are not adequately published and fail to reach all target groups.</p>	<p>Communication between the financial and policy units on objectives/instruments (regular meetings)</p> <p>Hierarchical validation within the authorising department</p> <p>Inter-service consultation</p> <p>Adoption by the Commission</p> <p>Use of documents for checks based on corporate templates</p>	<p>Coverage: 100% of all AWPs/calls</p> <p>Frequency: during the preparation of each AWP/call</p> <p>Depth: all AWPs are thoroughly reviewed at all the competent levels of both operational and financial management.</p>	<p>Effectiveness: awarded budget over available budget</p> <p>Efficiency: time to inform</p> <p>Economy: cost of staff involved in Step 1 over the total payments (evolution in time from 2018 on)</p>
<p>A beneficiary is awarded several grants from the EU budget for a single action (Risk of double financing/risk of non-cumulative award)</p> <p>The pre-announced selection and award criteria are not adequately and consistently applied for the evaluation of proposals</p> <p>The action is not clearly defined in the grant application</p> <p>A grant is awarded for an action which has already begun but the applicant cannot demonstrate the need for starting the action prior to signature of the grant agreement or</p>	<p>Detailed procedures for calls factors in time to gather missing documents</p> <p>Where relevant, cross-checks with other DGs on possible double-financing if grants awarded to the same beneficiary by other DG (ABAC/LEF)</p> <p>The Guide for applicant and the kick-off meetings ensure a common understanding of the requirements.</p> <p>Very detailed application forms have been developed and used since 2013.</p> <p>Since 2013 calls inform applicants that the actions start after the signature of the grant agreement.</p> <p>Selection and appointment of expert evaluators</p> <p>For H2020: evaluation by REA, selection decision by DG HOME.</p>	<p>Coverage: 200% -300% checks (checked at least by 2-3 independent evaluators) and double checked by internal committee.</p> <p>Where relevant, proposals are cross-checked with other DGs, checks made depending on programme</p> <p>Depth: cross-check when risk justifies it</p>	<p>Effectiveness: selected proposals over received proposals (trend over the last two years)</p> <p>Number of litigation cases over total number of received proposals</p> <p>Efficiency: time-to-inform</p> <p>Economy: cost of staff and experts involved in the evaluation and selection of proposals over the total payments (evolution in time from 2018 on)</p>

Main risks It may happen (again) that...	Mitigating controls	Coverage, frequency and depth of controls	Cost-Effectiveness indicators (three E)
<p>notification of the grant decision</p> <p>The beneficiary lacks operational and/or financial capacity to carry out the actions.</p> <p>Late signature of the grant agreement (time to grant not respected).</p> <p>The grant agreement does not contain all applicable provisions</p> <p>The estimated budget of the grant application significantly overestimates the amounts necessary to carry out the action or WP and this is not identified in the recommendations of the evaluation committee</p>	<p>Review and checks during the contracting phase of action plan and budget (consistency and plausibility).</p> <p>In-depth financial verification and appropriate measures for high risk beneficiaries adopted.</p> <p>Project desk officers implement the recommendations of the evaluators when discussing with selected applicants.</p> <p>Strict follow-up of budget appropriations to ensure availability of resources on time for payment</p> <p>Internal reporting</p> <p>Hierarchical validation within the authorising department.</p> <p>Use of Commission contractual templates.</p> <p>The budget is checked before the award decision, which increases the economy and efficiency of the distributions of funds.</p> <p>H2020: Participant Guarantee Fund</p> <p>The controls corresponding to this stage are performed using the IT Commission tool for managing grants SYGMA/COMPASS, common to all Research DGs.</p> <p>Validation of beneficiaries by REA/URF (Uniform Registration Facility)</p>	<p>Coverage: - 100% of the selected proposals and beneficiaries are scrutinised.</p> <p>- 100% of drafts grant agreements.</p> <p>Depth: may be determined after considering the type or nature of the beneficiary and/or of the modalities (e.g. substantial subcontracting) and/or the total value of the grant.</p>	<p>Effectiveness: value of grant agreements signed over grant amounts requested in applications (%)</p> <p>Efficiency: time-to-grant</p> <p>Economy: cost of controls over total payments for grants</p>
<p>Risk of poor financial management by beneficiaries and intermediaries</p> <p>The Commission reimburses non eligible costs; risk of processing irregular transactions</p> <p>The beneficiary unduly obtains financial profit as a result from systemic or recurrent errors,</p>	<p>Programme website, guidance notes, ex ante sector guidance, information meetings with beneficiaries, helpdesk at COM</p> <p>Controls carried out by operational desks on technical implementation report in order to deliver the statement "<i>conforme aux faits</i>"</p> <p>Controls carried out by financial desk officers on financial and legal matters to deliver the</p>	<p>Coverage: 100% of files</p> <p>Depth:</p> <p>- for desk checks of expenditure: control includes progress reports and final technical implementation report</p>	<p>Effectiveness: ineligible costs in processed cost claims over total value of processed cost claims</p> <p>Efficiency indicators: time-to-pay</p>

Main risks It may happen (again) that...	Mitigating controls	Coverage, frequency and depth of controls	Cost-Effectiveness indicators (three E)
<p>irregularities, or fraud</p> <p>Several authorising officers implement the same programme and do not treat the beneficiaries equally (FP7/H2020)</p> <p>Changes to contracts are not properly documented or authorised</p> <p>Payments are made late (interest claims)</p>	<p>statement "<i>bon à payer</i>"</p> <p>Network of Financial Initiating Agents (FIA) to coordinate and share good practices and knowledge</p> <p>Checklists developed since 2012 reflect the roles of the parties involved in the financial circuits</p> <p>Procedure for registration of exceptions duly in place</p> <p>Monthly reporting to management on late payments</p> <p>For FP7/H2020:</p> <ul style="list-style-type: none"> - the monitoring using SYGMA/COMPASS (common IT tool used by research DGs) - independent reviewers assess the quality of deliverables 	<ul style="list-style-type: none"> - for controls carried out for "<i>conforme aux faits</i>": control includes technical implementation reports and if need be additional information (e.g. audit certificate or other verification) - for controls carried out for "<i>bon à payer</i>": control without reference to underlying documents, but with reference to and including access to the underlying documentation (e.g. timesheets, invoices, physical verification, etc.), technical implementation reports and if need be additional information such as independent oversight (e.g. audit certificate or other verification) <p>Audit certificates required for any beneficiary claiming more than EUR 375.000 (FP7/H2020)</p>	<p>Economy: estimation of cost of controls over total value of payments</p>

Step 2 – ex post

Main risks It may happen (again) that...	Mitigating controls	Coverage, frequency and depth of controls	Cost-Effectiveness indicators (three E)
<p>Risk of irregular expenditure co-financed remain undetected</p> <p>Risk of fraudulent activities remain untracked</p>	<p>At any time during the implementation period and for five years after partial or final payment, COM can carry out audits with of a sample of transactions.</p> <p>Ex post audits carried out by COM.</p> <p>For FP7: common representative audit sample (CRSs) used by Research DGs to identify the common errors across the whole FP7 operations.</p> <p>Financial corrections following audits are also implemented via extrapolation to non-audited projects.</p>	<p>Coverage: As a general rule, between 15% and 25% of the expenditure of an annual programme checked over the 5-year period.</p> <p>Ex post audits based on a risk assessment</p> <p>Common representative audit sample (CRSs) used by Research DGs; monetary unit sample (MUS) across the programme to draw valid management conclusions on the error rate in the population (FP7)</p> <p>Depth: Control with reference to and including access to the underlying documentation that is available at the stage of the process in question, for all inputs and outputs (e.g. timesheets, invoices, physical verification, etc.).</p>	<p>Effectiveness: detected error rate</p> <p>Number of projects with errors detected over total population</p> <p>FP7: Cumulative Common Representative Error Rate</p> <p>Efficiency: recovery implementation ratio; number of recovery orders (RO) issued after ex post audit (target set as 75% by end-March N+1)</p> <p>Economy: cost of staff and external auditors involved in ex post audits over total payments (trend over last two years)</p>
<p>The errors, irregularities and cases of fraud detected are not addressed or not addressed timely</p>	<p>Systematic registration of audit results to be implemented by the operational units.</p> <p>Financial and operational validation of recovery in accordance with financial circuits.</p> <p>Working Group on the coherence of ex post and ex ante controls in research DGs - Extrapolation Steering Committee(ESC)/ Common Audit</p>	<p>Coverage: 100% of final audit results <i>with a financial impact</i>.</p>	<p>As above</p>

Main risks It may happen (again) that...	Mitigating controls	Coverage, frequency and depth of controls	Cost-Effectiveness indicators (three E)
	Service (CAS)		

3. Direct management - Procurement

Step 1 – ex ante

Main risks It may happen (again) that...	Mitigating controls	Coverage, frequency and depth of controls	Cost-Effectiveness indicators (three E)
<p>Procurement needs not clearly defined or economically justified</p> <p>Inappropriate choice of procurement procedure and calculation of threshold due to staff's lack of knowledge/experience</p> <p>Poor definition of the tender specifications lead to inadequate / incomplete offers</p>	<p>Training in procurement offered to staff</p> <p>Financial circuits include ex ante verifications</p> <p>Ex ante control provides also support on procedures</p> <p>New checklists developed in 2012 reflect the roles of the parties involved in the financial circuits</p> <p>The Authorising Officer checks that procurement needs and selection criteria are clearly defined and justified from an economic and operational point before approval of documents to launch the call</p>	<p>Coverage: 100% of tendering procedures</p> <p>Frequency: whenever needed during the preparation of the tendering procedures</p>	<p>Effectiveness: low number of unsuccessful procurement procedures</p> <p>Efficiency: Evolution of the error rate detected by ECA (over last 2-3 years)</p> <p>Economy: cost of staff over value of payments (over the last 2-3 years)</p>
<p>Insufficient quality of the evaluation report, which may have impact on the award decision; errors potentially leading to challenge by the potential contractors (even if unsuccessfully)</p> <p>Conflict of interests</p> <p>Non-compliance with applicable rules (publication, transparency, time limits, opening of tenders,</p>	<p>An evaluation committee prepares the selection of the contractors (except for low value contracts)</p> <p>An advisory body is consulted on procurement files on a mandatory /voluntary basis (HPC)</p> <p>Timely communication to unsuccessful tenderers</p> <p>Declaration of lack of conflict of interest signed by each member of the committee (and the manager)</p>	<p>Coverage: 100% of the offers analysed</p> <p>Depth: all documents submitted by contractors are checked</p>	<p>Indicators: as above</p>

Main risks It may happen (again) that...	Mitigating controls	Coverage, frequency and depth of controls	Cost-Effectiveness indicators (three E)
<p>etc.)</p> <p>Risk of over-dependency from a restricted number of contractors due to the limited availability of specialist knowledge on the market</p>	<p>Transparency measures: calls for tender published in the Official Journal and on the Europa website. Updated information and FAQ regularly posted on the website; physical protection of the received offers (locked room and segregation of original and copies)</p> <p>Procedures to analyse the risk of over-dependency on contractors in place (periodic reviews: development of prices, business trends, main players, market shares, any barriers to entrants, etc.)</p> <p>Information and awareness-raising events on ethics, integrity and fraud prevention organised for all staff</p>		
<p>Non-compliance with the legal and regulatory requirements</p> <p>Lack of necessary experience and skills or inadequate arrangements for monitoring the contractor's performance and/or verifying the delivered services/supplies</p> <p>Delayed payments causing late interests</p>	<p>Standards contracts of DG BUDG used. Specific templates for IT contracts approved by SecGen and DG BUDG. Contracts and transactions registered in ABAC.</p> <p>The existing financial circuit is model 3 "decentralised circuit with central counterweight", where the operational initiation and verification functions as well as the financial initiation function are executed within each directorate. The ex ante financial verification is performed by the unit in charge of ex ante and ex post controls (Unit F1).</p> <p>Monthly reporting including indicators on time-to-pay made available to management</p>	<p>Coverage: 100% of the contracts are controlled.</p> <p>Depth: all received documents</p>	<p>Effectiveness: Number of contracts signed</p> <p>Efficiency: Time-to-pay; Amount of late interest payments over total payments</p> <p>Economy: cost of controls over total payments of signed contracts (comparison of last 2-3 years)</p>
<p>An error or non-compliance with regulatory and contractual provisions, including technical specifications, or a fraud is not prevented, detected or corrected by ex ante control, prior to payment</p>	<p>Verification that processes are working as designed: compliance with Internal Control Principles; risks assessed at the programme level within the yearly risk analysis exercise. Follow-up of critical risks for DG HOME every 6 months.</p> <p>ECA and IAS audits on procurement</p>	<p>Coverage: ECA audit based on MUS sample on all payments in a year + IAS audit plan</p> <p>Depth: review of the implemented procedures</p>	<p>As above</p>

Main risks It may happen (again) that...	Mitigating controls	Coverage, frequency and depth of controls	Cost-Effectiveness indicators (three E)
		(procurement and financial transactions)	

Step 2 – ex post

No ex post controls carried out by DG HOME on its procurement procedures, as these are subject to audits by IAS and ECA.

4. Indirect management - Entrusted Entities and Decentralised Agencies (*In the absence of specific reference, the information refers to both*)

Step 1 – ex ante

Main risks It may happen (again) that...	Mitigating controls	Coverage, frequency and depth of controls	Cost-Effectiveness indicators (three E)
The revision of the mandate of the entity is affected by legal issues, likely to undermine the legal basis for the management of the related EU funds	Ex ante control Hierarchical validation within the authorising department Inter-service consultation Adoption by the Commission	Coverage/Frequency: 100%/once Depth: Checklist includes a list of the requirements of the regulatory provisions to be complied with. Consistency with MoU of other entities entrusted by DG HOME.	Effectiveness: adoption of the revised legal acts without objections from central services in inter-service consultation
The entities do not respect the provisions of article 62 <i>Methods of budget implementation</i> of the FR (2018)	The Memoranda of Understanding provide for financial relations between the partner DG and the entities Revisions of existing MoU are subject to ex ante control and inter-service consultation The entities are audited by IAS and ECA The COM is represented in their Management Boards, which inter alia ensure follow up of audit recommendations	Coverage: 100% of entities are supervised Frequency: Management Board meetings (2 to 4 /year / entity), preparatory meetings and meetings of the working groups on finance and accounts (2 to 4 / year / entity) annual ECA report IAS audit reports Depth: desk review of audit reports issued by IAS, ECA and, where applicable, Internal Audit Capability	Effectiveness: timely closure of recommendations from IAS and ECA audits as reported in AOSD reports Efficiency: total costs of monitoring and control by staff over total payments to entities (comparison over time 2-3 years) Economy: costs of controls by EEs below 7%
The Commission does not suspend payments despite the detection of systemic errors by IAS or ECA (doubts on reliability of Internal Control) NB Only for EEs.	Memoranda of Understanding signed with the DAs specify the conditions for suspension of payments	Coverage: 100% of the payments made to entrusted entities Frequency: quarterly Depth: information mainly from IAS and ECA audits	Effectiveness: Timely suspension of payments in case of detection of systemic error (only EEs) Efficiency indicators: Time-to-pay
Due to weak "modalities of cooperation, supervision and reporting", COM is not timely informed of relevant	Delegation Act/ Contribution agreement specifying the control, accounting, audit, publication, etc. related requirements – <i>incl. the modalities on reporting back</i>	Coverage: 100% of the entities are monitored/supervised.	Effectiveness: number of serious IAS and ECA findings of control failures addressed by the entities, as

Main risks It may happen (again) that...	Mitigating controls	Coverage, frequency and depth of controls	Cost-Effectiveness indicators (three E)
<p>management issues encountered by the entity, and/or does not (timely) react upon notified issues by mitigating them or by making a reservation, thus damaging COM reputation.</p>	<p><u>relevant and reliable control results</u></p> <p>Monitoring or supervision of the entrusted entity (e.g. 'regular' monitoring meetings at operational level; review of reported control results and any underlying management /audit reports if available; representation and intervention at the board, analysis of annual report and other progress reports, etc.).</p> <p>Implementation of DG HOME Control strategy on decentralised agencies</p> <p>Potential escalation of any major governance-related issues with entrusted entities</p> <p>Referral to OLAF (suspicion of fraud)</p>	<p>Frequency: once or twice a year (progress report(s) and a final report) according to the conditions of the Delegation agreement</p> <p>Depth: limited to the actual access to internal documents by COM</p>	<p>reported in AOSD reports</p> <p>Efficiency: ration of re-use of appropriations released by DAs during mid-term "global transfer" (or other mechanisms to release unused appropriations) over total amount released by DAs</p> <p>Economy: cost of controls over total payments</p>
<p>The Commission pays out the contribution to the entity, while not being aware of management issues that may lead to financial and/or reputational damage (only for EEs).</p>	<p>Delegation Act / MoU specifying the control, accounting, audit, report related requirements – <i>incl. reporting back</i></p> <p>Management review of the supervision results.</p> <p>Ex ante control prior to payments</p> <p>Monitoring and supervision of budget implementation through preparatory working groups and MB meetings (DAs only)</p> <p>Hierarchical validation of payment and recovery of unspent operating budget</p>	<p>Coverage: 100% of payments.</p> <p>Frequency: at payment of two pre-financings and final payment</p> <p>Depth: limited to the actual access to internal documents by COM</p>	<p>Effectiveness: amount of the partial clearance of accounts (if any).</p> <p>Efficiency: Time-to-pay</p> <p>Economy cost of controls over total payments</p>

Step 2 – ex post (limited to EE under FAFA)

Main risks It may happen (again) that...	Mitigating controls	Coverage, frequency and depth of controls	Cost-Effectiveness indicators (three E)
<p>COM has insufficient information from independent sources and this hampers the conclusions on the assurance for the budget entrusted to the entity</p> <p>The control system of the entity is subject to reservations and/or ECA criticism</p>	<p>Ex post audits on the legality and regularity of expenditure of entities under FAFA</p>		<p>Effectiveness: Unqualified opinion on the accounts by the entity's independent auditors Detected error by DG HOME</p> <p>Economy: costs of controls over total payments</p>

ANNEX 6: Implementation through national or international public-sector bodies and bodies governed by private law with a public sector mission

The six delegation agreements signed before 2019 and operating throughout the year are the following:

Entrusted body	UNHCR
Programme concerned	Asylum, Migration and Integration Fund; annual work programmes emergency assistance 2017 and 2018
Annual budgetary amount entrusted	The Delegation agreement with UNHCR was signed in December 2018 for a total amount of EUR 190.4 million. The first instalment of the pre-financing was made in January 2019 (EUR 76.1 million).
Duration of the delegation	The DA covers the period from 01/01/2019 to 31/12/2019
Justification of the recourse to indirect centralised management	<p>The direct award of the grants is justified by the specific characteristics of the action</p> <p>The action will ensure the continuation of activities as currently provided by UNHCR under the emergency support instrument managed by DG ECHO.</p>
Justification of the selection of the body	<p>The purpose of the action is to support the Greek authorities in providing multi-purpose cash grants as well as accommodation services to persons of concern in Greece throughout 2019.</p> <p>The action will take place in the mainland and on the islands. UNHCR will implement the action together with partners. UNHCR has demonstrated specific technical competence and experience in managing the cash-based intervention and the rental and accommodation scheme and for this action therefore qualifies as an entity suitable to implement this action.</p>
Summary description of the implementing task entrusted	The action ensures the uninterrupted provision of services on the Greek islands and mainland to contribute to safe and dignified living conditions and uphold the rights of approximately 69.000 asylum seekers and, for a limited grace period, as established by the Greek authorities, refugees, living in Greece. The action consists of three categories of activities: cash-based interventions for the target population; accommodation and related services for the target population and coordination and transition related capacity building activities towards the Greek authorities.

Entrusted body	IOM, with UNICEF as co-delegatee
Programme concerned	Asylum, Migration and Integration Fund; annual work programmes emergency assistance 2017 and 2018
Annual budgetary amount entrusted	The Delegation agreement with IOM and UNICEF was signed in December 2018 for a total amount of EUR 61 million. The pre-financing was made in January 2019 (EUR 61 million).
Duration of the delegation	The DA covers the period from 01/01/2019 to 31/12/2019
Justification of the recourse to indirect centralised management	The direct award of the grants is justified by the specific characteristics of the action. The action will ensure the continuation of activities as currently provided by IOM under the emergency support instrument managed by DG ECHO.
Justification of the selection of the body	The action will take place in at least 26 accommodation sites, chosen in agreement with the Greek authorities. IOM will implement the action together with partners, in particular the Danish Refugee Council (DRC), Arbeiter-Samariter-Bund Deutschland (ASB) and European Expression. IOM has demonstrated specific technical competence and experience in managing sites in Greece and for the purpose of this action therefore qualifies as an entity suitable to implement this action. IOM has been supporting the Greek government to establish temporary and permanent accommodation centres and offer protection services and is currently the appointed official site management support agency in 12 sites. The other partners have also demonstrated such competence. UNICEF has demonstrated its competence and experience with regard to child protection in Greece.
Summary description of the implementing task entrusted	The action provides for support to the Greek authorities in the daily management of all long-term accommodation sites operating in the country (26 in total). Four categories of activities: site management support for about 28.000 beneficiaries such as wash facilities and transportation; protection activities; educational activities and coordination and transition related capacity building activities towards the Greek authorities.

Entrusted body	IOM
Programme concerned	Asylum, Migration and Integration Fund; annual work programmes Union Actions for 2016 and 2017, Readmission Capacity Building Facility II and III
Annual budgetary amount entrusted	The two Delegation agreements with IOM were signed respectively in December 2017

	for a total amount of EUR 7 million and in December 2018 for a total amount of EUR 26,3 million.
Duration of the delegation	The DA cover the period from 01/01/2018 for RCBF II and 01/01/2019 to 31/12/2021 for RCBF III
Justification of the recourse to indirect centralised management	Indirect management was considered as the most appropriate management mode due to the role and skills of IOM and the necessity of a Facility able to respond flexibly to the Readmission Capacity Building needs in priority third countries in the next years.
Justification of the selection of the body	The specific characteristics of the action require the IOM's technical competence and high degree of specialisation on readmission and reintegration issues. The IOM is an international organisation with a specific mandate, broad expertise in the field of migration and a proven track record in managing EU funds in cooperation with third countries, including in the area of readmission and the type of action proposed
Summary description of the implementing task entrusted	The Facility will provide support in areas of intervention (at policy, legislative, institutional and/or operational level) relevant to the successful preparation and implementation of readmission agreements/ commitments with priority third countries, in full respect of potential returnees' human rights and dignity. The Facility III builds on the activities carried out for the Facilities I and II. It will in particular seek to develop a toolkit package for readmission capacity building systems, advance the implementation of assisted voluntary return and reintegration programmes, support awareness raising campaigns and increase knowledge and analysis of migration governance.

Entrusted body	International Centre for Migration Policy Development (ICMPD)
Programme concerned	Asylum, Migration and Integration Fund, Internal Security Fund-Borders and Internal Security Fund-Police; annual work programmes Union Actions for 2014, and 2017, Mobility Partnership Facility I and II
Annual budgetary amount entrusted	The two Delegation agreements with ICMPD were signed respectively in December 2015 for a total amount of EUR 5,5 million and in February 2018 for a total amount of EUR 12,5 million.
Duration of the delegation	The DA cover the period from 01/01/2016 to 30/04/2020 for MPF I and 01/01/2018 to 30/09/2023 for MPF II

Justification of the recourse to indirect centralised management	Indirect management was considered as the most appropriate management mode due to the role and skills of ICMPD and the necessity of a Facility able to respond flexibly to the support of the Mobility Partnerships in priority third countries in the next years.
Justification of the selection of the body	The specific characteristics of the action require the ICMPD's technical competence and high degree of specialisation in migration dialogues with third countries and in managing funds and programmes.
Summary description of the implementing task entrusted	The Facility will provide support to the implementation of migration dialogues with third countries through projects selected via calls for proposals open to public authorities or agencies of Member States. The MPF II action builds on lessons learned from MPF I and integrates two new strands of activities into the Facility: support for the Prague Process (PP) implementation and facilitation, and funding of "pilot projects" in legal migration with selected partner countries.

ANNEX 7: EAMR of the Union Delegations (if applicable)

N/A

ANNEX 8: Decentralised agencies and/or EU Trust Funds

Decentralised agencies

The table below summarises the amounts of commitment and payments appropriations budgeted and implemented in 2019:

	Commitment appropriations (EUR)			Payment appropriations (EUR)		
	Budgeted	Implemented	Rate	Budgeted	Implemented	Rate
Frontex	323 628 013	307 289 000	95.0%	323 628 013	307 289 000	95.0%
Europol	139 412 265	138 305 458	99.2%	139 412 265	138 305 458	99.2%
Cepol	9 647 479	9 308 000	96.5%	9 647 479	9 308 000	96.5%
eu-LISA	289 323 267	288 403 000	99.7%	138 983 167	138 062 900	99.3%
EASO	102 431 581	96 686 000	94.4%	102 431 581	96 686 000	94.4%
EMCDDA	15 308 851	15 286 600	99.9%	15 308 851	15 286 600	99.9%
TOTAL	879 751 456	855 278 058	97.2%	729 411 356	704 937 958	96.6%

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

No	Title	Reason	Scope/Overview	Associated DGs	Cost (EUR)	Note	Title of the deliverable
I. Evaluations finalised or cancelled in 2019							
a. Evaluations finalised in 2019							
1	Fitness check of the legal migration directives	REFIT	The Fitness Check covers the following directives: EU Blue Card (2009/50/EC), Long-Term Residents (2003/109/EC), Single Permit (2011/98/EU), Family Reunification (2003/86/EC), Seasonal Workers (2014/36/EU), Intra-Corporate Transferees ("ICTs") (2014/66/EU), Students and Researchers (2004/114/EC and 2005/71/EC) as well as directive (EU)2016/801 recasting these last two directives	EMPL, TRADE, DEVCO, SG	649,913		Commission Staff Working Document "Fitness Check on EU Legislation on legal migration" SWD(2019) 1055 final
2	Evaluation of the European Monitoring Centre for Drugs and Drug Addiction (EMCDDA)	L	According to Regulation 1920/2006, the Financial Framework Regulation, the Common Approach on Decentralised Agencies, and the principles of sound and efficient management, the Centre is evaluated on a regular basis. The evaluation will assess whether the EMCDDA objectives respond to the needs of its stakeholders (Relevance), achieves its objectives and deliver results (Effectiveness), in a cost-effective manner (Efficiency), builds is on coherent with the other policy and/or programme related interventions in related areas (Coherence), and brings value that cannot be delivered by Member States acting alone (EU added value).	SJ, SG, NEAR, TAXUD, BUDG, SANTE, EEAS, HR, GROW, JRC, ESTAT	294,275		Report from the Commission to the European Parliament and the Council, Evaluation of the European Monitoring Centre for Drugs and Drug Addiction (EMCDDA) 2018, COM(2019) 228; SWD (2019) 174

3	Evaluation of Council Directive 2008/114/EC of 8 December 2008 on the identification and designation of European critical infrastructures and the assessment of the need to improve their protection	I	The evaluation assessed the effectiveness, efficiency, relevance, coherence and EU added value of the Directive and covered all EU Member States and accounts for a heightened terrorist threat since 2008 (when the Directive was introduced), an awareness of hybrid threats, and emerging threats, including insider infiltration and the unlawful use of UAVs ("drones").	SG, SJ, ENER, MOVE, GROW, SANTE, FISMA, REGIO, JRC, ENV, ECHO, CNECT	271,630		SWD(2019)308 final
4	Evaluation of the 2014-2019 Action Plan on firearms trafficking between the EU and the South East Europe Region	0	The 2014-2019 EU-Balkans Action Plan on firearms trafficking provides a coherent framework for cooperation between the European Union and the South East Europe region on illicit trafficking of firearms. Its evaluation will assessed to what extent its different strategic goals: "intelligence picture", "operational activities", "prevention and capacity-building", "cooperation with non-EU partners" have been achieved.	NEAR, FPI, GROW, EEAS	in-house evaluation		COM(2019)293 final, SWD(2019) 282 final
b. Evaluations cancelled in 2019							
1	Evaluation of Directive 2011/36 on preventing and combating trafficking in human beings and protecting its victims	O	The evaluation will assess the effectiveness, efficiency, relevance and coherence of the Directive, as well as at the achieved EU added value	-		Postponed for 2021	
2	Evaluation of the European Border and Coast Guard	L	According to Regulation (EU) 2016/1624 (art 81)	-		Postponed for 2023 as Article 121 of new Regulation (EU) 1896/2019 on the European Border and Coast Guard, foresees the evaluation for 2023	

3	Evaluation of the Visa Information System	L	According to Regulation 767/2008 and Council Decision 2008/633	-		A revised VIS Regulation is under adoption	
4	Evaluation of the Schengen Information System (SIS II)	I	According to Regulation 1987/2006 and Council Decision 2007/533	-		Under the new SIS Regulation which came into force, the Commission shall evaluate the SIS three years after the date of application of the Regulations, i.e. by 28 December 2024.	
5	Review of Directive (EU) 2016/681 of 27 April 2016 on the use of passenger name record (PNR) data for the prevention, detection, investigation and prosecution of terrorist offences and serious crime			-		Postponed for 2020	
III. Studies finalised or cancelled in 2019							
a. Studies finalised in 2019							
1	Study on the improvement of the EU system of export authorisation, and import and transit measures for civilian firearms, their parts and components and ammunitions	L	Explore policy options to improve the implementation of Art 10 of the UN Firearms Protocol, implemented at EU level through Regulation 258/2012	GROW, TRADE, TAXUD, SG, LS	228,525		Study on the improvement of the EU system of export authorisation, and import and transit measures for civilian firearms, their parts and components and ammunition - Contract No. HOME/2016/1SFP/FW/EV AL/02 - not published

2	Feasibility Study for a centralised mechanism for an Interactive API system	O	Study following on a recommendation of the High-Level Expert Group on Interoperability and necessary to implement the ETIAS proposal.		498,736		<p>FEASIBILITY STUDY on a CENTRALISED ROUTING MECHANISM for ADVANCE PASSENGER INFORMATION (and PASSENGER NAME RECORDS) Management Summary</p> <p>Catalogue number: DR-01-19-012-EN-N ISBN: 978-92-79-98752-6 DOI:10.2837/84298</p> <p>Title: same as above - Volume 1(Main Report) and 2 (Addenda) Catalogue number: DR-01-19-010-EN-N and DR-01-19-011-EN-N ISBN: 978-92-79-98756-4 and 978-92-79-98757-1 DOI: 10.2837/726163 and 10.2837/044701</p>
3	Study to assess the impacts of various options related to possible evolutions of the European Border Surveillance System (Eurosur)	L	To assess/quantify impacts of various options related to possible evolutions of Eurosur		269,700		https://op.europa.eu/en/publication-detail/-/publication/9ff1a661-e596-11e9-9c4e-01aa75ed71a1/language-en/format-PDF/source-116520814
4	Study on the completeness and conformity assessment of the transposition of the PNR Directive	L	To assess the completeness and conformity of measures adopted by Member States to transpose the PNR Directive The study concerns 23 Members States		249,909		Not published (Conformity checks are not published)

	681/2016		(those that had notified their national transposition measures by 10 June 2019)				
5	Study on the transposition and implementation of the confiscation Directive	L	To assess the transposition and implementation in the EU Member States of Directive 2014/42/EU		231,000		Not published (Conformity checks are not published)
6	Study on the readiness and availability of Facial Recognition System, Latent Fingerprints and DNA technologies for their introduction in the Schengen Information System	L	According to Article 22 (1) (e) and 22 (1) (c) of the new Proposal for a Regulation on the establishment, operation and use of SIS in the field of police cooperation and judicial cooperation in criminal matters		146,840		Study on Fingermark and Palmmark identification Technologies for their Implementation in the Schengen Information System https://publications.jrc.ec.europa.eu/repository/bitstream/JRC116442/jrc116442_sis_latent-jrc-science_for_policy_report_final_22.07.2019.pdf
7	Study for the use and upload of DNA profiles in SIS alerts	O	New SIS legal basis - article 41A		Administrative agreement with JRC. (Total amount EUR 293,680)		Study on DNA Profiling Technology for its Implementation in CS-SIS https://ec.europa.eu/jrc/en/publication/study-dna-profiling-technology-its-implementation-central-schengen-information-system

8	Conformity study on the transposition and implementation of Directive 2011/98 (single permit) in BE	L	To assess the transposition and implementation of Directive 2011/98 for Belgium		16,950		Not published (Conformity checks are not published)
9	Study on Settling in - indicator of integration	O	Follow-up of the Action Plan on Integration		250,000		http://www.oecd.org/publications/indicators-of-immigrant-integration-2018-9789264307216-en.htm
10	Conformity study of the Seasonal workers Directive (2014/36/EU) and of the Intra corporate Transfers Directive (2014/66/EU)	L	To assess the transposition and implementation of Directive 2014/36 and Directive 2014/66		336,000		Not published (Conformity checks are not published)
11	Community of Users on Secure, Safe and Resilient Society in the CBRN-E and Crisis Management areas: Mapping of security related research projects	O	Following the mapping of the security related research project under the first three years of H2020 and other EU funds, it is planned to map projects launched in 2018.		75,600		Mapping Horizon 2020 and EU funded Capacity Building Projects under 2016-2018 programmes ISBN 978-92-76-12419-1
12	Study on the feasibility and implications of options to digitalise visa processing	CWP	Study to analyse the legal and technical feasibility and practical implications of possible options to digitalise the visa application process and the visa sticker		300,000		ISBN 978-92-76-14139-6 DR-03-19-941-EN-N

13	Study on a more effective approach to combating cybercrime	O	Preparation for the new Commission - assessment of developing threats and corresponding gaps in our policy approaches, with a focus on 1) prevention, 2) victim support (e.g. cleanup), 3) reporting channels, 4) new forms of crime, 5) the impact of and possible support from artificial intelligence		In-house		Not published
14	Study on possible links between Drug trafficking and Terrorism, Trafficking in Human Beings (THB) and Migrants smuggling as a follow-up to the new Action plan on drugs 2017-2020.	L			In-house		Not published
b. Studies cancelled in 2019							
1	Study on the impact of the EU approach to combating trafficking for sexual exploitation	O	Deliverable related to Communication identifying key EU priorities addressing trafficking in human beings			Cancelled as an individual study – will be treated as part of the evaluation of the Directive	N/A
2	Study on legal migration	O	Support to pilots on migration. Provide qualitative and quantitative research evidence for feeding strategic orientations on labour migration.			Horizon 2020 has awarded two projects that are working in the same area.	N/A

3	Feasibility study on background checks, and vetting standards and procedures at EU level	O	The study will assess options for harmonising background checks, vetting standards and procedures at EU level, in line with the EU action plan against illicit trafficking in and use of firearms and explosives (COM(2015) 624 final).			Cancelled – no new initiative is currently planned	N/A
4	Study evaluating the impact of the new technologies on the fight against illegal trafficking in firearms	O	To assess capability needs, legislative gaps			Cancelled	N/A
5	Legal study regarding the possible accession of the EU to the 1961 UN Convention on Narcotic Drugs and the 1971 UN Convention on Psychotropic Substances	O	Study on legal issues raised by the possible accession of the EU, not party to these 2 conventions whereas it is party to the 1988 UN Convention against Illicit Traffic in Narcotic Drugs and Psychotropic Substances			Postponed for 2020	N/A
6	Security market in the EU	O				Postponed for 2020	N/A

ANNEX 10: Specific annexes related to "Financial Management"

Table Y - Overview of the estimated cost of controls at Commission (EC) level:

Title of the Relevant Control System (RCS)	Ex ante controls			Ex post controls			Total	
	(a)	(b)	(c)	(d)	(e)	(f)	(g)	(h)
	EC total costs (in EUR)	funds managed (in EUR) ¹⁶	Ratio (%)* (a)/(b)	EC total costs (in EUR)	total value verified and/or audited (in EUR)*	Ratio (%) (d)/(e)	EC total estimated cost of controls (in EUR)** (a)+(d)	Ratio (%)* (g)/(h)
1. Shared Management	3.533.808,00	799.630.000,00	0,44%	1.905.081,92	N/A	N/A	5.725.691,31	0,72%
2. Direct Management: Grants	4.106.564,00	401.980.000,00	1,02%	765.327,86	N/A	N/A	5.280.017,95	1,31%
3. Direct Management: Procurement	1.468.747,50	24.290.000,00	6,04%	N/A	N/A	N/A	1.468.747,50	6.05%
4. Indirect Management: Entrusted Entities and Decentralized Agencies	1.793.983,00	926.320.000,00	3,31%	786.553,21	N/A	N/A	2.580.536,21	0,28%
Other expenditure***	-	2.230.000,00	-	-	N/A	N/A	-	N/A

¹⁶ Funds managed = payments made, revenues and/or other significant non-spending items such as e.g. assets, liabilities, etc.

Title of the Relevant Control System (RCS)	Ex ante controls			Ex post controls			Total	
	(a)	(b)	(c)	(d)	(e)	(f)	(g)	(h)
	EC total costs (in EUR)	funds managed (in EUR) ¹⁶	Ratio (%)* (a)/(b)	EC total costs (in EUR)	total value verified and/or audited (in EUR)*	Ratio (%) (d)/(e)	EC total estimated cost of controls (in EUR)** (a)+(d)	Ratio (%)* (g)/(b)
OVERALL total estimated cost of control at EC level	10.903.102,50	2.152.220.000,00	0,5%	3.456.962,98	N/A	N/A	2.154.450.000,00	0,70%

The cost of controls were computed on the basis of the corporate "Guidance on the estimation, assessment and reporting on the cost-effectiveness of controls". According to the new methodology, DG HOME identified the staff carrying out the control activities listed in Annex 3 of the Guidance. For each Relevant Control System for budget implementation (RCSs), the number of Full-Time Equivalents (FTEs) and any other direct cost associated to control activities were computed.

* For control system 1 "Shared Management", control system 2 "Direct Management / grants" and control system 4 "Entrusted Entities and Decentralised Agencies" the value of verified and audited amounts in the ex post phase cannot be estimated or provided for the following reasons:

- control system 1 "Shared Management": the audit work for shared management covers audit of expenditure, system audits and audit of the accounts of programming periods 2007-2013 and 2014-2014. Consequently, the amount audited cannot be linked to a given Annual or National programme, but covers the entirety of SOLID annual programmes and AMIF and ISF national programmes.

-control system 2 "Direct Management / grants": ex post controls are carried out on DG HOME audit annual work programme 2017 and annual work programme 2019. Furthermore, ex post controls also include the work carried out the follow up of audit findings. Consequently it is not possible to associate the ex post cost of controls to a specific audited or verified amount.

- control system 4 "Entrusted Entities and Decentralised Agencies": no audits are carried out by DG HOME on this control system; the cost of ex post controls are linked to the work done in relation to the discharge procedure.

*** Horizontal tasks, not included in any other control system.

**"Other direct costs" not included in ex ante and ex post control include the costs incurred in relation to the externalisation of audit work (ex post controls) and to dedicated IT tools for financial management and control (ex ante and ex post controls). For control system 1 "Shared Management" it equals to EUR 286.801,39 and for control system 2 "Direct Management: Grants" it equals to EUR 408.126,09. These are included in the EC total estimated cost of controls.

Specific annexes related to "Management of Resources"

1. INDICATORS FOR ASSESSING CONTROL EFFECTIVENESS AS REGARDS LEGALITY AND REGULARITY

Control system 1 - Shared Management

	2019	2018
Step 1: ex ante controls		
Number of national programmes AMIF-ISF adopted (in 2019)	0	3
Total value of national programmes AMIF-ISF adopted in 2019 (€ million)	0	26,97
% of programmes adopted	N/A	5,08%
Average value of an adopted programme (€ million)	N/A	8,99
Number of revisions of national programmes AMIF-ISF adopted in 2019	70	75
Number of AMIF-ISF designation notifications received	4	1
out of which accepted by DG HOME	4	1
Number of SOLID annual programmes still open	0	4
Amount of open SOLID programmes (€ million)	0	26,34
Number of AMIF-ISF committees	2	3
Number of monitoring missions AMIF-ISF	44	60
Number of final cost claims received (accounts AMIF-ISF)	57	55
Value of payments made AMIF-ISF (€ million)	795,73	795,32
Number of accounts cleared AMIF/ISF	55	55
Value of payments in the clearance decision AMIF/ISF(€ million)	433,84	417,2
Number of exceptions	3	1
Number of non-compliance events	1	0
Step 2: ex post controls		
Number of ex-post audits performed (SOLID)	0	0
No of systems for which serious weaknesses were found on the spot despite the validation on paper of the MCS (AMIF - ISF)	3	24
MCSs with weaknesses (%; SOLID)	18%	22%
MCSs with weaknesses (%; AMIF/ISF)	14%	8%
Number of system audits AMIF-ISF	5	4
Errors detected by ex-post controls (€ million) (SOLID)	1,92	7,67
Amount for which the COM has reasonable assurance (€ million) (SOLID)	2.517,83	2.340,33
Amount for which the COM has reasonable assurance (€ million) (AMIF - ISF)	1.351,51	0,96
Corrections implemented by recoveries ex-post controls (€ million) (SOLID)	11,79	0,25
Corrections implemented by recoveries ex-post controls (€ million) (AMIF-ISF)	0,00	0,00
Total financial corrections (€ million) (SOLID)	7,54	1,74
Total financial corrections (€ million) (AMIF-ISF)	0,00	0,00
Cumulative detected error rate (%) (SOLID)	3,40%	3,80%
Cumulative residual error rate (%) (SOLID)	1,46%	1,92%
Cumulative residual error rate (%) (AMIF/ISF)	1,57%	1,68%

Control system 2 - Direct Management Grants

	2019				2018	
	Union actions	EMAS	non-research	research	non-research	research
<i>Step 1: ex ante controls</i>						
Available budget for calls (€ million)	113,5	728,92	842,42	175,36	622,00	140,60
Number of proposals received	327	37	363,00	260	519	191
Value of proposals received (€ million)	302,62	688,03	977,91	1507,4	1651,5	910,60
Number of projects selected	108	29	136,00	31	176	28
Value of projects selected (awarded budget) (€ million)	108,52	254,68	350,68	195,9	398	154,50
% of value of proposals received over budget available	267%	93%	116%	8,6	26,55%	6,48
% of value of projects selected/available budget for calls	95,61%	33,22%	41,63%	112%	63,99%	109,89%
Number of litigation cases/redress procedures					0	0,00
<i>Ex ante: contracting phase</i>						
EC contributions requested in the applications contracted (€ million)	109,78	1039,50	1136,53	n/a	422	n/a
EC contribution provided through grant agreement signed (€ million)	108,52	249,36	345,57	5,17	413,47	53,29
Reduction in EC contribution (€ million)	1,26	789,70	790,96		8,53	n/a
% reduction in EC contribution	1%	77%	70%		2%	n/a
Number of grant agreements signed	108	27	134,00	2	211	11
Average amount of grants signed (€)	1,00	9,12	10,12	2,59	1,96	4,84
Exceptions recorded	0	0	0	0	0	0
Non compliance events	0	0	0	0	0	0
<i>Ex ante: monitoring phase</i>						
Number of payments made	208	52	260	25	252	43
Value of payments made (€ million)	111,83	259,30	371	30,84	313,11	37,46
Value of cost claims processed (€ million)	57,84	118,71	177	42,27	146,37	57,28
Number of cost claims processed	100	25	125	26	83	34
Ineligible costs in cost claims (€ million)	0,38	0,38	1	0,97	0,71	0,48
Ineligible costs in cost claims processed (%)	1%	0%	0%	2%	0,49%	0,84%
Exceptions recorded	0	0	0	1	2	0

Non-compliance events	0	0	0	0	0	0
Step 2: ex post controls - figures presented for all non-research and research grants as per audit strategy						
Number of ex-post controls closed in 2019	47	n/a	n/a	n/a	45	n/a
Average amount of grant audited	1,81	n/a	n/a	n/a	1,63	n/a
% of projects audited that contained errors detected by ex-post controls	83%	n/a	n/a	n/a	73%	n/a
Absolute value of proposed correction	10,8	n/a	n/a	n/a	3,07	n/a
Errors prevented for audited population (savings of the total EU grant paid) - annually in reference year	3	n/a	n/a	n/a	3,89	n/a
Errors detected for the audited population (in% of the total EU grant paid (in addition to the errors already prevented) - annually in reference year	12,70%	n/a	n/a	5,90% for FP7 2,78% for H2020	4,20%	5,88% for FP7 2,43% for H2020
Follow-up ratio: number of files followed up by AOSD within 3 months (target 90%)	72%	n/a	n/a	80%	78%	100%
Implementation ratio for recovery orders (target set at 75% at end of March N+1)	64%	n/a	n/a	80%	45%	100%
Cumulative detected error rate/Common Representative Error Rate (%)	4,43% (2007-2013) / 4,50% (2014-2020)	n/a	n/a	n/a	3,84%	n/a
Cumulative residual error rate (%)	3,45% (2007-2013)/4,11% (2014-2020)	n/a	n/a	3,17% for FP7 2,40% for H2020	3,29%	2,98% for FP7 2,22% for H2020

Control system 3 - Direct Management Procurements

	2019		2018	
	non-research (Union actions)	research	non-research	research
Step 1: ex ante controls				
Number of tenders	17		11	0
Number of contracts signed	155	9	162	5
Value of contracts signed (€ million)	22,36	1,59	33,52	9,73
Unfavourable ex-ante opinions (HPC and ex-ante verification)	0	0	0	0
Redress procedures			0	0
Number of payments made	550	50	523	100
Value of payments made (€ million)	23,00	1,29	25,38	9,47
Amount of credit notes issued	0,87	0,09	0,05	0
Number of credit notes issued	31	3	23	0
Exceptions and non-compliance events recorded	4	1	9	2

**Control system 4 - Indirect management
Entrusted Entities and Decentralised Agencies**

<i>Step 1: ex ante controls</i>	2019	2018
Number of deviations from the FFR requested		N/A
Total payments made (€ million)	704,94	606,84

**Control system 4 - Indirect management -
Delegation Agreements**

<i>Step 1: ex ante controls</i>	2019	2018
Total amounts delegated (€ million)	7,97	277,70
Number of serious IAS and ECA findings of control failures	0	0
Budget amount of the errors concerned		0
Amounts suspended/interrupted (€ million)		0
Total payments made (€ million)	221,38	51,37

EFFICIENCY INDICATORS: "TIME-TO" INDICATORS (DAYS)

		2019	2018
Shared management	Time-to adopt national programmes (AMIF - ISF)	88	95
	Time-to-pay pre-financings (AMIF - ISF)	18,94	17
	Time-to-close (SOLID programmes)	394	177,5
Direct management grants	Time-to-inform (EMAS)	75,97	43,23
	Time-to-grant (EMAS)	150,78	119,27
	Time-to-inform (Union Actions)	118,01	150,63
	Time-to-grant (Union Actions)	205,18	260,48
	Time-to grant* (research grants)		299
	Time-to-pay (all grants)	40,08	30
Others	Procurement: time-to-pay	29,73	25
	Delegation agreements: time-to-pay	33,50	29,25
	Decentralised agencies: time-to-pay	19,64	19

Recommendations stemming from IAS and ECA DAS audits

IAS audit on staff management in DG HOME	Important	Allocation of HR in the DG	Implementation ongoing. DG HOME implemented most of the actions (update of strategy, draft of internal procedures, development of templates). Nevertheless, IAS assessed that there are still some residual risk related to the use of developed templates and criteria to support HR decisions).
IAS audit on monitoring the implementation and performance of 2014-20 NPs	Important	Regulatory and monitoring framework	Implementation ongoing, deadline 30/06/2021
IAS audit on DG HOME's audit activity and clearance of accounts	Very important	Set-up and planning of DG HOME audit activity (DG HOME should define and communicate the mission statement and mandate of audit function, adjust roles and responsibilities, reporting lines and milestones for the clearance of accounts exercise; update the audit strategies; analyse the resource needs for the audit activity)	Implementation ongoing, deadline latest end 2021. Implemented with regard to the audit AWP 2020. The manual for the Clearance of accounts has been updated in due time before the 2020 clearing exercise, clarifying roles, responsibilities and deadlines.
	Very important	Execution of the audit plan (DG HOME needs to plan and launch audits as soon as possible in the year after the adoption of the Annual Work programme and review of annual control reports and audit opinions; harmonize milestones for the audit process steps; ensure that the final audit reports are sent to beneficiaries without delay and that this is monitored by senior management;)	Implementation ongoing, deadline latest end 2020.
	Very important	Clearance of accounts (DG HOME should ensure that clearance decisions are made on time; it should clarify the procedure for accounts submitted before the year-	Implementation ongoing, deadline latest June 2020. Implemented with regard to the internal procedures and manual for clearance: they

		end; adapt the clearance procedure to new organisational structure and improve the communication between financial units and audit sector;)	have been revised to ensure that accounts are cleared only exceptionally after the legal deadline of 31 May N+1. The revised Manual clarified also the procedure and timing for reviewing for the accounts submitted before year-end.
	Important	Quality assurance (DG HOME to clarify the applicable audit standards; better documentation of audit review; set indicators to monitor the overall performance; strengthen monitoring and reporting; explore the possibility of internal and external assessment of audit activity)	Implementation ongoing, deadline latest June 2022. Implemented with regard to regular updating the table for monitoring the implementation of audit results.
	Important	Audit documentation and IT systems supporting audit process (DG HOME should assess the use of an audit management system in use by other DGs; create closed-environment folders for audits on common shared drive; appropriate documentation to be provided to auditors.)	Implementation ongoing, deadline latest end 2020.
2017 DAS/ECA		Recommendation 1: provide guidance to Member States - on using EU funds in accordance with the principle of sound financial management. In particular, the AMIF/ISF implementing guidelines should specify that, when public bodies implement EU actions, the EU co-financing may not exceed the total eligible expenditure excluding VAT.	Art. 19 of Regulation 514/2014 stipulates that VAT is not eligible, except, where it is non-recoverable under national VAT law. In order to address the ECA recommendation, the Commission sent a questionnaire to Member States geared to seek information about the existence and use of so-called VAT compensation schemes (ref. AMIF/ISF/2019/14). Almost all Member States responded to the questionnaire. The Commission is now analyzing the responses and reflecting on a way forward.

2018 DAS/ECA		Based on our findings for 2018, we recommend that the Commission ensures that, when making administrative checks of payment claims, it systematically uses the documentation it has required its grant beneficiaries to provide, in order to properly examine the legality and regularity of the procurement procedures these beneficiaries have organised.	<p>The implementation is ongoing, with deadline for implementation end 2020. The Commission will adapt its internal guidelines clarifying the documentation required and in which cases documents will be checked and the beneficiaries' procedures will be examined.</p> <p>The Commission's control strategies are risk-based and take into consideration the available resources.</p> <p>The Commission will also instruct the Member State authorities to act adequately as recommended by the ECA.</p>
--------------	--	---	---

Control system 1. Shared management of SOLID (2007-2013)

Step 2 – ex post controls

The main activities associated with Step 2 of the Relevant Control System consisted in finalisation of ex post audits¹⁷ initiated in previous years.

In 2019, DG HOME finalised ex post controls on a number of annual programmes Slovakia, Slovenia and Ireland (ERF, EIF, RF). In addition, the finalisation of audit reports are well advanced for Cyprus (EBF, ERF, RF, and EIF) and Austria (EBF, ERF, RF and EIF). The audit assignments should be finalised in the audit results available in 1st quarter 2020.

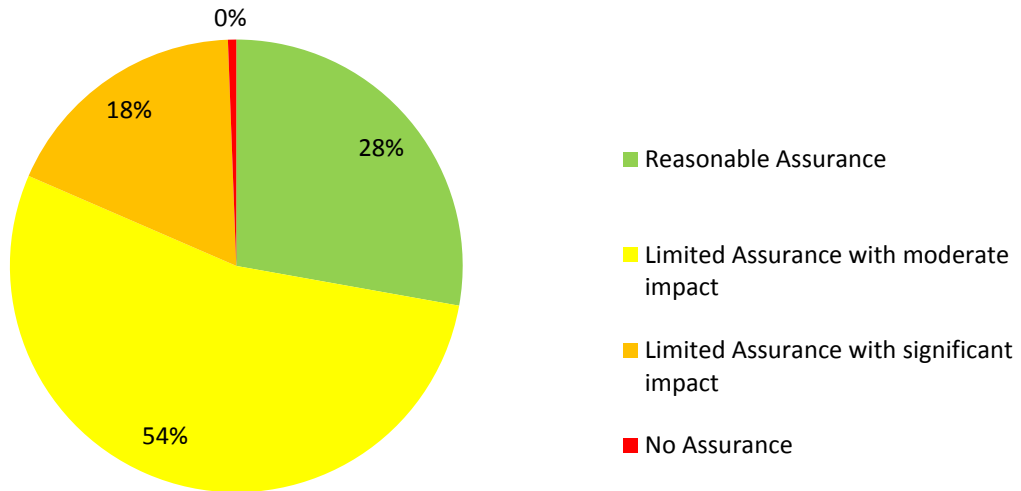
Annual audit opinion

The validated error rate constitutes the main element to estimate the amount at risk. Other sources of information to build up the annual declaration of assurance are: (i) the results of the Commission's own audit work in 2019 including the results of ex post controls on closed programmes, (ii) annual summaries of controls and national declarations; (iii) the opinions of the Units in charge of the management of the programmes and (v) experience from previous years.

Based on the above blocks of information, and as a result of the Commission desk and on the spot audit work described in the report, the auditors within DG HOME expressed an audit opinion on the effective functioning of each programme so as to ensure legality and regularity of expenditure paid by the Directorate General in 2019. These audit opinions are transmitted to the operational units concerned as an input for their management opinion which is also formulated for each annual programme.

¹⁷ Detailed methodology of ex post audit is presented in Annex 4

Level of Assurance based on External Audit by DG HOME



The details of implemented financial corrections per Member State are provided in Annex 10.

Assessment of the functioning of the management and control systems (including best estimate of error)

Based on the results of the audit work, the annual programmes are classified into four categories in accordance with the level of assurance that they provide as to the legality and regularity of payments made since the start of the programming period.

The results of the assessment of the management and control systems in the annual management opinion per annual programme are presented below, for closed Annual Programmes only.

IMPACT on Declaration of Assurance (based on functioning of systems, materiality and legality and regularity criteria)			Coverage		
			TOTAL	as % of Programmes closed at 31.12.2019	Payments to Programmes in question as % of 2007-2013 period payments in the year for closed APs
1	Reasonable assurance	Number of programmes	562	83,14%	82,71%
		Value of payments made	2.533.034.908,45		
2	Reasonable assurance with low risk	Number of programmes	20	2,96%	1,76%
		Value of payments made	53.904.839,43		
3	Limited assurance with medium risk	Number of programmes	49	7,25%	9,31%
		Value of payments made	285.132.448,97		
4	Limited assurance with high risk	Number of programmes	45	6,66%	6,22%
		Value of payments made	190.647.072,52		
			676		

The assurance is then translated into an amount at risk per annual programme. These amounts are subsequently added up and used to calculate the residual error rate for each one, and draw a general assessment per Fund. The overall results are presented in the below table.

Activity /Fund	Net Amount at risk (EUR) (cumulative)	Payments made (EUR) (cumulative)	Residual error rate in the total population (audited and not audited)	'Gross' error rate
EBF	25.772.542,92	1.495.384.008,86	1,72%	3,60%
RF	5.083.233,73	474.490.985,68	1,07%	1,85%
EIF	5.470.682,69	571.084.873,88	0,96%	3,51%
ERF	8.027.785,87	495.135.766,42	2,62%	4,14%
Total	44.354.245,21	3.036.095.634,84	1,46%	3,40%

The average residual error rate for all closed annual programmes across all four SOLID funds is 1,46%, hence below the materiality threshold of 2%.

A detailed table on the Member States and programmes for which the cumulative residual error rate is above 2% is provided in Annex 10. All in all, sixteen Annual Programmes in ten Member States present a cumulative residual error rate higher than 2%. In these cases, a contradictory procedure following an ex post audit is ongoing. Based on the above, reservations have been issued as detailed in section 2.1.4.

The below table summarises the payments made by DG HOME in 2019, in terms of activities per control system, as well as the key indicators (Residual error rates (RER) and cost-efficiency) available for each layer.

Control system	Total payments 2019 (EUR million) and % out of total payments	Indicators 2019	Indicators 2018
Control system 1 Shared management SOLID (MFF 2007-2013)	3,90	DER ¹⁸ : 3.40%	DER: 3.40%
	0,18%	RER: 1.46%	RER: 1.85%
reservation issued		<i>cost efficiency control system 1 "Shared Management (2007-2013 and 2014-2020)": 0.72%</i>	<i>cost efficiency control system 1 "Shared Management (2007-2013 and 2014-2020)": 1.05%</i>

Control system 1 Shared management AMIF/ISF (MFF 2014-2020)	795,73	DER: n/a	DER: n/a
	36,93%	RER: 1.57%	RER: 1,68%
reservation issued		<i>cost efficiency control system 1 "Shared Management (2007-2013 and 2014-2020)": 0.72%</i>	<i>cost efficiency control system 1 "Shared Management (2007-2013 and 2014-2020)": 1.05%</i>

¹⁸ Detected Error Rate

Control system 2 Direct management union actions and emergency assistance grants (MFF 2007 – 2013 and 2014-2020) reservation issued	371.14 17.23%	DER: 4,43% (2007-2013) / 4,50% (2014-2020) RER: 3,45% (2007-2013)/4,11% (2014-2020) <i>cost efficiency control system 2 "Direct Management - Grants": 1.31%</i>	DER: 3.61 RER: 2.89 <i>cost efficiency control system 2 "Direct Management - Grants": 1.89%</i>
Control system 2 Direct management research grants (FP7 and H2020) no reservation issued	30,84 1,43%	DER: 5.90% for FP7 and 2.78% for H2020 RER: 3.17% for FP7 and 2.40% for H2020 <i>cost efficiency control system 2 "Direct Management - Grants": 1.31%</i>	DER: 5.88% for FP7 and 2.43% for H2020 RER: 2.98% for FP7 and 2.83% for H2020 <i>cost efficiency control system 2 "Direct Management - Grants": 1.89%</i>
Control system 3 Direct management procurements no reservation issued	24.29 1,13%	DER: N/A RER: <2% <i>cost efficiency control system 3 "Direct Management - Procurements": 6.05%</i>	DER: N/A RER: 0.5% <i>cost efficiency control system 3 "Direct Management - Procurements": 5.63%</i>
Control system 4 Indirect management Entrusted Entities and Decentralised Agencies no reservations issued	704,94 32,72%	DER: N/A RER: <2% <i>cost efficiency control system 4 "Indirect management - Entrusted Entities and Decentralised Agencies": 0.28%</i>	DER: N/A RER: <2% <i>cost efficiency control system 4 "Indirect management - Entrusted Entities and Decentralised Agencies": 0.31%</i>
Control system 4 Indirect management Delegation Agreements no reservation issued	221,38 10,28%	DER: N/A RER: <2% <i>cost efficiency control system 4 "Indirect management - Entrusted Entities and Decentralised Agencies": 0.28%</i>	DER: N/A RER: <2% <i>cost efficiency control system 4 "Indirect management - Entrusted Entities and Decentralised Agencies": 0.31%</i>

Horizontal tasks - Other expenditure (non included in any control system) no reservation issued	2,23 0,10%	DER: N/A RER: <2% <i>cost efficiency for "Horizontal tasks - Other expenditure"²⁰ N/A</i>	DER: N/A RER: <2% <i>cost efficiency for "Horizontal tasks - Other expenditure"¹⁹ (not included in any control system): 3.32%</i>
Total	2.154,45	RER: 1.55% cost efficiency: 0.7%	RER: 1.53% cost efficiency: 1.04%

¹⁹ Administrative expenditure, various administrative arrangements for AMIF/ISF/SOLID and the annual contribution to EACEA paid by DG HOME.

²⁰ Idem.

Shared Management 2014-2020 - AMIF & ISF Cumulative Amount at Risk

31 December 2019	AMIF			ISF		
Member State / Associated Country	Cumulative EU Payments in Mio. EUR	Cumulative Residual Error Rate	Cumulative Amount at Risk in Mio. EUR	Cumulative EU Payments in Mio. EUR	Cumulative Residual Error Rate	Cumulative Amount at Risk in Mio. EUR
AT - Austria	38,60	1,53%	0,59	14,88	0,93%	0,14
BE - Belgium	80,37	1,50%	1,21	8,36	0,76%	0,06
BG - Bulgaria	3,44	1,01%	0,03	21,49	1,19%	0,26
CY - Cyprus	14,34	0,82%	0,12	12,75	0,86%	0,11
CZ - Czech Republic	6,58	0,82%	0,05	6,82	0,76%	0,05
DE - Germany	277,18	1,22%	3,40	60,99	5,00%	3,05
DK - Denmark				2,47	5,00%	0,12
EE - Estonia	5,77	1,33%	0,08	25,40	1,32%	0,33
ES - Spain	172,14	1,18%	2,03	98,76	0,83%	0,82
FI - Finland	58,33	5,00%	2,92	35,17	5,00%	1,76
FR - France	117,37	5,00%	5,87	25,87	5,00%	1,29
GR - Greece	79,87	1,12%	0,89	28,06	1,14%	0,32
HR - Croatia	3,93	0,33%	0,01	10,21	0,11%	0,01
HU - Hungary	5,39	1,03%	0,06	26,56	0,79%	0,21
IE - Ireland	21,68	1,07%	0,23	2,87	5,00%	0,14

IT - Italy	146,93	0,98%	1,44	101,42	0,70%	0,71
LT - Lithuania	7,51	0,97%	0,07	59,68	0,74%	0,44
LU - Luxembourg	8,47	1,35%	0,11	3,12	0,49%	0,02
LV - Latvia	6,91	1,16%	0,08	14,48	1,14%	0,17
MT - Malta	7,33	0,73%	0,05	34,42	1,50%	0,52
NL - Netherlands	103,15	0,85%	0,87	18,05	0,95%	0,17
PL - Poland	20,18	0,57%	0,11	23,51	0,03%	0,01
PT - Portugal	22,25	0,74%	0,16	20,93	0,51%	0,11
RO - Romania	12,72	1,06%	0,14	52,10	0,51%	0,26
SE - Sweden	124,01	0,88%	1,09	9,56	0,65%	0,06
SI - Slovenia	4,65	1,17%	0,05	13,40	0,79%	0,11
SK - Slovakia	4,04	1,65%	0,07	14,31	0,71%	0,10
UK - United Kingdom	174,08	1,50%	2,62			
CH - Switzerland				2,83	0,60%	0,02
ISL - Iceland				1,38	5,00%	0,07
LI - Lichtenstein				-	1,50%	-
NO - Norway				6,03	1,53%	0,09
Total	1.527,21	1,59%	24,36	755,90	1,53%	11,53

SOLID Cumulative Net Amount at Risk per Member State (in Millions €)

Member State	EIF			ERF			RF			EBF		
	Net Amount at Risk	Payments of closed APs	RER	Net Amount at Risk	Payments of closed APs	RER	Net Amount at Risk	Payments of closed APs	RER	Net Amount at Risk	Payments of closed APs	RER
Austria (AT)	0,52	12,83	4,02%	2,28	27,18	8,38%	1,19	13,53	8,79%	1,86	10,56	17,64%
Belgium (BE)	0,05	12,38	0,43%	0,85	26,73	3,18%	0,18	21,61	0,85%	0,01	13,81	0,08%
Bulgaria (BG)	0,02	3,52	0,62%	0,03	7,29	0,40%	0,01	2,33	0,32%	0,11	31,77	0,33%
Switzerland (CH)	-	-	-	-	-	-	-	-	-	0,01	17,61	0,03%
Croatia	-	-	-	-	0,08	-	-	0,31	-	-	-	-
Cyprus (CY)	0,02	5,00	0,41%	0,01	9,92	0,11%	0,02	7,26	0,26%	2,69	21,74	12,37%
Czech republic (CZ)	0,03	11,34	0,26%	0,03	3,43	0,83%	0,03	1,80	1,47%	0,08	8,93	0,90%
Denmark (DK)	-	-	-	-	-	-	-	-	-	-	6,65	0,00%
Estonia (EE)	0,06	6,61	0,88%	0,00	2,12	0,04%	0,00	1,62	0,02%	0,00	26,40	0,00%
Finland (FI)	0,50	5,51	9,09%	0,19	14,02	1,32%	0,05	4,45	1,13%	0,14	50,24	0,29%
France (FR)	0,60	43,47	1,38%	0,65	49,45	1,32%	0,12	67,03	0,18%	1,59	119,57	1,33%
Germany (DE)	0,33	84,15	0,39%	0,67	66,46	1,0%	0,19	23,36	0,80%	0,12	75,94	0,16%
Greece (EL)	0,15	12,54	1,19%	-	30,73	0,00%	0,93	79,67	1,17%	1,72	141,34	1,21%
Hungary (HU)	0,04	9,21	0,44%	0,01	7,18	0,17%	0,03	5,59	0,56%	4,92	49,73	9,89%
Ireland (IE)	0,21	4,32	4,82%	0,40	4,87	8,21%	0,24	3,45	7,02%	-	-	-
Iceland (ISL)	-	-	-	-	-	-	-	-	-	-	0,43	0,00%
Italy (IT)	0,51	133,94	0,38%	0,35	48,33	0,72%	0,00	39,69	0,01%	1,48	230,95	0,64%
Latvia (LV)	0,00	7,05	0,00%	0,00	2,87	0,06%	0,02	3,28	0,58%	0,05	16,69	0,31%
Lithuania (LT)	-	4,98	0,00%	-	3,21	0,00%	0,03	3,64	0,69%	5,77	135,11	4,27%
Luxembourg (LU)	0,02	2,95	0,62%	0,00	2,48	0,00%	-	1,51	0,00%	-	0,35	0,00%
Malta (MT)	0,00	1,30	0,08%	0,00	11,30	0,00%	0,00	2,74	0,14%	0,51	67,42	0,76%
Norway (NO)	-	-	-	-	-	-	-	-	-	0,08	10,55	0,78%
Poland (PL)	0,10	17,41	0,57%	0,53	12,68	4,20%	0,23	15,72	1,47%	0,96	70,42	1,36%
Portugal (PT)	0,14	13,23	1,04%	0,02	2,23	0,78%	0,04	4,98	0,85%	0,06	13,46	0,43%
Romania (RO)	0,00	4,78	0,01%	-	3,13	0,00%	0,00	5,04	0,01%	0,26	47,97	0,54%
Slovakia (SK)	0,01	4,10	0,32%	0,06	4,95	1,19%	0,19	4,53	4,18%	0,30	8,18	3,62%
Slovenia (SI)	0,01	3,95	0,21%	0,04	2,94	1,30%	0,00	1,91	0,21%	1,33	37,56	3,55%
Spain (SP)	1,22	85,50	1,43%	0,12	8,34	1,46%	0,38	69,63	0,55%	1,41	252,20	0,56%
Sweden (SE)	0,12	14,28	0,82%	0,75	68,09	1,10%	0,03	9,71	0,34%	0,01	8,37	0,06%
The Netherlands (NL)	0,03	11,71	0,28%	0,18	25,14	0,72%	0,14	21,29	0,68%	0,31	21,45	1,43%
The United Kingdom (UK)	0,78	55,01	1,42%	0,60	50,00	1,19%	1,01	58,81	1,72%	-	-	-
Total	5,47	571,08	0,96%	7,76	495,14	1,57%	5,08	474,49	1,07%	25,77	1.495,38	1,72%

		Level of assurance	
Total payments	3.036,10		RER below 2%
Overall RER	1,45%		2% < RER < 5%
			5% < RER < 10%
			RER above 10%

Financial Corrections Made in 2019 per Member State for SOLID 2007-2013 Programmes

Member State	EIF	RF	EBF	ERF	Total
Austria	-	-	-	-	-
Belgium	-	-	-	-	-
Bulgaria	-	-	-	-	-
Croatia	-	-	-	-	-
Cyprus	-	-	-	-	-
Czech Republic	-	-	1.566.255,65	919,25	1.567.174,90
Denmark	-	-	-	-	-
Estonia	-	-	-	-	-
Finland	-	-	-	-	-
France	2.467.362,22	-	2.532.107,01	-	4.999.469,23
Germany	2.875.402,13	3.053,72	-	1.447.147,21	4.325.603,06
Greece	433.538,44	-	-	-	433.538,44
Hungary	5.604,43	-	-	4.293,70	9.898,13
Iceland	-	-	-	-	-
Italy	24.286,82	-	-	-	24.286,82
Ireland	-	-	-	-	-
Latvia	-	-	-	-	-
Lithuania	-	-	-	-	-
Luxembourg	-	-	-	-	-
Malta	-	-	-	-	-
Netherlands	-	-	-	-	-
Norway	-	-	-	-	-
Poland	-	-	-	-	-
Portugal	-	-	-	-	-
Romania	-	-	-	11.242,28	11.242,28
Slovakia	-	-	-	-	-
Slovenia	-	-	-	-	-
Spain	-	-	-	-	-
Sweden	-	-	-	-	-
Switzerland	-	-	-	-	-
United Kingdom	-	424.586,76	-	-	424.586,76
Total	5.806.194,04	427.640,48	4.098.362,66	1.463.602,44	11.795.799,62

Emergency assistance in the framework of AMIF and ISF instruments (direct and indirect management), awarded in 2019²¹

	Fund	Member State	Coordinator	Project Title	Amount awarded (EUR)
1	ISF-P	Belgium	Belgian Federal Police	EU-SIUUV (Special Intervention Unit Emergency Vehicle)	997.911,00
2	AMIF	Italy	Ministry of Interior	LGNet Emergency Assistance (LGNetEA): Local Government Network for Rapid Response and Fast Track Inclusion Services in Disadvantaged Urban Areas	10.291.188,10
3	ISF-BV	Hungary	Ministry of Interior	Addressing the migration crisis situation on the external borders of Hungary	20.000.000,00
4	AMIF	Italy	Ministry of Interior / Apulia Region	SU.PR.EME. ITALIA - Sud Protagonista nel superamento delle Emergenze in ambito di grave sfruttamento e di gravi marginalità degli stranieri regolarmente presenti nelle 5 regioni meno sviluppate	30.237.546,36
5	AMIF	Italy	Ministry of Interior	EmAs.Com– Empowerment Asylum Commission	9.102.047,40
6	AMIF	Bulgaria	State Agency for Refugees with the Council of Ministers (SAR)	Improvement of the security and the accommodation conditions in the centers for asylum seekers in Republic of Bulgaria	1.290.977,10
7	ISF-BV	Spain	GUARDIA CIVIL	AMIGO-2019 - ACTIONS IN RESPONSE TO THE MIGRATORY SITUATION IN THE SOUTH OF SPAIN	3.051.252,71
8	ISF-BV	Spain	Directorate-General of the Police (DGP)	Provision of integral services in the area of infrastructures and support services prior to the identification, in relation to the mass influx of emigrants (CATEsur project)	5.363.869,17
9	AMIF	Italy	Ministry of Education, Universities and Research	Linguistic alphabetisation and access to education for unaccompanied foreign minors 1	4.808.229,15
10	AMIF	Greece (other actors)	IOM	MERIMNA – Safeguarding children at Greek border points	4.265.537,50
11	AMIF	Luxembourg	Ministry of Foreign and European Affairs	Transfer of asylum seekers from other Member States to the Grand-Duchy of Luxembourg	180.000,00
12	AMIF	Italy	Ministry of Education, Universities and Research	Linguistic alphabetisation and access to education for unaccompanied foreign minors 2	4.293.200,38
13	AMIF	Malta (other actors)	IOM	Voluntary Relocation from Malta to EU Member and Associated States of Relocation - ReMa	474.891,42
14	AMIF	Spain	Directorate-General of the Police (DGP)	VTEX-II Project (Vehicles for the Transfer of Foreigners in an Irregular Situation) - Improving the quality of the transfer of irregular immigrants in situations of mass influx.	774.085,35
15	ISF-BV	Greece (other actors)	IOM	SAMOS – Supporting the Greek Government in constructing a new Identification and Reception Centre in Samos (Phase I) ²²	333.371,77

²¹ For all the applications mentioned in bold, the emergency assistance grant in the framework of AMIF and ISF Borders and Visa was awarded for actions that had already begun, as the applicants demonstrated the need for starting the action prior to signature of the grant agreement (derogation from the principle of non-retroactivity of grants pursuant to Art 193 of the Financial Regulation applicable to the general budget of the Union)

²² It was withdrawn by the applicant, as it was absorbed by application SAMOS – Phase II (point 16 in the table).

	Fund	Member State	Coordinator	Project Title	Amount awarded (EUR)
16	ISF-BV	Greece (other actors)	IOM	SAMOS – Supporting the Greek Government in constructing a new Identification and Reception Centre in Samos (Phase II)	6.900.000,00
17	AMIF	Italy	Ministry of Interior	Life-saving assistance through humanitarian evacuations from Libya and Niger to Italy	702.963,31
18	AMIF	Finland	Finnish Immigration Service	Relocation: 8 asylum seekers from Italy and 5 from Malta	78.000,00
19	AMIF	Greece (other actors)	IOM	SAFE – Providing Security Services to Open Accommodation Sites in Mainland Greece ²³	3.750.000,00
20	AMIF	Greece (other actors)	UNHCR	Continuation of targeted support to key protection activities in Greece	24.000.000,00
21	AMIF	Greece (other actors)	IOM	HELIOS - Hellenic Integration Support for beneficiaries of International protection	47.168.302,92
22	AMIF	Greece	Asylum Service - Ministry of Migration Policy	Improving access to a fair and efficient Asylum Process in Greece	10.207.624,66
23	AMIF	Spain	Ministry of Labour, Migrations and Social Security	Strengthening Spain's action along its coastlines within the scope of the Humanitarian Assistance Programme	7.015.344,48
24	ISF-BV	Croatia	Ministry of Interior	Reinforcement of border control activities at the Croatian border due to increased migratory pressure.	11.352.518,68
25	AMIF	Cyprus	Ministry of Labour, Welfare and Social Insurance	Strengthen the existing structures and operational capacity of the Social Welfare Services to cope with the rapidly increasing numbers of asylum seekers and unaccompanied minors	1.792.834,22
26	ISF-BV	Belgium	Federal Police	BEACON: Improving Border Surveillance and CONTROL	1.803.335,97
27	AMIF	Greece (other actors)	IOM	FILOXENIA I - Temporary Shelter and Protection for the Most Vulnerable Migrants in Greece (amendment 1)	15.499.198,67
28	AMIF	Greece (other actors)	IOM	FILOXENIA I - Temporary Shelter and Protection for the Most Vulnerable Migrants in Greece (amendment 2)	16.429.021,20
29	AMIF	Greece (other actors)	IOM	PEDIA – Providing Education and Immediate Accommodation to Migrant Children in Greece (amendment)	12.517.441,93
30	AMIF	Greece (other actors)	IOM	Improving the Greek Reception System through Site Management Support and Targeted Interventions in Long-Term Accommodation Sites (amendment 1)	2.756.899,75
31	AMIF	Greece (other actors)	IOM	Improving the Greek Reception System through Site Management Support and Targeted Interventions in Long-Term Accommodation Sites (amendment 2)	5.219.816,86
32	AMIF	Greece (other actors)	UNHCR	2019 ESTIA programme: Multi-Purpose Cash Grants & Rental Accommodation Scheme (amendment) ²⁴	4.153.413,25

²³ The applicant's intention is to withdraw it.

²⁴ The applicant's intention is to withdraw it.

ANNEX 11: Specific annexes related to "Assessment of the effectiveness of the internal control systems"

Annex 11 to be provided only if needed (optional & free content), for more details on AAR Section 2.1.3. See the Guidance for examples of such information.

ANNEX 12: Performance Tables

General objective 1: Towards a New Policy on Migration

Impact indicator 1a: **Rate of return of irregular migrants (total and to third countries)**

Explanation: **The indicator measures the % of effected returns compared to return decisions issued by the Member States.**

Source of the data: **Eurostat**²⁵ [[migr_eiord](#) / [migr_eirtn](#)], **DG HOME**

Baseline (2014)	Target (2020)	Latest known results (2019)
41.75% ²⁶ (total return rate)	Increase	37,82% (total return rate)
36.2% (return rate to third countries)	No quantified target was set. 'Increasing' the rate of return of irregular migrants is an agreed objective specified <i>i.a.</i> in the Communication on the EU Action Plan on Return [COM(2015)453 final, September 2015].	31.50% (return rate to third countries)

For returns to be effective, internal and external measures have to go hand in hand. DG HOME will continue to invest in dialogues with partner countries to establish effective readmission agreements and arrangements that improve cooperation in the areas of identification, provision of documents and orderly return, and are backed up by a battery of tools and networks to support implementation. DG HOME will also continue to address the important internal dimension of the work on returns, such as the implementation of existing instruments by Member States. From a legislative angle, the proposed recast of the Return Directive would notably help preventing absconding and secondary movements, closing the loopholes between the return and asylum procedures, streamlining the appeal procedures and promoting voluntary returns. In addition, the European Border and Coast Guard Agency is now equipped to support the return process optimising logistics and resources; it should also be used to its full potential.

²⁵ Eurostat collects both the nominator and the denominator annually from the Ministries of Interior / Border Guards / Police of the Member States. The data depend very much on national circumstances and policies. In addition, the time lag between the return decision and its execution means that the reference population of the nominator and denominator are not the same.

²⁶ Eurostat periodically revises its published data to reflect new or improved information also for previous years; the 2014 baseline was updated from 40% to 41.8% and again to 41.75%.

Impact indicator 1b: Gap between the employment rates of third-country nationals compared to EU nationals ²⁷ , age group 20–64 Source of the data: Eurostat [lfsa ergan]		
Baseline (2014)	Target (2020) Considering the recent increase of the employment gap between third-country nationals compared to EU nationals (the gap was only 10.6 points in 2010 against 13.4 in 2014), a decrease in 2020 compared with the baseline would be a good result, considering the high influx of refugees in the EU during the 2014-2016 period and the length of integration on the labour market of this category of third-country nationals.	Latest known results (2019)
Gap: 13.4 points ²⁸ EU nationals: 69.7% Third-country nationals: 56.3%	Decrease	Gap: 14.0 percentage points EU nationals: 74.6% Third-country nationals: 60.6% The gap peaked in 2017 (15.5 percentage points) before declining to 14.6 pps in 2018 and 14.0 pps in 2019.

²⁷ Host-country nationals and other EU nationals counted together.

²⁸ Please note that Eurostat periodically revises its published data to reflect new or improved information also for previous years. The 2014 baseline was updated from 69.8% to 69.7% for EU nationals and from 56.4% to 56.3% for third country nationals.

Specific objective 1.1: Reduce incentives for irregular migration **Related to spending programmes Asylum, Migration and Integration Fund, and Internal Security Fund – Police**

Result indicator 1.1a: Number of joint return operations initiated and carried out by the European Border and Coast Guard Agency (EBGCA, or Frontex)²⁹

Source of data: EBCGA

Baseline (2015)	Interim Milestone (2018)	Target (2020)	Latest known results (2019)
66	120	130 Frontex Return Office established and adequately staffed to sustain efficient and ongoing joint return operations on a regular basis. This figure is dependent on the volatility of relevant external factors (e.g. political situation in the third countries implementing readmission agreements, third country nationals that abscond in order not to be returned etc.)	330 return operations were EBCGA coordinated and co-financed at EU level, with in total 10,907 returnees. In addition, through the scheduled flights project, the Agency organised 3,613 Return Operations in 2019 with 4,776 returnees to 81 different countries.

²⁹ The number of joint return operations organised by Frontex depends on the demand for support on return from the Member States and ultimately on the number of return decisions issued to irregular migrants in the EU.

Result indicator 1.1b: Number of human smuggling investigations supported by Europol			
Source of data: Europol			
Baseline (2015)	Interim Milestone (2018)	Target (2020)	Latest known results (2019)
<p>8 929 contributions from Member States³⁰</p> <p>211 analysis reports providing information on several hits with telephone numbers, addresses and persons were forwarded to EU Member States.</p> <p>11 joint action days were coordinated and supported by Europol.</p> <p>Europol continuing support in 140 investigations on migrant smuggling in 2016</p>	<p>Increase the number of analysis reports on migrant smuggling produced by Europol in order to provide Member states with information on hits in Europol's databases. This is especially plausible in light of the establishment of the European Migrant Smuggling Centre (EMSC) and the significant resources committed to it.</p> <p>Increased number of joint action days/arrests as a result of Europol's supporting actions</p>	<p>Significantly increased flow of intelligence and information on migrant smuggling to Europol resulting in Increased Europol capacity to proactively support and contribute to migrant smuggling investigations leading to disruption of smuggling operations. This figure is dependent on the volatility of relevant external factors (e.g. political situation in the third countries and migratory flows and number irregular migrants wishing to enter Europe), and capability of MS law enforcement agencies.</p>	<p>20,525 contributions from Member States were processed.</p> <p>525 operational analytical products were produced by the EMSC analysts and specialists.</p> <p>56 action days related to migrant smuggling were supported by Europol.</p> <p>104 High Priority cases were supported by the European Migrant Smuggling Centre.</p>

³⁰ The Member States have ownership of the data. For this reason the updated figure for 2015 –8 929 – is different from the one provided in the Strategic Plan -6 521. This is not however unusual since data may change depending on the date of extraction, be affected by new insertions or deletions and especially due to the re-categorisation of contributions which can occur at a later stage. It is also fair to say that the exponential increase of migrant smuggling contributions created a significant back-log. Launching and strengthening the EMSC made it possible to accelerate the processing of all this information.

Main outputs in 2019:

Delivery on legislative proposals pending with the legislator

Output	Indicator	Target	Latest known results (situation on 31 December 2019)
Proposal to revise the Regulation on the European network of immigration liaison officers	Adoption by the co-legislators	May 2019	Target reached Regulation (EU) 2019/1240 of 20 June 2019.
Proposal for a recast of the Directive on common standards and procedures in Member States for returning illegally staying third-country nationals (recast Return Directive)	Adoption by the co-legislators	May 2019	Partial general approach adopted in the Council on 7 June. Awaiting the position of the European Parliament.
Proposal on Asylum and Migration Fund Proposal on Integrated Border Management Fund	Political agreement	May 2019	Partial general approach adopted in the Council on 7 June. European Parliament adopted its position in first reading. Negotiations ongoing.

Important items from work programmes/financing decisions/operational programmes

For a complete listing of expenditure-related outputs please refer to the Programme Statements published together with the [Draft Budget for 2019](#).

Output	Indicator	Target	Latest known results (situation on 31 December 2019)
Support and monitoring actions provided to MS to implement the Asylum, Migration and Integration Fund (AMIF) and the Internal Security Fund (ISF) Police	<ul style="list-style-type: none"> - Number of monitoring visits in Member States - Number of meetings (Committees, informal workshops etc) with MS to exchange best practices and ensure performance of implementation 	<ul style="list-style-type: none"> - At least 1 visit to each Member State - At least 5 meetings 	<p>Target partially reached Monitoring missions have been carried out in all Member States, except Slovenia, to which priority will be given in 2020.</p> <p>All the Member States and Schengen Associated Countries were closely monitored either on the ground or through other processes.</p> <p>2 AMIF-ISF Committee Meetings held in Brussels giving DG HOME desk officers the chance to</p>

			exchange information with Member States, as well as a number of workshops on topics including Audits and Procurement.
Revision of the National Programmes under the AMIF to re-commit the unused amounts initially committed to the implementation of the relocation Decisions (2018/0371(COD))	Number of the Commission Implementing Decisions adopted within the required period for revision (6 months)	Commission Decisions regarding 27 National Programmes	<p>Target partially reached</p> <p>Not all AMIF National Programmes were concerned. With the exception of 2 Member States (Estonia and Slovakia, which did not avail of the opportunity), the vast majority made use of the opportunity to revise their Programmes.</p> <p>All the required decisions were adopted on time and the re-commitment was made in respect to 22 National Programmes.</p>
Programming actions and financing decisions related to direct management of the Asylum, Migration and Integration Fund (AMIF) and the Internal Security Fund (ISF) Police – Union Actions and emergency assistance PLAN/2018/4126 PLAN/2018/4123	Adoption of all relevant Annual Work Programmes 2019 under AMIF (Union Actions ³¹) and under ISF Police (Union actions and emergency assistance)	Adopted for the full coverage of the budget by Q1 2019	<p>Target reached</p> <p>All work programmes adopted in Q2 2019.</p>
Contracts and grant agreements for Union Actions under AMIF and ISF Police	Completion of the legal commitments to implement actions of the 2018 Work Programmes under AMIF and ISF Police	100% of the available budget committed	<p>Target partially reached</p> <p>ISF Police: Total EUR 69.99 million, of which committed EUR 67.73 million (96,77% commitment rate).</p> <p>AMIF: Total EUR 71.07 million, of which committed</p>

³¹ The AMIF Emergency assistance 2019 work programme was adopted in 2018.

			EUR 69.92 million (98.4% commitment rate).
Actions funded under emergency assistance AMIF (EMAS AMIF) to cover most pressing emergency needs	Level of actions supported by EMAS AMIF that cover the most pressing emergency needs	100% of actions funded to cover most pressing emergency needs based on the submitted applications	<p>Target reached</p> <p>Already in the beginning of 2019 the appropriations available from 2018 (EUR 43.8 million) were fully exhausted.</p> <p>The 2019 appropriations increased from the initially allocated EUR 25 million to EUR 616.8 million, following two top-ups (EUR 516.9 million and EUR 74.9 million). Out of the total amount, in 2019 EUR 163.1 million were committed. The remaining 2019 appropriations EUR 452.9 million is about to be committed in the beginning of 2020.</p>
Other important outputs			
Output	Indicator	Target	Latest known results (situation on 31 December 2019)
Management and follow-up of bilateral cooperation with priority partner countries	Meetings organised by DG HOME	At least 1 meeting with each of the partner countries	<p>Target partially reached</p> <p>Meetings held with Afghanistan, Algeria, Bangladesh, China, Colombia, Egypt, Ghana, India, Iraq, Iran, Mali, Mexico, Morocco, Tunisia and Turkey, USA, Canada, Australia and Israel. Other countries were not ready to meet.</p>
Management of the Prague Process and of the Budapest Process	Workshops organised where HOME policy priorities are reflected	3 workshops	<p>Target reached</p> <p>A number of tailor-made workshops, seminars, study visits and trainings were held addressing different aspects of migration management.</p> <p>Within the Prague Process:</p> <ul style="list-style-type: none"> • 19-21 March: Training Workshop on Integrated Border Management and Return, Kiev • 9-11 April: Study Visit to the Federal Office for Migration and Refugees of Germany (BAMF), Nuremberg • 24-26 September: Training Workshop on

			<p>Labour Migration Management, Budva (Montenegro)</p> <ul style="list-style-type: none"> • 8-10 October: Training on Migration Data Management, Vilnius
Support provided to the African Union (AU) and African, Caribbean and Pacific (ACP) processes	EU Home Affairs priorities reflected in reports of the AU-EU Summit and ACP-EU Dialogue on Migration and Development, as well as in reports and in the final text of EU-ACP Post Cotonou negotiations	Q4 2019	<p>Target reached</p> <p>Three meetings/videoconferences held with the AU Commission to monitor and enhance the Continent-to-Continent Migration and Mobility Dialogue.</p>
Participation in Khartoum process, in Rabat process	Number of meetings attended and for which DG HOME coordinated COM inputs	At least 4 meetings	<p>Target reached</p> <p>Khartoum process:</p> <ul style="list-style-type: none"> • Thematic Meeting on Migration for Development: Harnessing the Potential of Diaspora, 23-24 October, Asmara, Egypt • Thematic Meeting on Legal Frameworks and Policy Development: Optimising the Benefits of Organised Labour Migration, 24th - 25th September, , Cairo, Egypt • Steering Committee Meeting and Senior Officials' Meeting, 6th - 7th March, Asmara, Eritrea <p>Rabat Process</p> <p>1 Senior Officials Meeting, 3 Thematic Meetings (on border management, on migrant smuggling, on diaspora and remittances), 4 Steering Committee Meetings.</p>
Contribution to the implementation of the La Valetta action plan	EU Home Affairs priorities reflected in meeting reports	Participation to at least 2 meetings	<p>Targets reached</p> <p>Two meetings with the Joint Valletta Action Plan</p>

		Declarations following the meetings reflect EU policies on migration	(JVAP) stake-holders.
Advancing the work and actions on the implementation of the Western Balkan Strategy in particular Flagship 2	Strategic inputs provided to high level conferences on Western Balkans Relevant actions under the strategy initiated/completed in 2019	At least 3 high level conferences	<ul style="list-style-type: none"> Migration challenges along the Eastern Mediterranean/Western Balkan route, Vienna, 3 May EU-Western Balkans Ministerial meeting, Skopje, 18-19 November
Support provided to the UN Global Compacts processes on migration and on refugees	EU Home Affairs priorities reflected in meeting reports, in the implementation process and in particular in the Modalities of the International Migration Review Forum	Participation to at least 2 meetings Declarations following the meetings reflect EU policies on migration	<ul style="list-style-type: none"> Global Refugee Forum, Geneva 16-19 December
Operational deployment of EMLOs – support through training and monitoring	<ul style="list-style-type: none"> - Number of training sessions - Number of video conferences - Number of country reports produced by EMLOs 	<ul style="list-style-type: none"> - One 3-day networking/training event Q1 2019 - 4 video conferences - 100 reports 	<p>Targets reached</p> <ul style="list-style-type: none"> - The EMLO seminar took place on 22-24 May in Brussels. - 4 videoconferences were held with EMLOs. - 93 reports have been received from the EMLOs. <p>The lower number of reports is due to the changes related to EMLOs departures/arrivals with uncovered periods) and the fact that (mainly in the summer period) some reports covered more than one month.</p>
Implementation of the EU Action Plan on Migrant Smuggling	- Number of expert meetings to implement different priority strands in	- 5	Targets partially reached 2 European Migration Network meetings on Information and Awareness raising campaigns

	<p>the action plan</p> <ul style="list-style-type: none"> - Number of cooperation platforms launched on migrant smuggling in third countries - Number of common operational partnership (also known as Joint Investigation Team) supporting law enforcement cooperation between EU Member States and third countries on migrant smuggling - Number of awareness raising and information campaigns on the risks of irregular migration in selected third-countries 	<ul style="list-style-type: none"> - At least 1 -At least 1 -At least 1 	<p>(February and October).</p> <p>1 Inter-service group on migrant smuggling (March)</p> <p>1 Steering Board meeting of the European Network of Immigration Liaison Officers (November 2019)</p> <p>1 meeting with NGOs (October)</p> <p>No new cooperation platform launched, a follow-up meeting (third) was organised in Nigeria in June. As the European Migration Liaison Officers are located in key countries of origin and transit, they also foster important cooperation between local authorities and the EU.</p> <p>1 common operation partnership with Senegal launched under the EU Trust Fund.</p> <p>Signature of another grant agreement for a common operational partnership, under ISF-P on 31 December: the project will kick off in 2020 and is made up of several sub-projects involving Member States (Austria, France, Netherlands, Germany, Italy) and third countries (Guinea, Ivory Coast, Tunisia, Morocco, Nigeria, Horn of Africa and AFRIPOL) with the aim of strengthening cooperation on migrant smuggling and trafficking in human beings.</p> <p>6 information and awareness raising campaigns (AMIF funded) on the risks of irregular migration kicked-off in 2019 in Guinea Conakry, Ivory Coast, Mali, Niger, The Gambia and Tunisia.</p> <p>Diaspora communities such as the Senegalese diaspora in several EU Member States have also been engaged in this work through the funding of</p>
--	--	--	--

			2 projects kicking off in 2019.
<p>Monitoring of</p> <ul style="list-style-type: none"> - The implementation of EU Action Plan on Migrant Smuggling - The performance of return systems across the EU (EU Member States and EBCGA) 	<p>Number of inputs to progress reports on the European Agenda on Migration with a focus on:</p> <ul style="list-style-type: none"> - EU Action Plan on Migrant Smuggling - Returns and readmissions 	<ul style="list-style-type: none"> - At least 1 input on migrant smuggling - At least 1 input on returns and readmissions 	<p>Targets reached</p> <p>Input provided to two progress reports on the implementation of the European Agenda on migration (6 March and 16 October) – on both smuggling and return & readmission.</p>
<p>Schengen evaluations on return (in line with Regulation 1053/2013)</p> <p>More information on multi-purpose Schengen evaluations, is provided under Objective 1.2</p>	Number of on-site visits	At least 5 Member States	<p>Target reached</p> <p>6 Member States visited, including one unannounced visit.</p>
Continuation of negotiations with a view to concluding new readmission agreements	Number of countries with which negotiations will continue in 2019	5 countries	<p>Target reached</p> <p>Ongoing with China, Tunisia and Nigeria. Finalised with Belarus (agreement pending conclusion). Not yet re-launched with Morocco.</p>
Continuation of dialogues to establish new informal readmission arrangements	Number of countries with which dialogues will continue in 2019	3 countries	<p>The dialogue with Iran is on-hold due to the country's political situation.</p> <p>While engagement has continued with Ghana, it has shown little prospect for concrete steps towards formalising cooperation in the field of readmission practices, and is not a priority at EU level anymore.</p> <p>No other third countries has been approached in view of establishing informal readmission arrangements.</p>
Continuation of dialogues to implement existing readmission agreements and informal readmission arrangements	Number of countries with which dialogues are continued in 2019	8 countries	<p>Target reached</p> <p>Dialogues continued with all the third countries with readmission instruments (i.e. 23).</p>

Specific objective 1.2: Border management: Save lives and secure EU external border			Related to spending programme ISF Borders and Visa, Horizon 2020
Result indicator 1.2a: Reintroduced controls at internal borders (excluding cases notified due to the big events, meetings, summits etc.)			
Source of data: Member States			
Baseline (2015)	Interim Milestone (2018)	Target (2020)	Latest known results (2019)
4 cases (AT, DE, FR, SE)	0	0	<p>Border controls further prolonged in 2019 until end-April 2020 (FR) and until mid-May 2020 (AT, DE, DK, SE, NO).</p> <p>Prolongations were justified by the continuous serious threats related to secondary movements and by the security situation in Europe.</p> <p>The decisions on prolongation of border controls at internal borders belongs to the Member States. In the situation where the grounds of such decisions differ, the time-limits set out in the Schengen Borders Code may not apply.</p> <p>The proposed amendment of the relevant applicable rules in this regard (Schengen Borders Code) has not yet been adopted.</p> <p>In view of the above and of the temporary border controls introduced by a number of Member States in March 2020, in response to the unprecedented COVID-19 pandemic evolving across Europe, the target of 2020 may be difficult to reach.</p>
Result indicator 1.2b: Number of Frontex Joint Operations coordinated at EU external borders			
Source of data: EBCGA			
Baseline (2013)	Interim Milestone (2018)	Target (2020)	Latest known results (2019)
17 joint operations (JO) for 88 502 ³² man/days	increase	Increased operational activity compared to the baseline. The increase compared to the baseline reflects the need of increased EU support in the field of external border management in the context of the migratory crisis where the national border management systems of the frontline MS are	<p>The activities totalled 263,833 deployed man-days.</p> <p>It is not the number, but the size and quality of operations that are important. A decrease in the number of operations is therefore not an indicator for decreased activity.</p>

³² The figure indicated in the Strategic Plan was wrong and corrected (from 2,283 to 88,502)

exposed to disproportionate migratory pressure.

Result indicator 1.2c: Number of fully operational hotspots in reference to the number of hotspots identified

Source of data: Progress reports on the implementation of the hotspots³³ and hotspots daily reports

Baseline (2015)	Interim Milestone (2016)	Target On 13 May 2015, the Commission announced the setting up of the 'hotspot' approach under the European Agenda on Migration. On 29 September 2015, the Commission adopted a Communication ³⁴ calling for the full roll-out of the Relocation Scheme and Migration Management Support Teams working in 'hotspot' areas. On 14 October 2015, the Commission presented a Communication ³⁵ setting out the next steps for the coming six months. On this basis, hotspots should be operational by March 2016. In its conclusions on 17 December 2015, the European Council recalled that deficiencies in the functioning of hotspots should be rapidly addressed. Five hotspot areas have been identified by the Greek authorities in Lesbos, Leros, Kos, Chios and Samos. Italy has identified six hotspot areas in Lampedusa, Pozzallo, Porto Empedocle/Villa Sikania, Trapani, Augusta and Taranto.	Latest known results (2019)
By the end of 2015, 2 hotspots were fully operational (in Lampedusa and Lesbos) out of the 11 hotspots identified).	100% (11 fully operational hotspots)	Swift operation of all identified hotspots	By the end of 2019, 9 hotspots were fully operational: 5 in Greece and 4 in Italy. In Greece, the total capacity was more than 7,600 places (including the capacity of facilities outside the Reception and Identification Centres) and in Italy 1,046. In addition, the Italian authorities apply the hotspot approach to other ports of disembarkation even if not nominally considered hotspots.

³³ e.g. COM(2015)678 final and COM(2015)679 final of 15 December 2015.

³⁴ COM(2015) 490 final/2 of 29.9.2015.

³⁵ COM(2015) 510 final of 14.10.2015.

Main outputs in 2019:

Delivery on legislative proposals pending with the legislator

Output	Indicator	Target	Latest known results (situation on 31 December 2019)
Proposal for a revised Regulation on the European Border and Coast Guard including the integration of the European Border Surveillance system (EUROSUR)	Adoption by the co-legislators	May 2019	The new Regulation (EU) 2019/1896 on the European Border and Coast Guard, which is now also encompassing EUROSUR was adopted on 13 November.
Proposal on Interoperability between EU information systems for security, border and migration management	Adoption by the co-legislators	May 2019	Target reached Regulations (EU) 2019/817 and 2019/818 were adopted on 20 May.
Proposal for Revised Schengen Borders Code (amending the provisions on temporary reintroduction of internal border controls)	Adoption by the co-legislators	May 2019	Deadlock in negotiations. The compromise proposal of the European Parliament was rejected by the Council. Negotiations put on hold.
Proposal on Integrated Border Management Fund	Political agreement	May 2019	Partial general approach adopted in the Council on 7 June. European Parliament adopted its position in first reading. Negotiations ongoing.

Important items from work programmes/financing decisions/operational programmes

For a complete listing of expenditure-related outputs please refer to the Programme Statements published together with the [Draft Budget for 2019](#).

Output	Indicator	Target	Latest known results (situation on 31 December 2019)
Horizon 2020 Secure Societies Work Programme: Launch of projects*	Number of sub-topics to be covered by projects	7	Targets partially reached 7 projects
	Signature date of the Grant Agreements	8 months after submission deadline	All calls and projects managed by REA.
	Total amount of EU contribution	EUR 41 million	EUR 39.5 million

Support and monitoring actions provided to MS to implement the Internal Security Fund (ISF) – borders and visa	<p>Number of monitoring visits in MS</p> <p>Number of meetings (Committees, informal workshops etc) with MS to exchange best practice and ensure performance of implementation</p>	<p>At least 1 visit to each MS</p> <p>At least 5 meetings</p>	<p>Target partially reached</p> <p>Monitoring missions have been carried out in all Member States, except Slovenia, to which priority will be given in 2020.</p> <p>2 AMIF-ISF Committees and a number of workshops held.</p>
Financing decisions 2019 under direct management PLAN/2018/4124 PLAN/2018/4127	Adoption of all relevant Annual Work Programmes 2019 under ISF Borders and Visa (Union Actions and emergency assistance)	Adopted for the full coverage of direct management budget by Q1 2019	Union actions work programmes adopted in Q2 2019.
Contracts and grant agreements under direct management	Completion of the legal commitments to implement actions of the 2018 Work Programmes for ISF Borders and Visa	100% of the available appropriations	All possible legal commitments have been made, but, because of the lack of response to the call for proposals for EUROSUR under the 2018 Union actions work programme, a modification was necessary to transfer the budget to emergency assistance.
Actions funded under emergency assistance (EMAS) for ISF Borders and Visa covering most pressing emergency needs	Level of actions funded under EMAS ISF Borders that cover the most pressing emergency needs	100% of actions funded covering most pressing emergency needs based on the submitted applications	Target reached For 2019, the available amount for emergency assistance under ISF Borders and Visa instrument was EUR 66.18 million (EUR 54.1 million as 2018 appropriations in addition to EUR 12.0 million as 2019 appropriations). For 2019, the available

* The financial target mentioned in this table represents the overall amount foreseen for the respective topics in the work programme and has been determined in the previous year. In the first months of 2019, DG HOME decided which projects resulting from the various calls should remain with B4 and which should be managed by REA.

			emergency assistance funds in the framework of ISF Police instrument amounted to EUR 3 million (EUR 1 million - 2018 appropriations in addition to EUR 1 million representing 2019 appropriations).
Evaluation of Schengen Facility for Croatia PLAN/2017/2172	Staff working document published and Commission report adopted	Q2	Target reached The evaluation study and process was finalised in June 2019. The related Staff working document will be published in Q1 2020.
Other important outputs			
Output	Indicator	Target	Latest known results (situation on 31 December 2019)
Evaluation of Council Directive 2004/82/EC of 29 April 2004 on the obligation of carriers to communicate passenger data (API Directive) PLAN/2018/4573	Staff Working Document	Q3	The API Evaluation was not adopted; the contractor did not finalise the final report.
Monitoring of the roll out of the European Border and Coast Guard	Number of inputs to the progress report on the European Agenda on migration	At least 1	Target reached
Monitoring of the status agreements with 5 Western Balkan Countries	Number of inputs to the progress report on the European Agenda on migration	At least 1	Target reached Agreement with Albania entered into force on 1 May; Agreement with Montenegro has been signed in October; Agreement with Serbia has been signed in November. Agreements with Bosnia-Herzegovina and North Macedonia were initialled but not signed.

Monitoring of the implementation of the Schengen Information System under the existing legislation	Number of meetings of the SIS VIS Committee	At least 7	Target partially reached The name is now SIS-SIRENE Committee. DG HOME organised 5 committee meetings and 10 expert group meetings (four on technical issues and six on SIRENE matters).
Monitoring of the activities of eu-LISA under the new legislation	Number of Management Boards and Advisory Groups	3 Management Boards and 4 Advisory Groups (per ITsystem)	Target reached In 2019 eu-LISA organised 3 Management Board meetings, 3 meetings of the Audit, Compliance and Finance (ACFC) Committee, 4 meetings of the Eurodac Advisory Group, 4 meetings of the SIS II Advisory Group and 4 meetings of the VIS Advisory Group.
Preparation of the implementation of the new Schengen Information System (implementing and delegated acts) PLAN/2018/3653 PLAN/2018/3654 PLAN/2018/3655 PLAN/2018/3656 PLAN/2018/3657 PLAN/2018/3658 Preparation of development together with eu-LISA and Member States	Number of implementing and delegated acts adopted	All necessary acts adopted by end 2019	The necessary acts will be adopted in the beginning of 2020 (legal deadline is by the end of 2021).
Preparation of the implementing decisions for EES PLAN/2018/3647 PLAN/2018/3648 PLAN/2018/3649 PLAN/2018/3651	Number of implementing decisions agreed on with Smart Borders Committee (SBC)	At least 5 implementing decision having reached a status of consensus within SBC	The work on 4 implementing acts was ongoing in 2019. A consensus within the Smart Borders Committee should be reached in Q2 2020.
Monitoring of the implementation of the EES under the project governance defined in the Regulation	Number of Programme Management Board (PMB) and Advisory Group (AG) meetings	Participation in all PMB (estimate of 5) and AG meetings scheduled (estimate of 5) by eu-LISA	Participation in 12 Programme Management Board and 12 Advisory Group meetings (the Advisory Group is a combined EES/ETIAS Group)

<p>Preparation of the implementing decisions and delegated acts necessary for starting the development of ETIAS</p> <p>PLAN/2018/3565 PLAN/2018/3568 PLAN/2018/3570 PLAN/2018/3572 PLAN/2018/3574 PLAN/2018/3576 PLAN/2018/3577 PLAN/2018/3579 PLAN/2018/3581 PLAN/2018/3583 PLAN/2018/3584 PLAN/2018/3586 PLAN/2018/3598 PLAN/2018/3599 PLAN/2018/3600 PLAN/2018/3602 PLAN/2018/3603 PLAN/2018/3605 PLAN/2018/3606 PLAN/2018/3607 PLAN/2018/3611 PLAN/2018/3617 PLAN/2018/3619 PLAN/2018/3621 PLAN/2018/3622 PLAN/2018/3625 PLAN/2018/3626 PLAN/2018/3627 PLAN/2018/3628 PLAN/2018/3629 PLAN/2018/3631 PLAN/2018/3634 PLAN/2018/3635</p>	<p>Number of decisions agreed and acts agreed on with Smart Borders Committee (SBC)</p>	<p>12 decisions and 5 acts have reached a status of consensus within SBC</p>	<p>Targets partially reached</p> <ul style="list-style-type: none"> • 3 delegated acts necessary for the technical development of ETIAS have been formally adopted. • The Commission worked on 8 delegated acts, out of which 3 are in a state of consensus within the ETIAS Subgroup or near it. • 6 implementing acts are in a state consensus within Smart Borders Committee or near it. <p>Work on 10 other implementing acts is ongoing and should be completed in 2020.</p>
<p>Monitoring the implementation of ETIAS under the project governance defined in the Regulation</p>	<p>Number of Programme Management Board (PMB) and Advisory Group (AG) meetings</p>	<p>Participation in all PMB (estimate of 5) and AG meetings scheduled (estimate of 5) by eu-LISA</p>	<p>Target reached</p> <p>Participation in 12 Programme Management Board and 12 Advisory Group meetings (AG is a combined EES/ETIAS AG).</p>
<p>Monitoring the implementation of Interoperability under the project governance defined in the Regulation</p>	<p>Number of Programme Management Board (PMB) and Advisory Group (AG) meetings</p>	<p>3</p>	<p>Target reached</p> <p>Participation in 3 Programme Management Board meetings.</p>
<p>Preparation of the implementing decisions for Interoperability</p> <p>PLAN/2018/3902 PLAN/2018/3903 PLAN/2018/3904 PLAN/2018/3905 PLAN/2018/3908 PLAN/2018/4912</p>	<p>Number of implementing decisions agreed on with Smart Borders Committee (SBC)</p>	<p>6</p>	<p>Target reached</p> <p>The work on six implementing decisions was ongoing in 2019.</p>

<p>Organisation of workshop on the implementation of EES at land borders in the scope of the planned study</p>	<p>Number of meetings with MS having a land border</p>	<p>Minimum 2</p>	<p>To be organised. While it is known since some time that land borders will be the most severely impacted by EES the link with discussions that are taking place on ETIAS had been underestimated. There is enough progress with ETIAS now to move on with the Land Border study. The benefit is that the work can focus on specific questions. When the study will be available, the planned workshop will take place, most probably in Q2/Q3 2020.</p>
<p>Organisation of workshop on the impact of EES and ETIAS on carriers</p>	<p>Number of meetings with carrier organisations</p>	<p>Minimum 2</p>	<p>Target reached eu-LISA together with DG HOME have organised 3 meetings with carriers organisations – in May, September and December 2019.</p>
<p>Strengthening and further developing the Commission coordination and facilitation role in hotspot areas, in close cooperation with EU agencies and taking into account the European Border and Coast Guard (EBCG) Regulation</p>	<p>- Number of meetings of the EU Regional Task Force involving EU Agencies chaired by DG HOME</p> <p>Organisation/ Participation, where relevant, in coordination mechanisms between EU agencies, national authorities and other stakeholders (e.g. UNHCR, IOM, NGOs) at central or local hotspot levels</p>	<p>- Weekly (IT) monthly (EL)</p> <p>- 100% participation, where relevant</p>	<p>Target reached In Greece, there were 8 meetings of the EU Regional Task Force between DG HOME, the EU agencies and all Greek authorities involved in migration management. In Italy, the EU Regional Task Force met in Catania 36 times during 2019, either weekly or, exceptionally, bi-weekly, involving DG HOME, EU agencies and Italian authorities involved in migration management.</p>

<p>Monitoring and reporting on the implementation of the hotspot approach and migration management support</p>	<ul style="list-style-type: none"> - Release of regular reports - Contributions to reports or ad hoc publications - Number of inputs on the implementation of migration management support in the progress report on the European Agenda on Migration 	<ul style="list-style-type: none"> - Bi-weekly reports (IT/MT EL/CY & ES) - At least 3 - At least 1 	<p>Targets reached</p> <p>DG HOME has produced bi-weekly reports for Italy and Spain throughout the year, totalling 97 reports for each Member State. In the case of Greece, reports were daily until August, when the rhythm decreased to biweekly.</p> <p>In the reference year, information and updates on the hotspot approach and migration management support in Greece, Italy, Spain, Cyprus and Malta have been included in Factsheets and publications on managing migration as well as according to requests in numerous briefings for the Commissioner and the Director-General including for the discharge procedure in the Parliament and as replies to reports by the European Court of Auditors.</p> <p>References in two progress reports on the implementation of the European Agenda on Migration.</p>
<p>Commission Implementing Decision establishing the 2020 programmes for Schengen evaluations (announced and unannounced visits). PLAN/2018/4092 (announced visits)</p>	<p>Adoption by the Commission</p>	<p>Q3/Q4</p>	<p>Target reached</p> <p>C(2019) 7969 final, adopted on 31 October.</p>
<p>Commission Implementing Decision establishing the multiannual evaluation programme for 2020–2024</p>	<p>Adoption by the Commission</p>	<p>Q2</p>	<p>Target reached</p> <p>C(2019)3692 – Adopted on 17 May - Revised on</p>

PLAN/2018/4093			15 October.
Schengen evaluation reports (Commission Implementing Decisions) and proposals for recommendations (Commission proposal for a Council Implementing Decision) concerning announced and unannounced on-site visits to Member States	Number of reports and number of proposals for recommendations adopted by the Commission	At least 25 reports and 25 recommendations	Target reached 35 reports and 35 recommendations.
Commission Implementing Decision revising Commission Implementing Decision C(2014) 4657 of 11.7.2014 establishing a Schengen standard questionnaire PLAN/2018/4094	Adoption by the Commission	Q2	Target reached C(2019) 6863 final adopted on 30 September.
Annual report on the Schengen evaluation mechanism PLAN/2018/4644	Adoption of the report	Q1/Q2	Postponed until the end of the first multi-annual Schengen evaluation cycle (2015-2019) in order to cover the whole cycle (also to correspond to Article 22 of Regulation (EU) 1053/2013).
Study on the implementation of Regulation 2017/458 introducing systematic checks on all persons crossing the external borders	Publication of the study	Q3	Target partially reached The study has not yet been published.
Integrated Situational Awareness and Analysis reports in the framework of the European Union Integrated Political Crisis Response arrangements	Reports transmitted to the Council	Weekly reports (due every Tuesday)	Target reached 47 ISAA reports were prepared and transmitted to the Council in 2019.
Preparation of HOME contribution for, and when relevant representation at, IPCR meetings on the migration crisis	Number of meetings	5	Target partially reached In 2019, 4 IPCR High-level Round table meetings took place. Not under DG HOME influence.
Publications on migratory flows and other migration related data, including	Publications produced	Quarterly	Target reached 4 Quarterly Statistical Reports on Migration were

an early warning perspective			produced during 2019.
Support to Eastern Partnership countries to align with EU standards and practices and delivering on Eastern Partnership 2020 deliverable 17	Meetings organised by DG HOME under the Eastern Partnership Panel on Migration Mobility and Integrated Border Management	At least 3 meetings	<ul style="list-style-type: none"> - EU-Western Balkans JHA Senior Officials Meeting, Brussels, 15 May 2019; - Berlin Process Western Balkans Summit, Poznan, 3-5 July 2019.
Strengthening and advancing the implementation of the EU-Turkey Statement	Numbers of irregular arrivals reduced compared to 2015	Numbers reflected in weekly reports, including ISAA and Greece reports	Target reached
Ensuring that migration policies are adequately reflected in all Central Mediterranean Contact Group	Meetings to prepare the declarations to be adopted	2 meetings	The Group has not reconvened since the change of government in Italy. The last high level conference in this format took place in March 2018 in Niamey with Csr Avramopoulos. Issues linked to the Central Mediterranean route are being addressed through the AU EU UN Task Force for Libya and through updating a Council document: the Central Mediterranean Implementation Plan based on the Malta Declaration (2017). It was last updated under the Romanian Presidency.

Specific objective 1.3: Enhanced protection and solidarity Related to spending programme Asylum, Migration and Integration Fund

Result indicator 1.3a: Number of persons relocated
Source of data: Hotspots daily reports

Baseline (2015)	Interim Milestone		Target	Latest known results 2018
	(2016)	(2017)		
269 ³⁶ persons relocated	90,000 The Council Decisions do not establish an interim milestone-number needed to be reached under swiftly relocation conditions	69,728	160,000 to be relocated by 26 September 2017	No change in 2019: target set for 2017. From September 2015 to December 2018 34,709 persons were relocated – 12,710 from Italy and 21,999 from Greece. Over 95% of applicants for whom relocation requests were sent to Member States of relocation were successfully relocated. The result also represented about 80% of all applicants registered for relocation. The 2015 Council Decisions on relocation were valid for 2 years until September 2017. The number of relocations reflects the number of eligible applicants who were present in Italy and Greece within the period of validity of the Council Decisions and that number was much lower than the

³⁶ The value indicated in the Strategic Plan was 272. This number has been corrected and decreased to 269 because 3 cases were Dublin cases, not relocations.

				overall target (160,000) set by the Council Decisions. Regarding voluntary relocations , 1,082 persons disembarked in Italy and Malta in 2019 have been transferred to their destination Member States. 622 of them were relocated from Italy and 460 from Malta.
--	--	--	--	--

Result indicator 1.3b: Number of persons resettled			
Source of data: Member States			
Baseline (2015)	Interim Milestone (2016)	Target	Latest known results (2019)
		8 December 2017 [Commission Recommendation of 8 June 2015 on a European resettlement scheme, Member States' Conclusions on Resettlement of 20 July 2015]	
3,358	10,250	20,504	<ul style="list-style-type: none"> - 19,432 (ended 2017) resettled under the 2015 scheme. - 22,800 resettled in 2019 under the 50,000 resettlement scheme. - 7,000 resettled in 2019 under the EU-Turkey statement (25,660 in total) – some of the migrants resettled under the EU-Turkey Statement are also included in the figures for the other resettlement schemes.

Baseline (2014)	Interim Milestone (2015)	Target (2020)	Latest known results (2019)
The standard deviation in terms of recognition rates	27.5	Lower (increased convergence) The way Member States process applications for	25.0 was the standard deviation for 2019 in terms of recognition rates for international protection

<p>for international protection at first instance among Member States on the caseload on Afghanistan, one of the most relevant in the EU, is 23.3³⁷. Recognition rates for asylum seekers from Afghanistan varied from 22% to 90% (63% in Belgium, 22% in Denmark, 46% in Germany, 27% in Greece, 89% in Italy, 49% in Sweden)</p>	<p>asylum seekers from a top source third country is one of the indicators of how much the Common European Asylum System contributes to the harmonisation of rules and practices in the EU regarding asylum procedures. The EU acquis on asylum defines common rules on the different steps and aspects of an asylum application and should therefore lead to reduced amplitude of recognition rates for asylum seekers from a source third country.</p>	<p>among Member States for migrants from Afghanistan. It represents a slight increase compared to 2018 (up from 22.4). The planned New Pact on Migration and Asylum will aim to increase the convergence in recognition rates between Member States.</p>
---	--	---

³⁷ For Member States with at least 100 decisions regarding asylum seekers from Afghanistan; Figure for 2014 in the Strategic Plan has been updated from 22.27 to 23.3 as some MS provided additional data.

Main outputs in 2019:

Delivery on legislative proposals pending with the legislator

Output	Indicator	Target	Latest known results (situation on 31 December 2019)
Proposals on Reform of the Common European Asylum System: -EU Asylum Agency -Eurodac -Reception Conditions -Resettlement framework -Asylum Qualification -Dublin -Asylum procedure	Adoption by the co-legislators	May 2019	Despite the broad political agreements reached between the Council and the European Parliament in 2018 on 5 out of 7 proposals, the co-legislators could not finalise and adopt them before the 2019 European elections.
Proposal on Asylum and Migration Fund	Political agreement	May 2019	Partial general approach adopted in the Council on 7 June. European Parliament adopted its position in first reading. Negotiations ongoing.

Important items from work programmes/financing decisions/operational programmes

For a complete listing of expenditure-related outputs please refer to the Programme Statements published together with the [Draft Budget for 2019](#).

Output	Indicator	Target	Latest known results (situation on 31 December 2019)
AMIF outputs, indicators and targets have been specified under specific objective 1.1			

Other important outputs			
Output	Indicator	Target	Latest known results (situation on 31 December 2019)
Regular monitoring and reporting on resettlement	Number of inputs on resettlement included in progress report on the European Agenda on Migration	At least 1 on resettlement	Target reached Input included on resettlement in the Progress report on the European Agenda on Migration in October.
Follow up on infringement cases initiated since 2013 in relation to the transposition and implementation of the current CEAS rules (Dublin, Eurodac, Asylum Procedures, Qualification, Reception Conditions)	Number of infringement cases on which formal steps are taken in relation to failure to communicate measures for the transposition of one of the CEAS Directives (non-communications) Number of infringement cases in relation to systematic breach of the current CEAS rules on which formal steps are taken.	At least 50 non-communication cases. At least 8 cases	Target partially reached Finalisation of most non-communication cases, with only 10 cases still pending. In May 2020, 3 of those will be proposed for closure. For the 7 remaining ones the completeness checks are being finalised. 12 cases, out of which 5 referred to the CJEU (3 on failure to implement the 2015 relocation decisions) and 2 on bad application of asylum (and return) rules by HU.
Contributing to the steering of EASO's activities and to the monitoring of EASO's performance in implementing its work programme	Participation in EASO Management Board meetings and in the Management Board preparatory meetings Review of EASO management	One meeting of Management Board and one preparatory meeting per quarter 100%	Targets reached DG HOME has provided steer and contributed to the meetings of the Management Board both in the preparatory group meetings and at the actual Board. DG HOME also discussed with EASO the draft 2020 Operating Plans for Italy and Greece to ensure complementarities with AMIF funded projects and programmes. The EASO management reports that have

	reports submitted by the Agency to the Management Board on regular basis.		been submitted to the Management Board have been systematically reviewed by DG HOME.
--	---	--	--

Specific objective 1.4: A new policy on legal migration and integration		Related to spending programme Asylum, Migration and Integration Fund	
Result indicator 1.4a: Number of first residence permits issued for "Education reasons" Source of data: Eurostat			
Baseline (2014)	Interim Milestone (2017)	Target (2020) This indicator measures the attractiveness of the EU as a place for studies for TCNs. The recast of the Students & Researchers Directive, which will enter into force in 2018, should, among other factors, contribute to increase the figure.	Latest known results (2018)
267,752 first permits issued for education reasons in the 25 EU Member States bound by the EU acquis (all but UK, DK and IE)	302,800	430,000	314,091
Result indicator 1.4b: Share of multiple entry visas (MEVs) with long validity (one year or more) on total number of visas issued Source of data: Member States			
Baseline (2014)	Interim Milestone (2017)	Target (2020)	Latest known results (2019)
48% (this includes all multiple-entry visas issued and not only those with long periods of validity)	53%	60% (under the revised Visa Code the percentage will be related only to multiple entry visas with long validity; the revised Visa Code includes mandatory rules on the issuing of MEVs to regular travellers, therefore increasing the share of MEVs being issued; a higher target than 60% does not seem realistic as more regular travellers will hold MEVs with a long period of validity, and thus	57.9% The matter has been addressed with the new rules on issuing long-validity MEVs in the revised Visa Code, but the effect will only be seen in the visa statistics in the next few years.

there will be a more important share of first time travellers amongst the visa applicants)

Main outputs in 2019:

Delivery on legislative proposals pending with the legislator

Output	Indicator	Target	Latest known results (situation on 31 December 2019)
Proposal on Entry and residence of third country nationals for the purposes of highly-skilled employment (revised Blue Card directive)	Adoption by the co-legislators	May 2019	Disagreements between the co-legislators on a number of key political points (in particular on maintaining or not national schemes for highly-skilled labour migration) has not allowed reaching a political agreement on this file.
Proposal for a Council Regulation amending the Visa Code	Adoption by the co-legislators	March 2019	Target reached Regulation 2019/1155 adopted 20 June.
Proposal for a Revised Regulation 767/2008 concerning the Visa Information System (VIS) and the exchange of data between Member States on short-stay visas and Regulation 810/2009 establishing a Community Code on visas (the Visa Code) on VIS related aspects	Political agreement	May 2019	The European Parliament was not ready to enter into trilogues before the Parliamentary election. Trilogues are ongoing. Conclusion expected in the first half of 2020.
Proposal for a Regulation of the European Parliament and of the Council amending Council Regulation (EC) No 539/2001 listing the third countries whose nationals must be in possession of visas when crossing the external borders and those whose nationals are exempt from that requirement, as regards the with-	Adoption by the co-legislators	March 2019	Target reached Regulation 2019/592 adopted 10 April.

drawal of the United Kingdom from the Union			
Proposal on Asylum and Migration Fund Proposal on Integrated Border Management Fund	Political agreement	May 2019	Partial general approach adopted in the Council on 7 June. European Parliament adopted its position in first reading. Negotiations ongoing.

All new initiatives / significant evaluations from the Commission Work Programme			
Output	Indicator	Target	Latest known results (situation on 31 December 2019)
Staff Working Document (SWD) on legal migration fitness check 2016/HOME/199	Publication of the SWD	Q1 2019	Target reached SWD(2019)1055 of 29 March 2019.
Important items from work programmes/financing decisions/operational programmes			
<i>For a complete listing of expenditure-related outputs please refer to the Programme Statements published together with the Draft Budget for 2019.</i>			
AMIF outputs, indicators and targets have been specified under specific objective 1.1			
Other important outputs			
Output	Indicator	Target	Latest known results (situation on 31 December 2019)
Implementation of the Long-term residents Directive PLAN/2018/2835	Adoption of the implementation report by the Commission	Q2 2019	Target reached The Long term residents Directive (2003/109/EC) implementation report COM(2019)161 adopted on 29 March.
Implementation of the single permit Directive PLAN/2018/2837	Adoption of the implementation report by the Commission	Q2 2019	Target reached Single Permit Directive (2011/98/EU) implementation report COM(2019)160 adopted on 29 March.

Implementation of the Family reunification Directive PLAN/2018/2836	Adoption of the implementation report by the Commission	Q2 2019	Target reached The Family Reunification Directive (2003/86/EC) implementation report COM(2019)162 adopted on 29 March.
Proposals for Council Decisions on the signing and conclusion of the agreement on the facilitation of the issuance of visas between the European Union and Belarus PLAN/2017/2096 and PLAN/2017/2095	Adoption of the proposals by the Commission	Q1 2019	Target reached Agreement initialled in June 2019 and signed in January 2020. Consent by EP pending. Conclusion expected in Q2 2020.
Proposals for Council decisions on the signing and conclusion of the agreement on the facilitation of the issuance of visas between the European Union and China 2016/HOME/195	Number of negotiation rounds	At least 2 in 2019	No negotiation rounds took place.
Proposals for Council decisions on the signing and conclusion of the agreement on the facilitation of the issuance of visas between the European Union and Tunisia PLAN/2018/4195 and PLAN/2018/4196	Number of negotiating rounds	At least 2 in 2019	One negotiating round took place.
Third countries whose nationals are subject to or exempt from a visa requirement: Kosovo	Political agreement	May 2019	Commission proposal blocked in Council.
Third countries whose nationals are subject to or exempt from a visa requirement: Turkey	Political agreement	May 2019	Commission proposal blocked in Council.
Schengen evaluations on the common visa policy More information on multi-purpose Schengen	Number of on-site visits	At least 5 Member States	Target reached Five announced and one unannounced Schengen evaluation took place, i.e. six on-site visits in

evaluations is provided under Objective 1.2			total.
Under the European Integration Network, mutual learning activities for Member States in order to share experience and exchange best practices relating to integration	Number of study visits Number of workshops	At least 2 study visits and one 2-day training session	1 study visit organised in Denmark. 3 mutual assistance projects organised in 2019.
Number of networks of cities and regions financed under the AMIF integration call launched at the end of 2018	Number of networks	At least 3	Target reached Considering the very good projects received, 8 networks have been financed in the context of the 2018 call for proposals.
Conference on integration for local and regional authorities	Organisation of a conference on integration for local and regional authorities	Q3/Q4 2019	Target reached Organisation of the Golocal conference on 3 December with the participation of more than 400 representatives of local and regional authorities across the EU.
European Migration Forum with the participation of 200 representatives from NGOs to discuss asylum, migration and integration-related issues	Organisation of the event	3 and 4 April 2019	Target reached Organisation of the European Migration Forum on 3 and 4 April with the participation of more than 200 representatives from NGOs.
Implementation of the Mobility Partnership Facility	Number of projects implemented under the Mobility Partnership Facility	At least 8 projects awarded in 2019 of which at least 2 on labour migration	Target reached 9 Projects awarded out of which 4 on labor migration.
Continuing the engagement and work on the visa liberalisation dialogue with Turkey	Number of meetings	At least 3 meetings	Target reached. Five meetings took place: 25 March: DG HOME Director-General and Deputy Director-General meeting Turkish authorities. 10 October: last round on Europol exchange of personal data negotiations. 7-8 November: Subcommittee meeting on

			<p>customs, taxation, drug trafficking and money laundering (judiciary, fundamental rights and freedoms, home affairs, taxation, customs and financial control).</p> <p>21 November: DG HOME Director-General meeting with the Turkish Ambassador.</p> <p>6 December: Commissioner Johansson and Vice-President Schinas visiting Turkey.</p>
--	--	--	--

General objective 2: An area of justice and fundamental rights based on mutual trust

Specific objective 2.1: A strong EU response to tackling terrorism and preventing radicalisation Related to spending programme Internal Security Fund and Horizon 2020

Result indicator 2.1a: Level of security for EU citizens: measured through the ratio between the number of failed, foiled or completed terrorist attacks in the EU and the number of arrests for terrorism related offences

Source of the data: Europol (Te-Sat Report)

Baseline (2014)	Interim Milestone (2018)	Target (2020)	Latest known results (2018)
25.7 points (199 attacks and 774 arrests)	20 points	Target set at a realistic level, reflecting however significant progress in achieving the general objective 15 points	12.2 percentage points (129 attacks and 1056 arrests). This was an improvement compared to 2017 (16.8 points, with 205 attacks and 1,219 arrest).

Result indicator 2.1b: Number of suspicious transactions reported within the FIU.Net

Source of data: FIU.NET

Baseline (2014)	Interim Milestone (2018)	Target (2020)	Latest known results (2019)
12,076	20,000	Target set at a realistic level, reflecting however significant progress in achieving the specific objective 25,000	22,424 2020 target not likely to be reached because the system is experiencing technical difficulties. Efforts are being undertaken to improve the stability

				and capacity of the system
Result indicator 2.1c: Number of contributions to the European Bomb Data System (currently EPE/EBDS)				
Source of data: European Bomb Data System				
Baseline (2014)	Interim Milestone (2018)		Target (2020)	Latest known results (2019)
			Target set at a realistic level, reflecting however significant progress in achieving the specific objective	
1,804	2,450		2,600	4,829
Result indicator 2.1d: Number of alleged terrorists arrested/prosecuted				
Source of data: Europol/Eurojust				
Baseline (2014)	Interim Milestone		Target (2020)	Latest known results (2018)
	(2015)	(2018)		
			Target set at a realistic level, reflecting however significant progress in achieving the specific objective	
30 notifications on ongoing investigations and prosecutions 180 notifications on court results The number includes data transmitted spontaneously to	100 notifications on ongoing investigations and	Increase	Increase	580 notifications on ongoing investigations and prosecutions. 301 notifications on court results (Concluded court proceedings for terrorist offences - the number does

Eurojust throughout the year, as well as data sent following Eurojust's request to receive information in the framework of drafting its contribution to the EU Terrorism Situation and Trend (TE-SAT) Report	prosecutions 218 notifications on court results. ³⁸			not include data reported to Eurojust by one Member State that provided information on individuals tried and convicted or acquitted of terrorist offences but not on the number of proceedings those individuals were part of).
Result indicator 2.1e: Number of terrorist contents removed from Internet/number of counter narratives produced Source of data: Internet Referral Unit				
Baseline (2014)	Interim Milestone (2018)	Target (2020) Target set at a realistic level, reflecting however significant progress in achieving the specific objective	Latest known results (2019)	
Contents: 0 (EU IRU did not exist) Counter narratives produced: 9	4,216 referrals 15 (aggregated)	4,678 referrals 25 (aggregated)	25,453 referrals 20 (number of projects financed under Civil Society Empowerment Programme).	

³⁸ Numbers indicated in the Strategic Plan for 2015 were 91 notifications on ongoing investigations and prosecutions and 51 notifications on court results but as explained in the Strategic Plan, the compilation for the full year 2015 was ongoing. After it was completed numbers were changed into those mentioned above.

Main outputs in 2019:

Delivery on legislative proposals pending with the legislator

Output	Indicator	Target	Latest known results (situation on 31 December 2019)
Proposal for Revision of the Regulation (EU) 98/2013 of the European Parliament and of the Council on the marketing and use of explosives precursors	Adoption by co-legislators	May 2019	Target reached The new Regulation (EU) 2019/1148 on the marketing and use of explosives precursors was adopted on 20 June. Its rules will start applying as of 1 February 2021.
Proposal on Interoperability between EU information systems for security, border and migration management	Adoption by co-legislators	May 2019	Target reached Regulations (EU) 2019/817 and 2019/818 were adopted on 20 May.
Proposal for a Regulation on preventing the dissemination of terrorist content online	Adoption by co-legislators	May 2019	Given the delays in the adoption of the European Parliament's mandate in April, the interinstitutional negotiations started only in October 2019.
Proposal on Internal Security Fund Proposal on Integrated Border Management Fund	Political agreement	May 2019	Partial general approach adopted in the Council on 7 June. European Parliament adopted its position in first reading. Negotiations ongoing.

Important items from work programmes/financing decisions/operational programmes

For a complete listing of expenditure-related outputs please refer to the Programme Statements published together with the [Draft Budget for 2019](#).

Output	Indicator	Target	Latest known results (situation on 31 December 2019)
Horizon 2020 Secure Societies Work Programme: launch of projects* <ul style="list-style-type: none"> Fighting crime and terrorism 	Number of sub-topics to be covered by projects Signature date of the Grant Agreements Total amount of EU contribution	5 8 months after date of submission deadline EUR 39 million	Targets reached 8 projects were launched. All calls and projects managed by REA. EUR 53 million, due to additional funding made available by the third countries participating.
<ul style="list-style-type: none"> Protecting the infrastructure of Europe and the people in the European smart cities 	Number of sub-topics to be covered by projects Signature date of grant agreements Total amount of EU contribution	1 8 months after date of submission deadline EUR 24 million	Targets partially reached 3 projects were launched. All calls and projects are managed by REA. EUR 23 million
<ul style="list-style-type: none"> Pre-standardisation mechanisms for security 	Number of sub-topics covered by projects Signature date of grant agreement Total amount of EU contribution	1 8 months after date of submission deadline EUR 0.9 million	This project was finalised in 2018.

* The financial target mentioned in this table represents the overall amount foreseen for the respective topics in the work programme and has been determined in the previous year. In the first months of 2019, DG HOME decided which projects resulting from the various calls should remain with B4 and which should be managed by REA.

<ul style="list-style-type: none"> General Matters 	<p>Number of sub-topics covered by project</p> <p>Signature date of grant agreements</p> <p>Total amount of EU contribution</p>	<p>1</p> <p>8 months after date of submission deadline</p> <p>EUR 11 million</p>	<p>Four projects launched for in total.</p> <p>Two projects on General Matters with a total funding of EUR 5 Million managed by DG HOME. One grant was delayed due to an on-going audit of one of the project partners. The other calls and projects are managed by REA.</p> <p>EUR 8 million</p>
<p>Support and monitoring actions provided to MS to implement the Internal Security Fund (ISF) – police</p>	<p>Number of monitoring visits in Member States</p> <p>Number of meetings (Committees, informal workshops etc) with MS to exchange best practices and ensure performance of implementation</p>	<p>At least 1 monitoring visit to each Member States</p> <p>At least 5 meetings</p>	<p>Target partially reached</p> <p>Monitoring missions have been carried out in all Member States, except Slovenia, to which priority will be given in 2020.</p> <p>2 AMIF-ISF Committee meeting and several workshops.</p>
<p>Financing decisions 2019 under direct management</p>	<p>Adoption of all relevant Annual Work Programmes 2019 under ISF – Police (Union Actions and Emergency Assistance)</p>	<p>Adopted for the full coverage of direct management budget by Q1 2019</p>	<p>Target reached</p> <p>Union actions work programme adopted in Q2 2019.</p>
<p>Contracts and grant agreements under direct management</p>	<p>Completion of the legal commitments to implement actions of the 2018 Work Programmes for ISF Police</p>	<p>100% of available appropriations</p>	<p>96.8%</p>

Other important outputs			
Output	Indicator	Target	Latest known results (situation on 31 December 2019)
Inputs to progress reports on Security Union relating to achievements in tackling terrorism and preventing radicalisation	Number of inputs to the progress reports	At least 4	3 progress reports were produced, all with input on terrorism and radicalisation.
Evaluation of Directive 2008/114/EC of 8 December 2008 on the identification and designation of European critical infrastructures and the assessment of the need to improve their protection (PLAN/2018/2389)	Staff working document published	Q2 2019	Target reached SWD(2019)308 final adopted on 23 July.
Support to Member States in their efforts to enhance preparedness against CBRN threat	Number of trainings for Member States organised in the EUSECTRA training facility	2	Target reached Two trainings took place in November and December.
Support to the adoption and implementation of the Regulation on the prevention of the dissemination of terrorist content online	Number of meetings prepared, attended and followed up by DG HOME	At least 3	Target reached 7 technical and 3 political trilogue meetings took place in 2019. Given the delayed adoption of the Regulation, meetings on implementation have not taken place.
Delivering on both objectives of the EU Internet Forum (reducing the accessibility to terrorist content online and promoting positive alternative-narratives)	Number of meetings and workshops for relevant stakeholders of the Forum.	4	Target reached 4 meetings were held: 2 at technical level, 1 Senior Officials and 1 High level Ministerial Meeting.

Support to enhanced cooperation between stakeholders in the protection area	- Number of meetings of the CBRN Security Advisory Group and other related expert meetings	2	Targets reached 7 meetings (2 meetings of the Advisory Group; 1 EU-US workshop on joint criminal epidemiological investigations; 1 workshop on training needs on RN detection in public spaces; 1 workshop on CBRN with Israel; 2 major meeting on chemical threat with Member States and manufacturers).
	- Number of meetings on protection of public spaces, incl. operators forum, practitioners forum and policy group	2	6 meetings (1 meeting of the Practitioners Forum; 2 meetings of the Operators Forum; 3 meetings of the Policy Group).
	- Number of meetings on critical infrastructure protection, including CIP Points of Contacts	2	3 meetings
	- Number of meetings of the Security Union Task Force Subgroup on Protection	2	4 meetings
Study on the completeness and conformity of the transposition of the PNR Directive	Production of the study	By end of 2019	Target reached The study was completed. It was not published as the study is for internal use only.
Support to the extension of an information exchange network among Passenger Information Units (PIUs)	Number of PIUs connected to the Europol's Secure Information Exchange Network Application (SIENA)	At least 20	Target reached 24 Member States have a SIENA account.
Agreement between the EU and	Adoption of the proposal for	Q2 2019	Target partially reached

Canada on the processing and transfer of Passenger Name Record (PNR) data by air carriers (PLAN/2018/3194 PLAN/2018/3192)	the signature of the Agreement (PLAN/2018/3194) Adoption of the proposal for the conclusion of the Agreement (PLAN/2018/3192)	Q2 2019	The draft text is under legal scrutiny by Canada. Once Canada has agreed, the draft text can be signed by the Council and sent to the European Parliament for its consent. When the European Parliament has given its consent, the Council can conclude the agreement on behalf of the EU.
Agreement between the EU and Mexico on the processing and transfer of Passenger Name Record (PNR) data by air carriers – (2015/HOME/235 2015/HOME/236)	Adoption of the proposal for the signature of the Agreement (2015/HOME/236) Adoption of the proposal for the conclusion of the Agreement (2015/HOME/235)	Planning depends on the progress made in the CAN PNR file	The negotiations with Mexico are on hold. So far Mexico has not revived its interest.
Agreement between the EU and Japan on the processing and transfer of Passenger Name Record (PNR) data by air carriers	Adoption of the Commission recommendation for a Council Decision to authorise the opening of negotiations for an Agreement between the European Union and Japan for the transfer and use of Passenger Name Record (PNR) data (27/9/2019)	Q4 This recommendation was not foreseen in the 2019 planning	Target partially reached The Commission proposed to the Council negotiating directives for an agreement with Japan. They are under discussion with a view to being adopted by the Council, allowing to start negotiations.
Joint Evaluation of the Agreement between the EU and the US on the use and transfer of Passenger Name Record (PNR) data	Adoption of a report on the joint evaluation	To be decided. Planning depends on the timing of the joint evaluation (still to be agreed with US).	Target partially reached The evaluation took place in September. The report is at the stage of being finalised.
Joint Evaluation of the Agreement	Adoption of a report on the	To be decided. Planning	Target partially reached

between the EU and Australia on the processing and transfer of Passenger Name Record (PNR) data	joint review	depends on the timing of the joint evaluation (still to be agreed with AUS).	The review took place in August. The report is at the stage of being finalised.
Joint Review of the Agreement between the EU and Australia on the processing and transfer of Passenger Name Record (PNR) data	Adoption of a report on the joint review	To be decided. Planning depends on the timing of the joint evaluation (still to be agreed with AUS).	Target partially reached The review took place in August. The report is at the stage of being finalised.
Support to Member States in the application of the EU PNR Directive	Number of meetings held with Member States with Internal Security Fund support	At least 3	Target reached 4 application meetings took place. Also two workshops were organised with Member State, one on the review of the Directive and one on the interaction between PNR and the Schengen Information System.
EU contribution to the development of international PNR standards within the framework of the International Civil Aviation Organisation (ICAO).	EU participation in relevant ICAO meetings	100% This project emerged during the course of 2019.	Target reached The EU participated in all relevant meetings organised by ICAO to prepare PNR standards. The work on international standards for PNR ICAO has been progressing well.
Support to enhanced cooperation between stakeholders in the area of prevention of radicalisation	<ul style="list-style-type: none"> - Number of meetings of the Steering Board on Radicalisation - Number of meetings of the Network of Prevention Policy Makers 	<ul style="list-style-type: none"> - 1 - 2 	<p>Targets reached</p> <p>Given the importance to keep track of the progress made in implementing key priorities for prevention, 2 meetings of the Steering Board took place (17 June and 5 November).</p> <p>3 meetings of the Network of Prevention Policy Makers took place in 2019 (1 January, 13 May and 30 September).</p>

	<ul style="list-style-type: none"> - Number of meetings of Policy makers and practitioners within the RAN - Number of meetings of the Security Union Task Force Subgroup on Radicalisation 	<ul style="list-style-type: none"> - 2 - 2 	<p>5 meetings of policy makers and practitioners were organised within the RAN.</p> <p>2 meetings of the Security Union Task Force Subgroup on Radicalisation took place in 2019 (2 May and 11 October). These meetings have been complemented by written consultations on key documents.</p>
Transparency on EU funded projects in the area of prevention of radicalisation	Publicly available mapping of EU projects and programmes on radicalisation	By June 2019, in accordance with the follow up agreed on the report by the European Court of Auditors	Target reached Programmes and flagship initiatives/ project examples are mapped and available here: https://ec.europa.eu/home-affairs/what-we-do/policies/counter-terrorism/funding-research-projects-radicalisation_en
Implementation of the Joint Action Plan on Counter-Terrorism for the Western Balkans – Bilateral tailor-made follow-up	<p>Bilateral plans proposed by the Commission</p> <p>Signature of the bilateral implementing action plan with each WB partner</p>	<p>6 proposed bilateral plans</p> <p>At least 3 bilateral implementing action plans agreed</p>	<p>Targets reached</p> <p>6 plans proposed.</p> <p>6 plans agreed.</p>
Support to Member States (and third countries) and practitioners in their prevention efforts	<ul style="list-style-type: none"> - Number of tools, including guidance documents and training developed for Member States and practitioners - Number of bi- or multilateral Member States project-based collaborations and study visits 	<ul style="list-style-type: none"> - In accordance with the agreed Annual Activity Plan of the RAN - 5 projects and 10 MSs involved (subject to the initiative of Member States) 	<p>216 tools (78 events and trainings for Member States and practitioners, 138 guidance documents.</p> <p>7 projects/study visits involving 12 Member States: BE, CZ, DK, FI, FR, DE, IT, NL, ES, RO, SE, UK.</p>

	- Number of RAN deployments to third countries	- 4 RAN deployments	3 RAN Deployments have taken place: A mission to Turkey has not taken place due to the sensitive political situation.
Fifth Joint Review of the EU-US Terrorist Finance Tracking Programme Agreement	Adoption of a report on the joint review	Q2	Target reached Report and accompanying staff working document adopted on 22 July. COM(2019) 342 final and SWD(2019) 301 final.

Specific objective 2.2: Disrupt organised crime

Related to spending programme Internal Security Fund and Horizon 2020

Result indicator 2.2a: Operational cooperation as evidenced by the number of Joint Investigation Teams

Source of the data: Europol / Eurojust

Baseline (2014)	Interim Milestone (2018)	Target (2020)	Latest known results (2019)
44 supported by Europol* 122 supported by Eurojust* *some JITS are supported by both Europol and Eurojust (leading to duplication in the number of JITS reported).	Increase	Target set at a realistic level, reflecting however significant progress in achieving the general objective Increase	Europol supported 96 Joint Investigation Teams in 2018 ⁴⁰ .

⁴⁰ JITS supported by Eurojust fall outside DG HOME's remit.

Result indicator 2.2b: Use of EU information exchange mechanisms: measured through the number of hits in SIS and Prüm databases and the use of Europol's Siena and EIS			
Source of the data: Europol – EU-LISA			
Baseline (2014)	Interim Milestone (2018)	Target (2020) Target set at a realistic level, reflecting however significant progress in achieving the general objective	Latest known results (2019)
<p>Number of hits registered on foreign SIS alerts: 128,598 hits</p> <p>Prüm: 2,082,741 matches* in 2014 *includes: DNA matches (38,268) + fingerprints total verified matches (5,855) + Vehicle Registration Data total responses to requests (2,038,618)</p> <p>SIENA: 605,245 messages exchanged EIS: 367,922 searches performed</p>	<p>SIS: increase</p> <p>Prüm: increase</p> <p>SIENA: increase</p> <p>EIS: increase</p>	<p>SIS: increase</p> <p>Prüm: increase</p> <p>SIENA: increase</p> <p>EIS: increase</p>	<p>Number of SIS hits increased from 267,239 hits in 2018 to 283,713 hits in 2019.</p> <p>Prüm Data for 2018⁴¹: Total matches: 3,466,995 DNA matches: 35,316 Fingerprint total verified matches: 9,499 VRD total responses of information found to requests: 3,422,180</p> <p>SIENA messages exchanged in 2019: 1,243,943</p> <p>EIS searches performed in 2018: 7,489,410</p>

⁴¹ The Prüm Decision foresees that information on implementation is submitted to the Council. The Secretariat General of the Council will collect the 2018 data from Member States and produce an overview in Q3 of 2019.

Result indicator 2.2c: Number of freezing and confiscation orders executed, and estimated value of property frozen and property recovered			
Source of data: Member States			
Baseline (N/A)	Interim Milestone (2018)	Target (2020) Target set at a realistic level, reflecting however significant progress in achieving the specific objective	Latest known results (2018/2019)
No baseline – new provision under Article 11 of Directive 2014/42/EU	Number of freezing orders executed: 110,844 Number of confiscation orders executed: 78,349 Estimated value of property frozen: EUR 1,518,074,800 Estimated value of property recovered at the time of confiscation: EUR 84,882,702	Increase	Article 11 of Directive 2014/42/EU requires Member States to regularly collect and maintain statistics on an annual basis on the number of freezing and confiscation orders executed and the estimated value of property frozen in view of confiscation. In 2019 DG HOME launched an exercise to collect the required statistical information for 2018. Statistical information was received from 23 Member States. The analysis indicates that there is still room for improvement as far as the collection of statistics on freezing and confiscation is concerned, e.g. more coordination at the national level is needed.

Result indicator 2.2d: Number of suspicious transactions reported within the FIU's platform Source of data: FIU.net			
Baseline (2014)	Interim Milestone (2018)	Target (2020) Target set at a realistic level, reflecting however significant progress in achieving the specific objective	Latest known results (2019)
12,076	20,000	25,000	15,937 as of 31 October. 2020 target not likely to be reached because the system is experiencing technical difficulties. Efforts are being made to improve the stability and capacity of the system.

Main outputs in 2019:			
Delivery on legislative proposals pending with the legislator			
Output	Indicator	Target	Latest known results (situation on 31 December 2019)
Proposal for a Directive on facilitating the use of financial information for the prevention, detection, investigation or prosecution of certain criminal offences	Adoption by the co-legislators	May 2019	Target reached Directive (EU) 2019/1153 was adopted by the co-legislators on 20 June.
Proposal on Internal Security Fund Proposal on Integrated Border Management Fund	Political agreement	May 2019	Partial general approach adopted in the Council on 7 June. European Parliament adopted its position in first reading. Negotiations ongoing.

Important items from work programmes/financing decisions/operational programmes

For a complete listing of expenditure-related outputs please refer to the Programme Statements published together with the [Draft Budget for 2019](#).

Output	Indicator	Target
Horizon 2020 Secure Societies Work Programme: launch of projects		
Please refer to Specific Objective 2.1		
Outputs, indicators and targets relating to Internal Security Fund (ISF) – police have been specified under specific objective 2.1		

Other important outputs

Output	Indicator	Target	Latest known results (situation on 31 December 2019)
Inputs to progress reports on Security Union relating to achievements in disrupting organised crime and the way forward	Number of inputs to the progress reports	At least 4	3 progress reports were produced, including information on organised crime.
Outputs relating to Passenger Name Record (PNR) See under objective 2.1			See objective 2.1.

<p>Agreements between the EU and respectively Algeria, Egypt, Israel, Jordan, Lebanon, Morocco, Tunisia and Turkey on cooperation with the EU Agency for Law Enforcement Cooperation (Europol)</p>	<p>% of articles regarded as stable (in ongoing negotiations) which are in line with the negotiating directives</p> <p>% of negotiating directives addressed in any initialled agreements</p>	<p>100%</p> <p>100%</p>	<p>Target partially reached Formal negotiations have started with Turkey. The draft text is close to being stable and remains 100% in line with the negotiating directives.</p> <p>No agreements have yet been initialled. Negotiations with Turkey are advanced, but not yet finalised. With the other seven countries, cooperation is at different stages depending on the approach of the relevant country. The Council may adopt a mandate for negotiations with New Zealand in Q2 2020.</p>
<p>Schengen evaluations on police cooperation</p> <p>- Visits to Member States</p> <p>More information on multi-purpose Schengen evaluations, is provided under Objective 1.2</p>	<p>Number of visits to Member States</p>	<p>5</p>	<p>Target reached 5 visits took place (Czechia, Hungary, Poland, Slovakia and Slovenia).</p>
<p>Study on the feasibility of improving information exchange under Prüm Decisions</p>	<p>Acceptance of the report of the study</p>	<p>Autumn 2019</p>	<p>Target partially reached A slight delay of two months on the request of the contractor.</p>
<p>Study on the improvement of the EU system of export authorisation and import and transit measures for firearms</p>	<p>Publication of the final report</p>	<p>Q2 2019</p>	<p>Target reached The Study was completed on 29 August. It was decided not to publish it in order not to pre-empt any future policy decision the Commission might take.</p>
<p>Evaluation report of the 2014-2019 Action Plan on firearms trafficking between the EU and the South East Europe Region</p>	<p>Adoption by the Commission</p>	<p>Q2 2019</p>	<p>Target reached The Commission published its evaluation report on 27 June (COM(2019)293 final).</p>

PLAN/2018/4786			
Workshops within the framework of the anti-corruption experience-sharing programme	Number of workshops	Up to 4	Target reached Three workshops were held in 2019 as well as one meeting of the National Contact Points on corruption.
Report on the implementation of the Council Framework Decision 2003/568/JHA of 22 July 2003 on combating corruption in the private sector	Adoption by the Commission	Q1 2019	The report was adopted on 27 July - COM(2019) 355 final.
PLAN/2017/2354			
Study on "confiscation and asset recovery in Member States – what works, what does not work"	Finalisation of study	2019	The study was launched in Q4/2019. Foreseen finalisation Q2 or Q3 2020.
Report on the implementation of Directive 2014/42/EU of 3 April 2014 on the freezing and confiscation of instrumentalities and proceeds of crime in the European Union	Adoption by the Commission	Q4/2019	The report is going to be adopted by the Commission in the course of 2020.
PLAN 2018/4874			
Evaluation of the European Crime Prevention Network (EUCPN) set up by Council Decision 2009/902/JHA of 30 November 2009	Adoption by the Commission	Q4 2019/Q1 2020	The contract for the evaluation study was signed in November. The Final Report by the contractor is expected by end July 2020 and DG HOME plans to publish its report in Q4 2020.
PLAN/2018/4782			
Study on organised crime in the context of Framework Decision 2008/841/JHA	Finalisation of study	Q4 2019	Launch of study in Q1/2020.

Report on the results of the external evaluation of the European Monitoring Centre for Drugs and Drug Addiction (EMCDDA) PLAN/2017/1680	Adoption by the Commission	Q1 2019	Target achieved The Commission adopted the report on the external evaluation of the European Monitoring Centre for Drugs and Drug Addiction (EMCDDA) on 14 May (COM(2019) 228; accompanied by a more detailed Staff Working Document SWD(2019) 174).
Proposal for a Council Decision on the position to be adopted, on behalf of the European Union, in the 62 nd session of the Commission on Narcotic Drugs on the scheduling of substances in March 2019 PLAN/2018/3893	Adoption of the proposal and subsequent adoption by the Council ahead of the 62 nd session of the Commission on Narcotic Drugs	Q1 2019	Target reached The Commission proposal (COM(2018) 862) for a Council Decision was adopted on 7 January. The Decision was adopted by the Council ahead of the 62 nd session of the Commission on Narcotic Drugs, which voted in favour of scheduling all the new psychoactive substances. The Commission adopted on 13 December (COM(2019) 631) its proposal for a Council Decision for the scheduling of new psychoactive substances in view of the 63 rd session of the Commission on Narcotic Drugs, which will take place in the beginning of March 2020. In addition, the Commission adopted on 12 December (COM(2019) 624) a proposal for a Council Decision on the re-scheduling of cannabis and cannabis-related substances in view of the possible voting at the 63 rd session of the Commission on Narcotic Drugs.
Study on the economic, social and human costs of trafficking in human beings	Adoption of study	Q4 2019	With some delay, it is expected to be finalised by mid-year 2020.
EU-wide awareness raising activities on	Number of involved	All EU Member States	Postponed for 2020, given the extensive preparatory work needed.

THB	countries Number of major themes addressed	At least 3	
Support to stakeholders to fully implement Directive 2011/36/EU	Number of annual meetings of the EU Civil Society Platform against trafficking in human beings consisting of 100 NGOs Number of annual meeting with the EU Network of National Rapporteurs and Equivalent Mechanisms Event marking the EU Anti-Trafficking day	2 meetings in Q2 and Q4 2 meetings in Q2 and Q4 Q3 2019	Targets reached Two meetings held (June and December), including a High level event <i>Leaving no one behind: breaking the silence on Trafficking for sexual exploitation</i> . Two meetings held (May and December), including a High level event with the same title as the one above. Publication of the document <i>EU anti-trafficking action 2017-2019: at a glance</i> .
Partnership 2020 deliverable number 9 ("Strengthening Institutions and Good Governance - Rule of Law and Anti-Corruption Mechanisms") and Deliverable 12: stronger cooperation in the area of security	Meetings of the Eastern Partnership Panel on Rule of Law	At least 1 meeting in 2019	Target reached The Eastern partnership (EaP) high level mission to Georgia in April 2019 and 6 bilateral cooperation meetings on Justice and HOME Affairs with each partnership country. Target has been reached.

Specific objective 2.3: Fighting cybercrime Related to spending programme Internal Security Fund and Horizon 2020

Result indicator 2.3a: Level of concern about using the internet for things like online banking or buying things online
Source of data: Eurobarometer

Baseline (2014)	Interim Milestone (2017/2018)	Target (2020) Target set at a realistic level, reflecting however significant progress in achieving the specific objective	Latest known results (2019)
<p>43% concerned about misuse of personal data;</p> <p>42% concerned about security of online payments; (Special EB 423)</p>	<p>Decrease</p>	<p>Decrease</p>	<p>46% concerned about misuse of personal data (+3 percentage points compared to 2018); 41% (-2 percentage points) concerned about the security of online payments. (Special EB 499).</p> <p>Regarding the concerns about misuse of personal data, the Commission will work on an initiative on identity theft in 2020.</p> <p>Regarding the concerns about online payments, the Directive on combatting fraud and counterfeiting of non-cash means of payment was adopted in April 2019.</p>

Result indicator 2.3b: Number of operations conducted with the involvement of EC3
Source of data: Europol (EC3)

Baseline (2013)	Interim Milestone (2017)	Target (2020) Target set at a realistic level, reflecting however significant progress in achieving the specific objective	Latest known results (2019) ⁴²
57 high-profile operations 169 non-high-profile operations	Increase (bearing in mind natural limit imposed by resources of EC3)	Increase (bearing in mind natural limit imposed by resources of EC3)	397 high-profile operations in 2019 (high-profile operations are those that involve at least two countries and at least three products and/or services that Europol has delivered in support of these cases.) No data available on non-high-profile operations.

Main outputs in 2019:

Delivery on legislative proposals pending with the legislator

Output	Indicator	Target	Latest known results (situation on 31 December 2019)
Proposals for a Regulation and a Directive on cross-border access to electronic evidence and on the appointment of legal representatives	Adoption by the co-legislators	May 2019	General approach in Council completed; Adoption of the final EP report expected in first half of 2020, trilogues should start still under the Croatian Presidency.
Proposal for a Directive COM(2017)489 on combating fraud and counterfeiting	Adoption by the co-	February 2019	Target reached Adopted by the co-legislators in April 2019.

⁴² The reported numbers do not reflect completed operations, they count large operations actively supported during the year, i.e. products and services delivered within their scope (reports, meetings, actions, etc.). Furthermore, these numbers **CANNOT be accumulated over the years** as performance metrics only capture active unique operations on an annual basis.

of non-cash means of payment and replacing Council Framework Decision 2001/413/JHA	legislators		
Proposal on Internal Security Fund	Political agreement	May 2019	Partial general approach adopted in the Council on 7 June. European Parliament adopted its position in first reading. Negotiations ongoing.

Important items from work programmes/financing decisions/operational programmes

For a complete listing of expenditure-related outputs please refer to the Programme Statements published together with the [Draft Budget for 2019](#).

Horizon 2020 Secure Societies Work Programme: launch of projects

Please refer to Specific Objective 2.1

Outputs, indicators and targets relating to Internal Security Fund (ISF) – police are specified under specific objective 2.1

Other important outputs			
Output	Indicator	Target	Latest known results (situation on 31 December 2019)
Inputs to progress reports on Security Union relating to achievements in fighting cybercrime and the way forward	Number of inputs to the progress reports	At least 4	3 progress reports came out in 2019, all included input on cybercrime (e-evidence; launch of infringements on Directive 2011/93/EU on combating the sexual abuse and sexual exploitation of children and child pornography; and Directive 2013/40/EU on attacks against information systems.
Council Decision authorising the opening of negotiations on a Second Additional	Adoption by Council	Q1 2019	Target reached Adopted by the Council in June 2019.

Protocol to the Budapest Convention on Cybercrime, on procedural provisions for cross-border access to electronic evidence			
Council Decision authorising the opening of negotiations for an Executive Agreement with the United States of America on cross-border access to electronic evidence	Adoption by Council	Q1 2019	Adopted by the Council in June 2019.
Monitoring implementation of the updated Cybersecurity Strategy ⁴³	Number of updated progress tables Number of meetings of Task Force Security Union sub-group on cybersecurity	4 in 2019 4 in 2019	Progress tables updated twice. 2 meetings held.
Fostering implementation of Directive 2011/93/EU on combating child sexual abuse and sexual exploitation and child pornography	Number of infringement proceedings launched	EU Pilot and/or infringement proceedings launched against 27 MS	Target partially reached 23 letters of formal notice sent and 26 EU Pilot procedures launched in 2019. The Commission is assessing the replies it has so far received from the Member States. 2 expert meetings took place, in June and September.

⁴³ JOIN/2017/450

	Number of expert meetings	2 expert meetings	
Fostering implementation of Directive 2013/40/EU on attacks against information systems	Number of infringement proceedings launched Number of expert meetings	EU Pilot and/or infringement proceedings launched against 12 or more Member States 2 expert meetings	4 letters of formal notice sent and 3 EU Pilot procedures launched in 2019. The Commission is assessing the replies received from the Member States. No expert meetings organised in 2019 – not needed at the current stage of the implementation monitoring process.
PACE19 planned and conducted in cooperation between EU institutions, EEAS, EU Agencies, Member States and NATO	Number of meetings organised within DG HOME, as well as with relevant DGs and other institutional stakeholders such the EEAS, the Council General Secretariat and NATO	At least 120	PACE19 was replaced with NATO CMX 19, where the EU Institutions played as a response cell. It took place on 9–15 May. Due to the above, the original indicator and target of 120 meetings is not relevant anymore.
Concluding activities for PACE18	Number of meetings organised within DG HOME, as well as with relevant DGs and other institutional stakeholders such the EEAS, the Council General Secretariat and NATO	30	Target reached Also, two Final Exercise Reports (one for the EU-NATO interaction part and other for the rest of players) corresponding to EU HEX ML 18 (PACE) were drafted by the all institutional actors and approved by the Council preparatory bodies.

Additional policy-related outputs not defined in the 2019 Management Plan

Output	Indicator	Target	Latest known results (situation on 31 December 2019)
Risk Assessment and capacity buildings on aviation security	Number of meetings organised within DG HOME, with relevant DGs and other institutional stakeholders such the EEAS, the Council General Secretariat	50	Target reached Around 70 meetings were organised. DG HOME continued the risk assessment activities on aviation security together with DG MOVE, EASA, Europol, Member States and

	and NATO		<p>airlines stakeholders.</p> <p>Moreover, a revision process involving Member States, DG HOME, DG MOVE, EEAS Intcen and Europol (acting as the Rail Transport Risk Assessment Group), as well as the stakeholders (industry representatives) was launched in late 2018 with a view of updating the methodology for risk assessment of rail transport and was completed in Q2 2019. A full rail transport risk assessment was performed by this Group in December 2019.</p> <p>HOME, with DG MOVE and DG TAXUD, put in place a process aiming at defining the Common Risk Criteria and indicators for the deployment of the future of Common Import System. The results were approved by the Integrated EU Aviation Security Risk Assessment Group.</p> <p>Additional meetings took place aiming at ensuring follow-up to the exploratory mission to Tunisia on aviation security undertaken in July 2018 as well as at preparing exploratory missions to Jordan in October 2019.</p> <p>Also, at the request of DG TRADE, DG HOME contributed to the risk assessment process regarding foreign direct investment screening.</p>
Expert group on Artificial Intelligence (AI) in the domain of Home Affairs	Number of meetings organised	3	<p>Target reached</p> <p>HOME organised in 2019 3 meetings with Member States to discuss the role of law enforcement in the EU strategy on AI, as a manner to build an expert community and improve communication. Main challenges and</p>

			topics of interest in the AI area for MS were identified (e.g. Data lake concept. A study on its technical and legal requirements is expected to be launched in 2020; Data Protection framework and a possible catalogue of best practices among Member States).
HOME contribution to the 100-Day AI initiative and Coordinated Plan on AI	Consultation procedure by CNECT	HOME contribution document	Target reached HOME contributed to the 100-Day AI initiative, to be put forward by CNECT following the political guidelines of the new Commission and the update of the Coordinated Plan on AI.

General objective 3: A Union of democratic change

Specific objective 3.1: Enhance citizens' understanding of the Union, its history and diversity, foster European citizenship and improve conditions for civic and democratic participation at Union level

Related to spending programme Europe For Citizens

Result indicator 3.1: Number of participants who are directly involved

Source of the data: project holders' final reports

Baseline (2014)	Interim Milestone (2018)	Target (2020)	Latest known results (2019)
1,100,000	1,200,000	1,300,000 (based on annual work programmes to be adopted by the programme committee of EFCP)	1,250,000 The target set in the programme statement was reached.

Main outputs in 2019:

Delivery on legislative proposals pending with the legislator

Output	Indicator	Target	Latest known results (situation on 31 December 2019)
Proposal for Rights and Values programme	Political agreement	2019	Target partially reached Partial political agreement reached in March 2019. Budgetary aspects and some horizontal issues still to be negotiated in the 1st semester 2020.

Important items from work programmes/financing decisions/operational programmes

For a complete listing of expenditure-related outputs please refer to the Programme Statements published together with the [Draft Budget for 2019](#).

Output	Indicator	Target	Latest known results (situation on 31 December 2019)
Supervision of the implementation of the Europe for Citizens programme by the Education, Audiovisual and Culture Executive Agency (EACEA)	Number of Remembrance projects	44	Target reached 49
	Number of Town-Twinning projects	277	Target partially reached 260 The target was not reached due to the higher average of value of grant/project.
	Number of Networks of towns projects	35	Target reached 36
	Number of Civil society projects	28	Target reached 29
	Number of support structures in the Member	36	29 support structures in 26 Member States were put in place. The target of 36 could not be

	States		reached based on limited interest from the side of Member States.
	Number of multi-annual operating grants awarded under of the Europe for Citizens programme	30	Target reached 30

Other important outputs

Output	Indicator	Target	Latest known results (situation on 31 December 2019)
Europe for Citizens- high-level stakeholders event	Date	Semester 1	Targets reached 2-3 April 2019.
	Number of participants	300	321
Meetings with stakeholders	Number of meetings	At least 2	1 remembrance networking meeting on 23-24 October 2019. The Civil Dialogue meeting which was due to be taken in the first semester 2019, was replaced by the event of 2-3 April 2019.

.....