

# Annual Activity Report 2020

## Annexes

EUROPEAN PERSONNEL SELECTION OFFICE

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# **ANNEX 1: Statement of the Director(s) in charge of Risk Management and Internal Control**

## **Statement of Assurance for “Shared Resources Services”**

### For DG HR Services

I declare that in accordance with the Commission’s communication on the internal control framework<sup>1</sup>, I have provided my advice and recommendations on the aspects of financial management and internal control in EPSO that fall under the responsibility of DG HR.

I hereby certify that the information provided by my services in relation to Section 2 and Annex 3 of the Annual Activity report is, to the best of my knowledge, accurate and complete.

Date: 31.03.2021

Christina VLASSIS

Head of Unit, Finance Procurement and  
Internal Control in DG HR

### For EPSO

I declare that in accordance with the Commission’s communication on the internal control framework<sup>2</sup>, I have at my disposal all advice and recommendations on the overall state of internal control in EPSO as a complement to the aspects covered by DG HR.

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

Date: 31.03.2021

Daniela CERVOVA,

EPSO.03, Resources and  
Administrative Support in EPSO<sup>3</sup>

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<sup>1</sup> C(2017)2373 of 19.04.2017.

<sup>2</sup> C(2017)2373 of 19.04.2017.

<sup>3</sup> Acting Head of Unit for the full year 2020.

## ANNEX 2: Performance tables

### General objective 7: A modern, high-performing and sustainable European Commission

#### Impact indicator 1: Image of the European Union

**Explanation:** This indicator is based on the question ‘In general, does the EU conjure up for you a very positive, fairly positive, neutral, fairly negative or negative image?’ The indicator gives the share of positive and fairly positive views on this question

**Source of the data:** [Eurobarometer](#)

Baseline (2019)	Interim milestone (2022)	Target (2024)	Latest known results: (2020)
43% (EU27)	Increase	Increase	40% (EU27)

#### Impact indicator 2: Staff engagement index in the European Commission

**Explanation:** Staff engagement measures staff’s emotional, cognitive and physical connection to the job, organisation and the people within it

**Source of the data:** [European Commission](#)

Baseline (2018)	Interim milestone (2021)	Target (2024)	Latest known results: (2020)
69%	Increase	Increase	69% (2018)

**Specific objective 1 : Highly qualified staff is made available to all EU Institutions by organising open competitions and selection procedures in an inter-institutional context – covering thereby the services’ evolving needs.**

**Result indicator:** Laureate delivery rate (administrators, assistants, linguists, specialists: meeting the targets set out in the Notices of Competition).

**Source of data:** Notices of Competition, Reserve lists in Recruiter Portal

<b>Baseline</b> (2019)	<b>Interim Milestone</b> (2022)	<b>Target</b> (2024)	<b>Latest known results</b> (2020)
≥ 90% of the cumulative published target figures	≥ 90% of the cumulative published target figures	Maintain or increase	103%

**Result indicator:** Number of candidates tested

**Source of data:** Calls for Expression of Interest , CAST lists in Recruiter Portal

<b>Baseline</b> (2019)	<b>Interim Milestone</b> (2022)	<b>Target</b> (2024)	<b>Latest known results</b> (2020)
All pre-selected candidates are invited for testing on time. New profiles are being integrated according to the needs of the institutions.	All profiles requested by the institutions are being integrated on a regular basis. Furthermore, EPSO is providing the required testing of candidates as per the Calls for Expression of Interest.	EPSO continues to integrate all profiles requested by the institutions on a regular basis and to provide the required testing of candidates as per the Calls for Expression of Interest. The ultimate goal is to provide an even more cost-efficient and effective selection process.	Recruiters shortlisted 7,544 applications, and 6,661 tests were delivered. Testing was interrupted due to the Covid 19 pandemic during the months of April and May 2020, but the backlog was absorbed during June-July testing session. EPSO adopted a policy of re-inviting to future tests those candidates who could not sit the tests in the testing window for which they were initially invited.  Technical assistance for CAST JRC continued; 201 candidates were tested at the premises of JRC (locally proctored remote testing) and 102 candidates in our contractor’s test centers, which was an additional service offered to JRC in 2020 to help mitigate testing issues in the JRC premises.

<b>Result indicator:</b> Strategic 3-year planning established on time			
<b>Source of data:</b> EPSO, EPSO Working Group and EPSO Management Board			
<b>Baseline</b> (2019)	<b>Interim Milestone</b> (2022)	<b>Target</b> (2024)	<b>Latest known results</b> (2020)
The 2020 strategic planning exercise, covering the period 2020-2022, was completed by endorsement of the EPSO Management Board in October 2019.	The 2023 strategic planning exercise, covering the period 2024-2026, to be completed by endorsement of the EPSO Management Board in October 2022.	Complete strategic 3-year planning exercise before October each year in cooperation with the Institutions.	The 2021 strategic planning exercise, covering the period 2021-2023, will be submitted to the EPSO Management Board in early 2021 for endorsement.
<b>Result indicator:</b> Timely delivery of accurate certification examinations in compliance with the Institutions' requirements			
<b>Source of data:</b> EPSO.unit.01			
<b>Baseline</b> (2019)	<b>Interim Milestone</b> (2022)	<b>Target</b> (2024)	<b>Latest known results</b> (2020)
All candidates tested within the deadline and list of certified Officials delivered on time.	100 % timely and accurate delivery of list of certified officials according to the deadlines set by Institutions.	EPSO continues a 100 % timely and accurate delivery of list of certified officials according to the deadlines set by Institutions.	Target met.
<b>Main outputs in 2020:</b>			
<b>Other important outputs</b>			
<b>Output description</b>	<b>Indicator</b>	<b>Target</b>	<b>Latest known results</b> <b>(situation on 31/12/2020)</b>
Reserve lists of AD, AST and AST/SC Officials, as set out in the Notices of	<ul style="list-style-type: none"> <li>Laureate delivery rate</li> </ul>	<ul style="list-style-type: none"> <li>≥90% of the cumulative published target figures of laureats.</li> </ul>	103%

Competition.			
In total, 1 821 laureates are requested across all Institutions for 2020 in the context of the annual planning exercise.	<ul style="list-style-type: none"> <li>• Duration of the selection procedure</li> </ul>	<ul style="list-style-type: none"> <li>• 9 to 12 months for annual cycles and &lt;10 months for specialist competitions, depending on the number of candidates and the subsequent organisation of these competitions with or without computer-based tests upfront.</li> </ul>	<p>Due to the impact of COVID-19 and the organisational, procedural, and legal changes necessary to assure business continuity, fewer competitions were completed than expected (17 specialist competitions; no generalist competition). The average duration of the completed competitions was 13,5 months with the shortest completed in 12 and the longest in 18 months, respectively.</p> <p>Subsequently, 17 competitions initially planned for 2020 were postponed to 2021, driving down the number of expected laureates to 794.</p>
Permanent CAST selection model	<ul style="list-style-type: none"> <li>• Database of candidates (both applicants and tested candidates) across four function groups permanently available to recruiting services and updated in real time in the Recruiter Portal.</li> </ul>	<ul style="list-style-type: none"> <li>• Testing of all candidates pre-selected by Institutions within agreed deadlines throughout the year.</li> </ul>	<p>Target reached. By the end of 2020, 41,638 valid applications were present in the CAST Permanent database.</p> <p>Despite delays due to the Covid 19 pandemic, all preselected candidates were invited for tests (7,544 invitations issued) and 6,661 tests were delivered. Testing was interrupted during March – May 2020, but the backlog of pre-selected candidates was cleared in the June-July testing session.</p>
	<ul style="list-style-type: none"> <li>• New profiles introduced (with appropriate test content) matching Institutions' needs.</li> </ul>	<ul style="list-style-type: none"> <li>• New profiles/ new test content added at the request of the Institutions.</li> </ul>	<p>The building profile requested by the institutions could not be introduced in 2020 due to the pandemic. It is now planned for 2021. Upon request of stakeholders, preparatory work started on adding security profiles to the Call for Expression of Interest and to create</p>

			corresponding test content. This should be completed in 2021.
	<ul style="list-style-type: none"> <li>• High-quality test content</li> </ul>	<ul style="list-style-type: none"> <li>• Refreshment of test content in those domains where existing material might have become overexposed.</li> </ul>	Target reached. Renewed test content for some profiles was introduced in 2020 (project management and political affairs). Renewal of test content will continue in 2021 alongside wider reflections on improving competency testing in CAST procedure
Strategic planning 2021 – 2023 (for EPSO's selection procedures)	<ul style="list-style-type: none"> <li>• Strategic planning exercise 2021 – 2023 endorsed by EPSO Working Group and Management Board, in line with the existing guidelines or updates thereof.</li> </ul>	<ul style="list-style-type: none"> <li>• October/November 2020</li> </ul>	Endorsement in 2020 was postponed due to procedural delays caused by COVID-19 pandemic.
New framework contracts following the outcome of the Special Working Group or necessary to cater for new working methods following the Covid-19 situation.	<ul style="list-style-type: none"> <li>• Timely completion of procurement procedures (in collaboration with DG HR.R1). New framework contracts awarded and in place.</li> </ul>	<ul style="list-style-type: none"> <li>• Preparing draft technical specifications to finalise in the second semester 2020.</li> </ul>	The process was postponed as details of the implementation will only be clarified in 2021.
Delivery of examinations in order to enable the Examining Board to establish Reserve lists of certified Officials.	<ul style="list-style-type: none"> <li>• Timely delivery of Certification examinations in compliance with the requirements set by the Institutions.</li> </ul>	<ul style="list-style-type: none"> <li>• 100% timely and accurate delivery of list of certified officials according to the deadlines set by the</li> </ul>	127 candidates (of which 73 new candidates) were tested in three different exams. List of certified officials was delivered on time to the Institutions.



Institutions.
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**Specific objective 2 : EPSO's communication with citizens is positive and proactive, strengthening the employer brand for the EU Institutions and improving the attractiveness of an EU career for the right and diverse talent across the EU**

**Result indicator:** Candidate satisfaction rate with EPSO's selection procedures: pre-selection-stage (CBT) and Assessment Centre (AC).

**Source of data:** Candidates' satisfaction surveys (after CBT-stage and AC-stage).

<b>Baseline</b> (2019)	<b>Interim Milestone</b> (2022)	<b>Target</b> (2024)	<b>Latest known results</b> (2020)
<p><u>Assessment Centre:</u> ≥73% satisfied/very satisfied (of which at least 32% very satisfied).</p> <p><u>Pre-selection stage:</u> ≥90% satisfied.</p>	<p><u>Assessment Centre:</u> ≥80% satisfied/very satisfied (of which at least 40% very satisfied)</p> <p><u>Pre-selection stage:</u> ≥90% of candidates who sat the pre-selection tests are satisfied.</p> <p>Rates set as part of EPSO's mission to provide high quality, efficient and effective selection procedures.</p>	<p><u>Assessment Centre:</u> ≥90% satisfied/very satisfied (of which at least 50% very satisfied)</p> <p><u>Pre-selection stage:</u> Maintain the satisfaction rate of ≥90% of candidates who sat the pre-selection tests also in line with EPSO's mission to provide high quality, efficient and effective selection procedures.</p>	<p><u>Assessment Centre:</u> Since AC were put on hold mid-March 2020 due to the pandemic, only 105 candidate satisfaction survey replies were received that year. On that basis, no representative satisfaction rate with a statistical value is available.</p> <p><u>Pre-selection stage:</u> overall candidate satisfaction rate of 96% of candidates who sat the pre-selection tests.</p>

**Result indicator:** Strong awareness of the EU Careers brand, especially online and on-campus.

**Source of data:** EPSO unit.05

<b>Baseline</b>	<b>Interim Milestone</b>	<b>Target</b>	<b>Latest known results</b>
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(2019)	(2022)	(2024)	(2020)
Number of visits of the EU Careers website: 4,519,990	General target: Annual increase of visits by 10%	Maintain the same annual increase rate for the number of visits of the EU Careers website, aligned with the number and nature of selection procedures published.  Sustain an accessible website (AA standard, according to the UN Convention on the rights of persons with disabilities) with regular screening exercises.	4,837,317 total visits (7% increase of visits compared to 2019)  The 10% target was not reached because of the lack of publications of new competitions for approximately six months, due to the pandemic.  An accessibility screening was done in January-February 2020. Based on this evaluation, most of the selected sample pages are very close to meeting WCAG 2.1, Conformance Level AA.
<b>Baseline</b> (2019)	<b>Interim Milestone</b> (2022)	<b>Target</b> (2024)	<b>Latest known results</b> (2020)
Social media engagement (number of followers on all social media channels and engagement rates)	Average annual growth of followers per channel: Facebook 5%, LinkedIn: 12%, Instagram: 20%, Twitter: 2% Target engagement (monthly average): Facebook: 3,000, LinkedIn 1,500, Instagram, 120,000, Twitter: 300	Maintain the same rate of growth for the number of followers and the monthly average target for engagement	Growth of followers per channel in 2020: Facebook: 9,8%, LinkedIn: +35%, Instagram: +102%, Twitter: 4,3%) Engagement rate (monthly average): Facebook: 1820, LinkedIn: 1576, Instagram: 3860, Twitter: 230 (Engagement/interaction rates were measured with a different platform in 2020: Socialbakers. In 2019 rates were measured with Hootsuite).

<b>Baseline</b> (2019)	<b>Interim Milestone</b> (2022)	<b>Target</b> (2024)	<b>Latest known results</b> (2020)
<p>Outreach via promotional activities (number of events and visitors, number of applicants):</p> <ul style="list-style-type: none"> <li>• 970 events (including Ambassador events)</li> <li>• 16,843,662 number of page views EU Careers brand</li> <li>• 4,519,990 number of visits on EU Careers website</li> </ul>	<p>Maintain the number of activities (events organised by ambassadors and visitors/participants of other events). Establish possible links between the number of events and number of applicants in selection procedures.</p>	<p>Maintain the number of activities (events organised by ambassadors and visitors/participants of other events). Establish possible links between the number of events and number of applicants in selection procedures.</p>	<p>501 events took place during the year. Due to the pandemic, many events in which EPSO staff usually participates were cancelled. The number of events by Student Ambassadors decreased drastically since March 2020, as campuses were closed.</p> <p>Total number of applicants in EPSO selection procedures/competitions: 27.413 (excl. CAST/P and internal competitions). The low number is due to the fact that very few competitions were published during 2020. During a period of about 6 months no competitions were published at all.</p>

**Result indicator:** Targeted communication actions implemented aiming at attracting more talent with disabilities and specific needs.

**Source of data:** Candidate application form, data base of organisations representing disability, EPSO unit.01.

<b>Baseline</b> (2019)	<b>Interim Milestone</b> (2022)	<b>Target</b> (2024)	<b>Latest known results</b> (2020)
<ul style="list-style-type: none"> <li>• A call for collaboration to all EU organisations involved in the promotion and welfare of EU citizens with</li> </ul>	<ul style="list-style-type: none"> <li>• Disability monitoring tool implemented in the application form.</li> <li>• Targeted communication actions and monitoring</li> </ul>	<ul style="list-style-type: none"> <li>• Increased number of candidates (500) with disabilities and specific needs (at least 10% compared to the baseline)</li> </ul>	<p>The call for cooperation to all EU disability organisations was extended to diversity and inclusion organisations and launched in December 2020.</p> <p>A targeted communication action was EPSO's</p>

<p>disabilities was launched on 3/12/2019.</p> <ul style="list-style-type: none"> <li>In 2019, EPSO received 331 requests for special adjustments of selection tests<sup>4</sup> (competitions and selections).</li> </ul>	<p>extended to other diversity and focus groups.</p>	<p>applying to EPSO competitions and selections.</p> <ul style="list-style-type: none"> <li>Potential corrective measures and additional actions implemented based on the monitoring's results.</li> </ul>	<p>participation in an online global careers fair, providing information about selection procedures and reasonable accommodation in the context of the International Day for persons with disabilities.</p> <p>In 2020, the total number of requests for special adjustments was 283 (183 for open competitions, 8 for internal competitions, 4 for JPP and 88 for CAST/P). The lower numbers are explained with reference to COVID and the fact that only a few tests were organised.</p>
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#### Main outputs in 2020:

#### External communication actions

Output description	Indicator	Target	Latest known results (situation on 31/12/2020)
<b>Communication with citizens and candidates</b>	Ratio of queries per application dealt with by EPSO's Candidate Contact Service (CCS).	In 2020, the average number of queries should stay comparable to 2019 figures, i.e. one query per 4 applications	<p>In 2020, the average number of queries is one query per 1.7 applications.</p> <p>The target is not met due to the extraordinary circumstances in 2020:</p> <ul style="list-style-type: none"> <li>⇒ a low number of new competitions published in 2020,</li> <li>⇒ a very high number of queries due in particular to difficult testing conditions</li> </ul>

<sup>4</sup> EPSO is not yet monitoring disability but only the number of requests for special adjustments of selection tests. This includes candidates with a permanent or temporary medical condition (including pregnant or breastfeeding candidates). The number represents the requests received per competition/selection published (and not necessarily finalised) in 2019. It does not cumulate requests received from same candidates within a competition. Each candidate is recorded once per competition even if reasonable accommodations were granted at different stages of the competition. As to CAST selections, this number currently only takes into account candidates who benefitted from reasonable accommodations and were tested within 2019.

Maintenance of the candidate relationship management tool (Issue Tracker) for candidate questions and issues in all 24 EU official languages.	Number of colleagues trained in using the tool	100% of selected colleagues trained in using the tool	10 colleagues (100% of designated staff) were trained during 3 training sessions in 2020.
	Number of colleagues using the tool	100% of selected colleagues using the Issue Tracker tool.	90 EPSO staff used the Issue Tracker tool, i.e. 100% of selected colleagues.
FAQs available on EU Careers website are regularly reviewed and updated, new ones added as new processes are implemented.	<ul style="list-style-type: none"> <li>Number of FAQs reviewed/updated/added</li> </ul>	At least 5 new FAQs are added	12 new FAQs were added to the existing ones. 119 FAQs were updated in the course of 2020.
Structured cooperation with Europe Direct Contact Centre (EDCC) to manage general queries from candidates in all 24 official EU languages.	Ratio of queries per application dealt with by EDCC.	<ul style="list-style-type: none"> <li>Maintain the ratio of queries per application at 1 query per 100 applications.</li> </ul>	1 query per 100 new applications were dealt with by EDCC in 2020.
	Number of participants / overall usefulness of the event for attendees	Numerical target Organise at least 3 training sessions per year for the EDCC agents	3 training sessions took place in 2020 for EDCC agents.
<b>Legal matters</b> Timely and effective handling of Article 90 and Ombudsman complaints,	<ul style="list-style-type: none"> <li>Number of contributions/decisions prepared within the set deadlines</li> </ul>	In 2020, 95% of procedures completed within set deadlines.	In 2020, 60% of procedures were completed within set deadlines. Reason: heavily increased workload throughout 2020, while being continuously understaffed at the same

access to documents requests, and EDPS complaints.			time– by 25% since August 2019, and by 50 % since November 2020 – as a result of staff mobility. Added to this, the transition to 100% teleworking due to Covid-19 required colleagues to adapt swiftly to new ways of working within an IT environment that was at times unstable.
<b>Accessibility of EU Careers website</b>	Reduced number of issues flagged in the accessibility screenings of the website.	In 2020, accessibility check (early 2020) and delivery report by Web Content expert from DG COMM.	Accessibility screening was done in January-February 2020. The delivery report was issued in February 2020.
	Continuous improvement of accessibility.	Based on this evaluation, target is to have most of the selected sample pages very close to meeting WCAG 2.1, Conformance Level AA.	Based on this evaluation, most of the selected sample pages are very close to meeting WCAG 2.1, conformance Level AA.
	Level of AA WCAG (Web Content Accessibility Guidelines) compliance achieved as certified by DG COMM.	2nd semester 2020	Improvements were made to tackle the issues raised in the evaluation report. A new screening will take place in the 1 <sup>st</sup> quarter of 2021.
	Delivery of final report by Web Content expert from DG COMM.	Further improve accessibility features on the new website (ongoing migration to Drupal 8)	Continued work on tackling accessibility issues on the currently being developed new Drupal8/9 website (migration and revamp of EPSO's website). Ran a usability/accessibility review of current website to find elements that still need to be improved on the new website.

Other important outputs			
Output description	Indicator	Target	Latest known results (situation on 31/12/2020)
<b>Social Media strategy and initiatives.</b> <ul style="list-style-type: none"> <li>Enhance visibility on social media, by increasing the number of followers</li> </ul>	<ul style="list-style-type: none"> <li>Number of followers on social media.</li> </ul>	By end 2020 Target number of followers: <ul style="list-style-type: none"> <li>Facebook: 400,000</li> <li>Twitter: 40,000</li> <li>LinkedIn: 100,000</li> <li>YouTube: 6,500</li> <li>Instagram: 35,000</li> </ul>	<ul style="list-style-type: none"> <li>Number of followers:</li> <li>Facebook: 424,707</li> <li>Twitter: 36,822</li> <li>LinkedIn: 117,213</li> <li>YouTube: 6,740</li> <li>Instagram: 38,572</li> </ul>
<ul style="list-style-type: none"> <li>Increase engagement on social media</li> </ul>	Number of engagement (shares, likes, clickthroughs, comments)	Target engagement (monthly average): <ul style="list-style-type: none"> <li>Facebook: 3,000</li> <li>Twitter: 300</li> <li>LinkedIn: 1,500</li> <li>Instagram: 120,000</li> </ul>	Engagement rate (monthly average of interactions) <ul style="list-style-type: none"> <li>Facebook: 1,820</li> <li>Twitter: 230</li> <li>LinkedIn: 1,576</li> <li>Instagram: 3,860</li> </ul> Engagement/interaction rates were measured with a different platform in 2020: Socialbakers. In 2019 rates were measured with Hootsuite.
Increase synergies with the other EU Institutions (sharing material, visuals, campaigns, posts)	Number of posts promoting campaigns, vacancies and traineeships of other EU institutions, bodies, agencies	<ul style="list-style-type: none"> <li>At least 3 posts per channel monthly</li> </ul>	Published at least 3 posts per channel monthly (sharing material, visuals, campaigns, posts, promoting their vacancies/traineeships)
<b>EU Careers website:</b>  Increase visibility of	Number of visits.	Increase the number of visits to the website in 2020 by 10% compared to 2019	Number of visits increased by 7% in 2020, reaching a total of 4,837,317 visits. The 10% target was not reached because of the lack of publication of new

website		(target for 2020: 4 970 000 visits).	competitions for approximately six months, due to the pandemic situation.
<ul style="list-style-type: none"> <li>Layout, content and functionalities are further improved (v2.0).</li> </ul>	<ul style="list-style-type: none"> <li>Continuous implementation of new functionalities on the website to make sure the website is increasingly user friendly.</li> <li>Continuous improvements in the organisation and display of content in order to make information easier to access</li> </ul>	<ul style="list-style-type: none"> <li>Dedicated landing pages for running campaigns.</li> <li>Launching of project for EU Agencies to publish their temporary vacancies directly themselves on the EU Careers website.</li> <li>Interlink EPSO website with websites of all EU Institutions' and Bodies' (develop and publish dedicated page on their jobs/career pages and ask them to add EU Careers informations on their jobs pages).</li> <li>Proceed with migration to Drupal 8.</li> </ul>	<ul style="list-style-type: none"> <li>Published landing pages for running campaigns, competitions, and selection procedures</li> <li>Project for EU Agencies to publish their temporary vacancies directly themselves on the EU Careers website was successfully launched in Feb 2020 and has been fully functional since then.</li> <li>Project to interlink EPSO website with the websites of all EU institutions and bodies' was completed in 2020. EPSO developed and published on 22 April 2020 a dedicated page linking to their jobs/career pages and they added information on EU Careers on their respective career/job vacancies pages.</li> <li>Continued working on the migration of EPSO's website to Drupal 8/9.</li> </ul>
<p><b>Employer Branding:</b> Objective: The EU Careers brand is well established, recognised and strengthened.</p>			
1. Continue to implement the new employer branding strategy,	Number of contacts made during the campaign/implementation of	10 Institutions	10 institutions were represented in an employer branding seminar organised in 2020.



including socialising the new Employee Value Proposition, Shaping Europe together, with main stakeholders.	branding strategy		
2. Establishing the Employer Branding Network as an arena for planning actions to improve the EU's employer brand. The network consists of high-level HR and communication representatives of all Institutions. Two network meetings will be organised in 2020.	Number of contacts / percentage of newcomers (if applicable); number of attendees at the network meetings	20 participants (2 per Institution)	20 participants (2 per institutions) were present in the Employer Branding network meeting.  Due to the pandemic, only 1 network meeting could be organised.
<b>Reach the correct candidate population</b> via appropriate and targeted employer branding activities, incl. media campaigns			
1. Specific media campaigns are run for open competitions and	Reach out to EU citizens	50 000 people reached per 500€	213,972 people reached per 500€ by end of 2020.
	Link clicks	1 500 links clicks per 500€	4,992 link clicks per 500€ budget by end of 2020.

<p>in particular for certain profiles (such as linguists and specialists) via social media (mainly Facebook and LinkedIn).</p>		<p>budget</p>	
<p>2. Attractiveness of promotional and branding events (live and online events).</p>	<p>Number of attendees</p>	<p>20.000 visitors/attendees per year across all events.</p>	<p>8.500 visitors/attendees during 2020 across the event that could take place.</p>
<p><b>Analysis of candidate survey results.</b></p> <p>The results of the assessment centre survey (sent to all participants shortly after the AC) are analysed, reviewed and followed up internally by the units concerned (01, 02, 04 and 05).</p> <p>A specific internal wiki is set up in 2020 to identify areas for further improvement, if flagged by candidates, and their implementation.</p>	<p>Level of overall satisfaction rate of all candidates.</p>	<p>≥ 90% of candidates for the AC survey are satisfied.</p>	<p>Due to the pandemic, only 105 survey results were received during the first 3 months of 2020. A satisfaction rate based on such low number of replies would not be representative and have no statistic value.</p> <p>1 question of the satisfaction survey was updated to include remote AC testing.</p>

If necessary introduce new questions into the survey.			
<b>EU Careers Student Ambassadors – recruitment and training.</b>			
1. Maintain or increase the number of universities represented in all Member States with a focus on high quality.	Number of universities from across all EU MS participating in the programme	Benchmark is 144. Target: increase number of universities represented	144 universities were represented
All Student Ambassadors receive training (in Brussels or in the Member State).	Percentage of student ambassadors receiving training	Target: 100% Student Ambassadors trained by EPSO staff	100% Student Ambassadors were trained
<b>EU Staff Ambassadors - new mandate</b>			
Objective: Maintain or increase involvement from Staff Ambassadors			
1. EPSO's target is to maintain and/or increase the diversity by the end of 2020.	Number of Staff Ambassadors (covering all MS and all Institutions).	124	141 Staff Ambassadors by the end of 2020

2. By end of 2020 EPSO will ask Staff Ambassadors for concrete job descriptions and testimonials to be used for the EPSO website and social media	Number of job descriptions and testimonials obtained	10	24 job descriptions/testimonials obtained
Activities:			
Bi-weekly newsletter (via email) to share information and encourage Staff Ambassadors to spread the word within their networks	Number of newsletter subscribers	130	147 subscribers to the newsletter
Setting up a collaborative platform together with DG HR	Number of EU Careers Staff Ambassadors for pilot phase	50	50 EU Careers Staff Ambassadors participated in the corporate Staff Advocacy pilot project.
<b>Targeted communication plan</b> aiming at attracting more candidates with disabilities and specific needs continues to be implemented.	<ul style="list-style-type: none"> <li>the number of targeted actions implemented in order to reach out to candidates with disabilities and specific needs</li> <li>a data base of national and EU disability organisations allowing a better reach out to persons with disabilities</li> </ul>	<p>At least the following 5 targeted actions implemented:</p> <ol style="list-style-type: none"> <li>Update regularly the equal opportunities webpage on EU careers website with practical information for persons with disabilities and specific needs</li> <li>Promote the EU career among students with</li> </ol>	<p>The following targeted actions were implemented:</p> <ol style="list-style-type: none"> <li>The equal opportunities webpage has been updated on a regular basis with practical information, such as a flyer on requesting reasonable accommodations for persons with disabilities and specific needs.</li> <li>A Masterclass was organised for EU Careers Ambassadors on diversity and disability issues.</li> </ol>

	and specific needs	<p>disabilities and national disability organisations by organising a masterclass on diversity with a special focus on disability for EU career ambassadors.</p> <p>3. Publish a practical manual on how to request special adjustments of selection tests as a result of a compilation of useful information for the candidates.</p> <p>4. Publish the overview of possible accommodations in selection tests on EPSO's website</p> <p>5. Spread the call for cooperation to all EU national disability organisations (all disability organisations having joined the disability network<sup>5</sup>receive information on EPSO's competitions upon</p>	<p>3. A practical manual on how to request special adjustments of selection tests was published on the Equal Opportunities web page.</p> <p>4. An overview of possible accommodations in selection tests was published on EPSO's Equal Opportunities' website.</p> <p>5. The initial call for cooperation to all EU national disability organisations was extended to diversity organisations and launched in December.</p>
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<sup>5</sup> EPSO started creating the data base of disability organisations in 2020 following the call for cooperation to all EU organisations involved in the promotion and welfare of persons with disabilities launched in December 2019,. There is hence no baseline yet.

publication)

**Specific objective 3: EPSO's selection methods are improved by means of innovative technologies and collaborative tools.**

**Result indicator:** New types of test (content and/or delivery mode) introduced in order to improve the quality of assessment and optimise the use of resources.

**Source of data:** Notices of Competition, Call for expression of interest, AC management tool, markers' module

<b>Baseline</b> (2019)	<b>Interim Milestone</b> (2022)	<b>Target</b> (2024)	<b>Latest known results</b> (2020)
The EPSO Assessment Centre is delivered in different modules and phases, relying on the use of efficient talent-ranking methods and remote technologies.	<p>Improve balance between general and specific competencies and enhance more remote assessment.</p> <p>More flexibility for Selection Boards and improved quality at the preliminary phase of the selection process.</p>	More digitalised and technology-based selections for improvement of quality and efficiency.	All assessment centers are delivered remotely. More weight is provided to field related tests (specific competencies). Machine assisted content screening methods are in place.

**Result indicator:** The reasonable accommodations procedure for candidates with special needs is constantly improved in line with the best international practices.

**Source of data:** EPSO unit.01

<b>Baseline</b> (2019)	<b>Interim Milestone</b> (2022)	<b>Target</b> (2024)	<b>Latest known results</b> (2020)
EPSO started revising the entire reasonable accommodations procedure based on candidates' feedback, performance and	<ul style="list-style-type: none"> <li>New simplified and documented reasonable accommodations procedure is implemented together with a toolbox</li> </ul>	A centralised IT tool allowing better definition and management of reasonable accommodations for EPSO ACCESSIBILITY team	<p>Revision of the reasonable accommodations procedure continued in 2020 and resulting in: [resulted in/is resulting in/will result in?]</p> <ul style="list-style-type: none"> <li>launch of various requests for IT changes (improve accessibility of the application form, simplify and</li> </ul>

best practices.	<p>for both candidates and staff involved in defining and organising reasonable accommodations including assessors.</p> <ul style="list-style-type: none"> <li>• A solution is implemented to allow the use of assistive technology and thereby increase autonomy of candidates with visual impairments during tests (remote testing or any other solution).</li> </ul>	including statistics is implemented	<p>clarify the process of requesting special adjustments, introduce a request for disability monitoring);</p> <ul style="list-style-type: none"> <li>• update of various documents used by candidates including the policy on reasonable accommodations for pregnant and breastfeeding candidates;</li> <li>• publication of a compilation of all useful information on how to request special adjustments (guide for candidates) and an overview of possible accommodations in EPSO's selection tests.</li> </ul>
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**Main outputs in 2020:**

**Other important outputs**

<b>Output description</b>	<b>Indicator</b>	<b>Target</b>	<b>Latest known results (situation on 31/12/2020)</b>
Delivery of remotely proctored internet-based tests.	<ul style="list-style-type: none"> <li>• Following a pilot project for the delivery of remotely proctored internet-based tests, EPSO envisages to roll out this delivery model in a staggered approach, most probably starting with essay-type exams.</li> </ul>	Second semester 2020	The delivery of remotely proctored internet-based tests was delayed due to technical and data protection issues but will be rolled-out in Q1 2021.

Further enhance the use of more profile-related testing in order to balance the assessment of various competencies and skills.	<ul style="list-style-type: none"> <li>• Use in specific competitions such as specialised and internal.</li> </ul>	Second semester 2020	The development of MCQ field-related tests for an external competition and EU knowledge tests for an internal competition was finalised.
First steps towards delivery of continuous testing for CAST selection procedures: 'shopping card'.	<ul style="list-style-type: none"> <li>• Provide the institutions with a possibility to keep better track of pre-selected candidates sent for testing. Ultimate goal is to eliminate testing windows by allowing candidates pre-selected by the institutions to test according to the timing of the interview.</li> </ul>	Second semester 2020	A prototype of 'shopping cart' feature was developed by the end of 2020 and should be finalised in the first half of 2021. The delay is due to a clarification need on the developers' side.
Introduction of the "split assessment" (each assessor scores candidates individually) approach.	<ul style="list-style-type: none"> <li>• Implementation of the approach in the context of a specific competition using customised software.</li> </ul>	<p>2020 first semester: test new functionalities in the scoring tool.</p> <p>2020 second semester: use split assessment in a specific competition.</p>	Split assessment functionalities are ready to be used for new competitions.



<p>Use of the MMI method (Multi Mini Interview/Speed Assessment)<sup>6</sup>.</p>	<ul style="list-style-type: none"> <li>• Use of the MMI method in the frame of the earmarked competitions.</li> </ul>	<p>2020 first semester: analysis of the results of the AST-SC07 where MMI was used.</p> <ul style="list-style-type: none"> <li>• 2020 Second semester: MMI is proposed to Institutions for implementation in future competitions</li> </ul>	<p>MMI method is ready to be implemented in future competitions.</p>
<p>Further enhancement of the reasonable accommodations procedure for candidates with disabilities and specific needs</p>	<ul style="list-style-type: none"> <li>• Proposal of an improved reasonable accommodations procedure.</li> <li>• A compilation of useful information within a practical manual on how to request special adjustments for candidates.</li> </ul>	<ul style="list-style-type: none"> <li>• Last trimester 2020</li> <li>• Last trimester 2020</li> </ul>	<p>Revision of the reasonable accommodations procedure continued in 2020 and resulted in:</p> <ul style="list-style-type: none"> <li>• launch of various requests for IT changes (improve accessibility of the application form, simplify and clarify the process of requesting special adjustments, introduce a request for disability monitoring);</li> <li>• update of various documents used by candidates including the policy on reasonable accommodations for pregnant and breastfeeding candidates; publication of a compilation of all useful information on how to request special adjustments (guide for candidates) and an overview of possible accommodations in EPSO's selection tests</li> </ul>

<sup>6</sup> Multi Mini Interviews (MMI) method consists of replacing the traditional panel interview with a series of short interviews, one to one, with each member of the panel. Each interview lasts 10 minutes maximum and focuses on a limited number of well-defined aspects of the candidate.

**Specific objective 4: The linguistic abilities in a third language of staff eligible for a first promotion are evaluated in a harmonised, consistent and cost-efficient manner**

**Result indicator:** Timely delivery of assessments concerning the diplomas and certificates submitted by the candidates.

**Source of data:** EPSO unit.03

<b>Baseline</b> (2019)	<b>Interim Milestone</b> (2022)	<b>Target</b> (2024)	<b>Latest known results</b> (2020)
100% of files evaluated within the deadline (636 files in total).	100 % of files (diplomas and certificates) submitted within the deadline evaluated by the end of each year.	100 % of files (diplomas and certificates) submitted within the deadline evaluated by the end of each year.	100 % of files evaluated within the deadline (548 files in total).

**Result indicator:** Timely delivery of linguistic tests

**Source of data:** EPSO unit.03

<b>Baseline</b> (2019)	<b>Interim Milestone</b> (2022)	<b>Target</b> (2024)	<b>Latest known results</b> (2020)
All candidates tested within the deadline (291 candidates tested in total).	100% satisfaction by the end of each year of requests received for testing third language capabilities	100% satisfaction by the end of each year of requests received for testing third language capabilities	Two out of four testing sessions were cancelled due to the global pandemic. However, all candidates were offered a test slot later in the year and those who accepted the offer were tested within the deadline. As an alternative to EPSO tests some candidates were offered a prior-authorisation allowing them to organise their test themselves outside institutions and get reimbursed afterwards (253 exams delivered).

**Main outputs in 2020:**

**Other important outputs**

<b>Output description</b>	<b>Indicator</b>	<b>Target</b>	<b>Latest known results</b> <b>(situation on 31/12/2020)</b>

Delivery of assessments of linguistic ability by EPSO and the evaluation committees to satisfy the requirements of Article 45(2) and Article 85(3) of CEOS.	Timely delivery of assessments concerning the diplomas and certificates submitted by the candidates.	100% evaluation of files (diplomas and certificates) submitted within the deadline.	All the requests for diploma assessment satisfied and all the stakeholders informed (548 files in total)
Delivery of assessments of linguistic ability by EPSO and the external service providers to satisfy the requirements of Article 45(2) and Article 85(3) of CEOS.	Timely delivery of linguistic tests of level B2.	100% satisfaction of requests received for testing third language capabilities.	Due to the global pandemic two out of four Third language testing sessions were cancelled. All the applicants were offered to sit their test in the closest available session (253 exams delivered in total)
Delivery of an online satisfaction survey for candidates processed during the year.	Satisfaction rate of candidates with the assessment of their third language abilities.	≥ 90 % satisfaction rate of candidates who reply to the satisfaction survey	91 % of overall candidate satisfaction rate achieved with the service
Procurement processes for new Framework contract	Completion of the procedure (in collaboration with DG HR.R.1).	Completion expected in summer 2020	Procurement process was completed by summer 2020 and the new framework contract is in use

## ANNEX 3: Final annual accounts and financial reports

AAR 2020 Version 1

### Annex 3 Financial Reports - DG EPSO - Financial Year 2020

**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**

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

Refresh date : 19/03/2021

## Additional comments

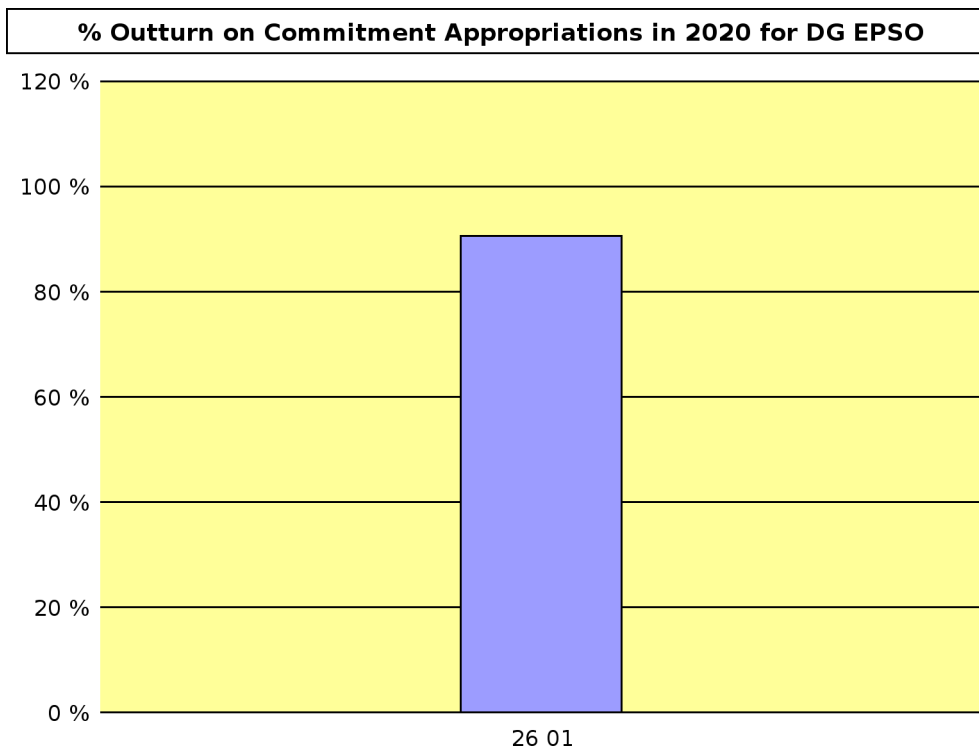
### Table 2: Payment Appropriations

Due to a technical error, the total amount of payment appropriations indicated in Table 2 is **13,56 Mio €.**

**The correct amount is 16,25 Mio €.**

<b>TABLE 1: OUTTURN ON COMMITMENT APPROPRIATIONS IN 2020 (in Mio €) for DG EPSO</b>					
			Commitment appropriations authorised	Commitments made	%
			1	2	3=2/1
<b>Title 26 Commission's administration</b>					
26	26 01	Administrative expenditure of the 'Commission's administration' policy area	7.66	6.93	90.57 %
<b>Total Title 26</b>			<b>7.66</b>	<b>6.93</b>	<b>90.57 %</b>
<b>Total DG EPSO</b>			<b>7.66</b>	<b>6.93</b>	<b>90.57 %</b>

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

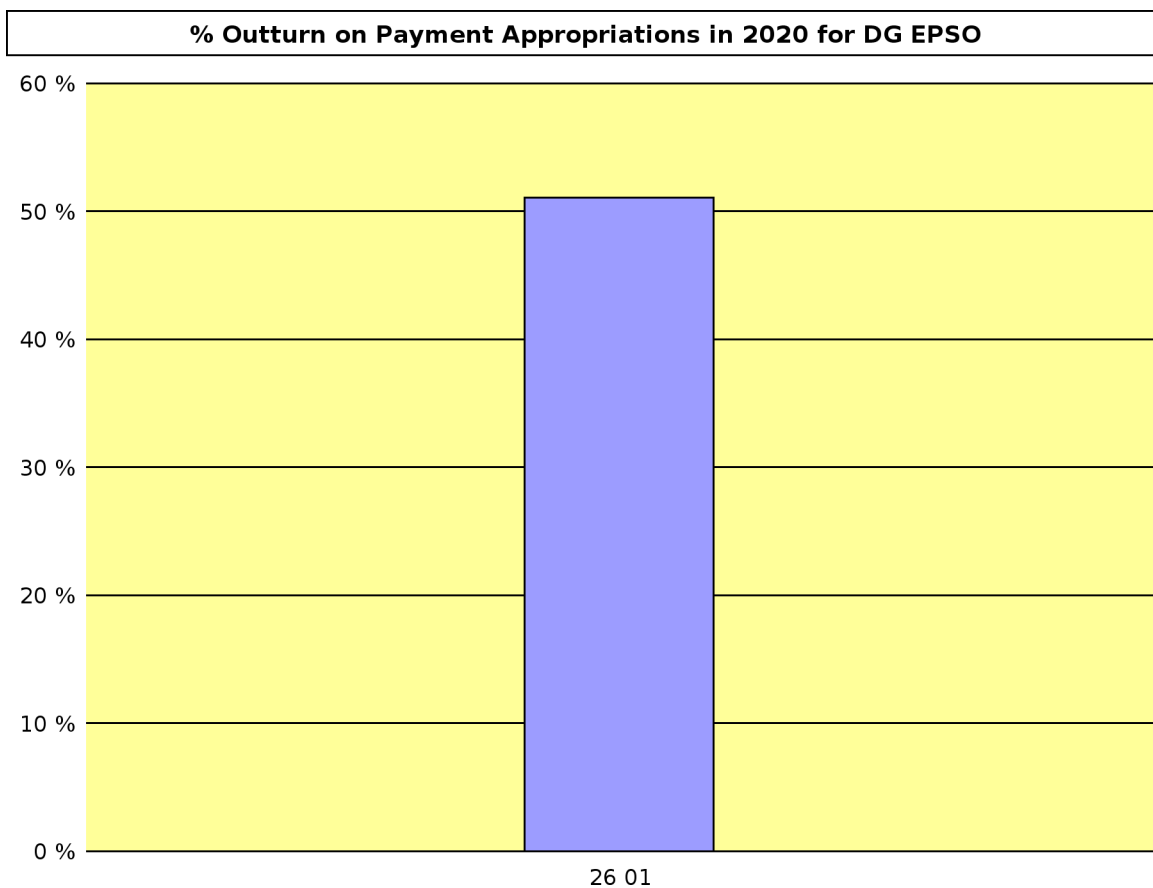


Note : The figures are those related to the provisional accounts and not yet audited by the Court of Auditors

Refresh date : 19/03/2021

TABLE 2: OUTTURN ON PAYMENT APPROPRIATIONS in 2020 (in Mio €) for DG EPSO					
			Payment appropriations authorised *	Payments made	%
			1	2	3=2/1
Title 26 Commission's administration					
26	26 01	Administrative expenditure of the 'Commission's administration' policy area	13.56*	6.93	51.07 %
<b>Total Title 26</b>			<b>13.56*</b>	<b>6.93</b>	<b>51.07%</b>
<b>Total DG EPSO</b>			<b>13.56*</b>	<b>6.93</b>	<b>51.07 %</b>

\* 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).



\*Notes :

- Due to a technical error, the total amount of payment appropriations indicated in Table 2 is 13,56 Mio €.. **Please note that the correct amount is 16,25 Mio €.**
- The figures are those related to the provisional accounts and not yet audited by the Court of Auditors *Refresh date : 19/03/2021*

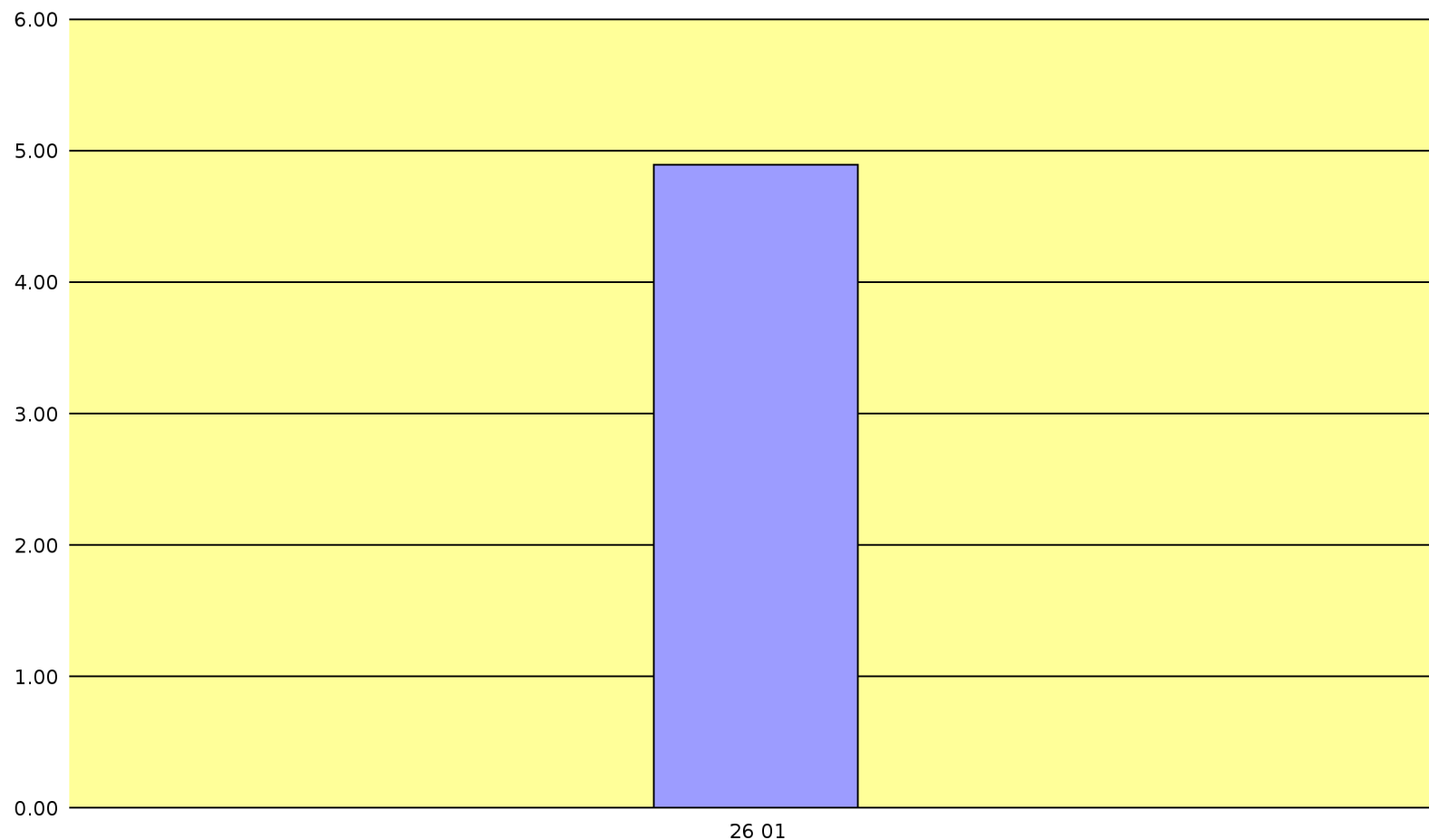
TABLE 3 : BREAKDOWN OF COMMITMENTS TO BE SETTLED AT 31/12/2020 (in Mio €) for DG EPSO									
Chapter			Commitments to be settled				Commitments to be settled from financial years previous to 2019	Total of commitments to be settled at end of financial year 2020	Total of commitments to be settled at end of financial year 2019
			Commitments	Payments	RAL	% to be settled			
			1	2	3=1-2	4=1-2/1	5	6=3+5	7
26	26 01	Administrative expenditure of the 'Commission's administration' policy area	6.93	2.04	4.89	70.54%	0.00	4.89	5.91
<b>Total Title 26</b>			<b>6.93</b>	<b>2.04</b>	<b>4.89</b>	<b>70.54%</b>	<b>0.00</b>	<b>4.89</b>	<b>5.91</b>
<b>Total for DG EPSO</b>			<b>6.93</b>	<b>2.04</b>	<b>4.89</b>	<b>70.54 %</b>	<b>0</b>	<b>4.89</b>	<b>5.91</b>

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

Refresh date : 19/03/2021



**Breakdown of Commitments Remaining to be Settled (in Mio EUR) in 2020 EPSO**



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

Refresh date : 19/03/2021

**TABLE 4 : BALANCE SHEET for DG EPSO**

<b>BALANCE SHEET</b>	<b>2020</b>	<b>2019</b>
<b>A.I. NON CURRENT ASSETS</b>	0	0
A.I.1. Intangible Assets	0.00	0.00
<b>A.II. CURRENT ASSETS</b>	17,015	52,410
A.II.3. Curr Exch Receiv & Non-Ex Recoverables	17,015.00	52,410.00
<b>ASSETS</b>	<b>17,015</b>	<b>52,410</b>
<b>P.II. CURRENT LIABILITIES</b>	0	9,916.23
1. Current Payables	0.00	9,916.23
2. Current Accrued Charges & Defrd Income	0.00	0.00
<b>LIABILITIES</b>	<b>0</b>	<b>9,916.23</b>
<b>NET ASSETS (ASSETS less LIABILITIES)</b>	<b>17,015</b>	<b>62,326.23</b>
P.III.2. Accumulated Surplus/Deficit	58,023,600.71	49,376,617.29
Non-allocated central (surplus)/deficit*	-58,040,615.71	-49,438,943.52
<b>TOTAL DG EPSO</b>	<b>0.00</b>	<b>0.00</b>

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

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

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

Refresh date : 19/03/2021

**TABLE 5 : STATEMENT OF FINANCIAL PERFORMANCE for DG EPSO**

<b>STATEMENT OF FINANCIAL PERFORMANCE</b>	<b>2020</b>	<b>2019</b>
II.1 REVENUES	-576,398.49	-536,065.33
II.1.2. EXCHANGE REVENUES	-576,398.49	-536,065.33
II.1.2.2. OTHER EXCHANGE REVENUE	-576,398.49	-536,065.33
II.2. EXPENSES	6,826,423.13	9,183,048.75
II.2. EXPENSES	6,826,423.13	9,183,048.75
II.2.10. OTHER EXPENSES	6,826,423.13	9,183,048.75
<b>STATEMENT OF FINANCIAL PERFORMANCE</b>	<b>6,250,024.64</b>	<b>8,646,983.42</b>

The accounting situation presented in the Balance Sheet and Statement of Financial Performance does not include the accruals and deferrals calculated centrally by the services of the Accounting Officer.

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

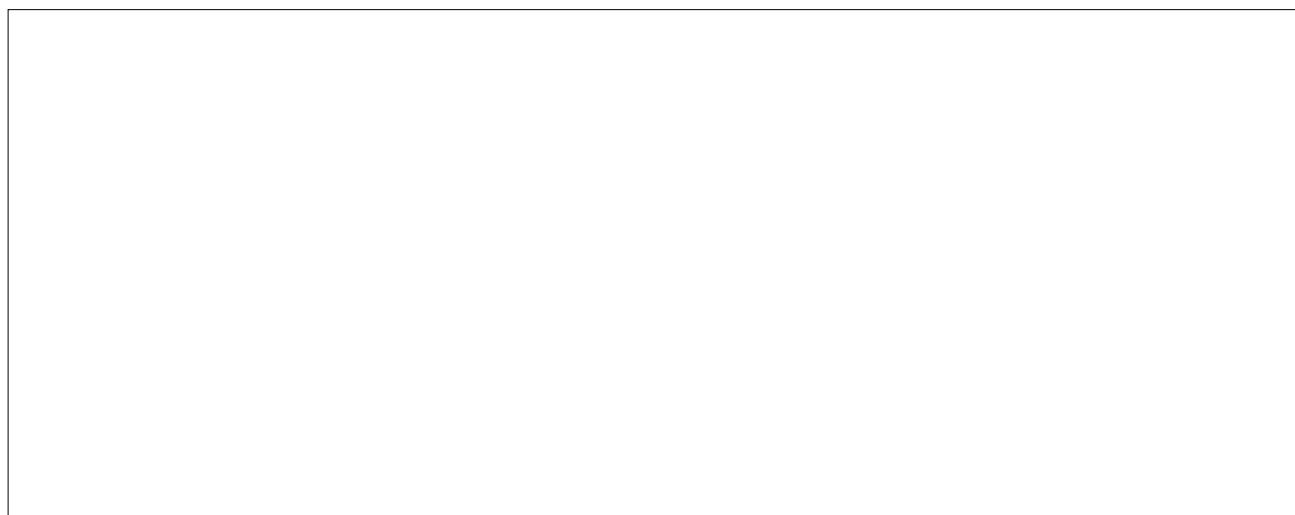
Additionally, the figures included in tables 4 and 5 are provisional since they are, at this date, still subject to audit by the Court of Auditors. It is thus possible that amounts included in these tables may have to be adjusted following this audit.

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

*Refresh date : 19/03/2021*

**TABLE 5bis : OFF BALANCE SHEET for DG EPSO**

<b>OFF BALANCE</b>	<b>2020</b>	<b>2019</b>
OB.4. Balancing Accounts	0	0
OB.4. Balancing Accounts	0.00	0.00
<b>OFF BALANCE</b>	<b>0.00</b>	<b>0.00</b>



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

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

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

Refresh date : 19/03/2021

**TABLE 6: AVERAGE PAYMENT TIMES in 2020 for EPSO**

Legal Times						
Maximum Payment Time (Days)	Total Number of Payments	Nbr of Payments within Time Limit	Percentage	Average Payment Times (Days)	Late Payments Amount	Percentage
30	666	666	100.00 %	11.12	0	0 %
60	9	9	100.00 %	8.44	0	0 %
120	23	23	100.00 %	8.35	0	0 %

Total Number of Payments	698	698	100.00 %		0	0 %
Average Net Payment Time	11			11		
Average Gross Payment Time	11.34			11.34		

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
0	20	12	1.72 %	698	25,903.88	0.37 %	6,926,506.90

DG	GL Account	Description	Amount (Eur)

NB: Table 6 only contains payments relevant for the time statistics. Please consult its exact scope in the AAR Annex3 BO User Guide ( [https://myintracomm.ec.europa.eu/budgweb/EN/abac/dwh/Pages/its-030-10-20\\_documentation.aspx](https://myintracomm.ec.europa.eu/budgweb/EN/abac/dwh/Pages/its-030-10-20_documentation.aspx) ).

Note : The figures are those related to the provisional

accounts and not yet audited by the Court of Auditors

Refresh date : 19/03/2021

**TABLE 7 : SITUATION ON REVENUE AND INCOME in 2020 for DG EPSO**

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	
55	REVENUE FROM THE PROCEEDS OF SERVICES SUPPLIED AND WORK CARRIED OUT	685,358.49	52,410.00	737,768.49	668,343.49	52,410.00	720,753.49	17,015.00
57	OTHER CONTRIBUTIONS AND REFUNDS IN CONNECTION WITH THE ADMINISTRATIVE OPERATION OF THE INSTITUTION	1,040.00	0.00	1,040.00	1,040.00	0.00	1,040.00	0.00
<b>Total DG EPSO</b>		<b>686,398.49</b>	<b>52,410</b>	<b>738,808.49</b>	<b>669,383.49</b>	<b>52,410</b>	<b>721,793.49</b>	<b>17,015</b>

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

Refresh date : 19/03/2021

**TABLE 8 : RECOVERY OF PAYMENTS in 2020 for DG EPSO**

Year of Origin (commitment)	Total undue payments recovered		Total transactions in recovery context (incl. non-qualified)		% Qualified/Total RC	
	Nbr	RO Amount	Nbr	RO Amount	Nbr	RO Amount
<b>2019</b>			1	6,787.2		
<b>No Link</b>			29	75,225.6		
<b>Sub-Total</b>			<b>30</b>	<b>82,012.8</b>		

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										
NON ELIGIBLE IN COST CLAIMS										
CREDIT NOTES	5	24,577.66			5	24,577.66	10	60,227.36	50.00%	40.81%
<b>Sub-Total</b>	<b>5</b>	<b>24,577.66</b>			<b>5</b>	<b>24,577.66</b>	<b>10</b>	<b>60,227.36</b>	<b>50.00%</b>	<b>40.81%</b>
<b>GRAND TOTAL</b>	<b>5</b>	<b>24,577.66</b>			<b>5</b>	<b>24,577.66</b>	<b>40</b>	<b>142,240.16</b>	<b>12.50%</b>	<b>17.28%</b>

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

Refresh date : 19/03/2021

**TABLE 9: AGEING BALANCE OF RECOVERY ORDERS AT 12/31/2020 for DG EPSO**

	Number at 1/1/2020 1	Number at 12/31/2020	Evolution	Open Amount (Eur) at 1/1/2020 1	Open Amount (Eur) at 12/31/2020	Evolution
2019	10		-100.00 %	52,410.00		-100.00 %
2020		4			17,015.00	
	<b>10</b>	<b>4</b>	<b>-60.00 %</b>	<b>52,410.00</b>	<b>17,015.00</b>	<b>-67.53 %</b>

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

Refresh date : 19/03/2021



**TABLE 10 :Recovery Order Waivers >= 60 000 € in 2020 for DG EPSO**

	Waiver Central Key	Linked RO Central Key	RO Accepted Amount (Eur)	LE Account Group	Commission Decision	Comments
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<b>Total DG EPSO</b>	
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<b>Number of RO waivers</b>	
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Note : The figures are those related to the provisional accounts and not yet audited by the Court of Auditors

Refresh date : 19/03/2021

**TABLE 11 : Negotiated Procedures in 2020 for DG EPSO**

<b>Negotiated Procedure Legal base</b>	<b>Number of Procedures</b>	<b>Amount (€)</b>
<b>Total</b>		

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

Refresh date : 19/03/2021

**TABLE 12 : Summary of Procedures in 2020 for DG EPSO**

**Internal Procedures > € 60,000**

<b>Procedure Legal base</b>	<b>Number of Procedures</b>	<b>Amount (€)</b>
Open procedure (FR 164 (1)(a))	1	372,000.00
<b>Total</b>	<b>1</b>	<b>372,000.00</b>

**Additional Comments:**

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

Refresh date : 19/03/2021

**TABLE 13 : BUILDING CONTRACTS in 2020 for DG EPSO**

Legal Base	Procedure subject	Contract Number	Contractor Name	Contract Subject	Contracted Amount (€)

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

Refresh date : 19/03/2021

**TABLE 14 : CONTRACTS DECLARED SECRET in 2020 for DG EPSO**

<b>Legal Base</b>	<b>LC Date</b>	<b>Contract Number</b>	<b>Contract Subject</b>	<b>Contracted Amount (€)</b>

Note : The figures are those related to the provisional

accounts and not yet audited by the Court of Auditors

Refresh date : 19/03/2021

**TABLE 15 : FPA duration exceeds 4 years -**

*None of your FPA (if any) exceeds 4 years*

**TABLE 16 : Commitments co-delegation type 3 in 2020 for DG EPSO**

<b>ANNEX 3: EPSO COMMITMENTS MADE IN 2020 WITH RESPECT TO THE CO-DELEGATIONS TYPE III</b>	
	<b>Commitments made</b>
<b>Total</b>	<b>6,934,496.88</b>
<b>Of which Co-deleg Type III per giving DG</b>	<b>8,300</b>
<i>HR</i>	8,300

Note : The figures are those related to the provisional

accounts and not yet audited by the Court of Auditors  
19/03/2021

Refresh date :

## ANNEX 4: Financial Scorecard

### EPSO

The Annex 4 of each Commission service summarises the annual result of the standard financial indicators measurement. Annexed to the Annual Activity Report 2020, 6 standard financial indicators are presented below, each with its objective, category, definition, and result for the Commission service and for the EC as a whole (for benchmarking purposes)<sup>11</sup>:


- Commitment Appropriations (CA) Implementation
- CA Forecast Implementation
- Payment Appropriations (PA) Implementation
- PA Forecast Implementation
- Global Commitment Absorption
- Timely Payments


For each indicator, its value (in %) for the Commission service is compared to the common target (in %). The difference between the indicator's value and the target is colour coded as follows:


- 100 – >95% of the target: dark green
- 95 – >90% of the target: light green
- 90 – >85% of the target: yellow
- 85 – >80% of the target: light red
- 80 – 0% of the target: dark red

The Commission services are invited to provide commentary behind each indicator's result in the dedicated boxes below as this can help the reader to understand the Commission's service context. In cases when the indicator's value achieves 80% or less of the target, the comment becomes mandatory.




<b>Indicator</b>	<b>CA Implementation</b>
<b>Category</b>	Efficiency Controls / Budget
<b>Objective</b>	Ensure efficient use of commitment appropriations
<b>Result</b>	<p>DG EPSO achieved <b>100%</b> compared to the EC result of <b>99%</b></p> 
<b>Comment</b>	
<b>Definition</b>	<p><b>Formula:</b> Value A / Value B</p> <ul style="list-style-type: none"> <li>- Value A: Committed L1 Accepted Amount + Direct Committed L2 Accepted Amount (Eur)</li> <li>- Value B: Credit Accepted Com Amount (Eur)</li> </ul> <p><b>Scope:</b></p> <p>Commitments on all relevant Fund Sources, except for:</p> <ul style="list-style-type: none"> <li>- Internal assigned revenue in first year (C4)</li> <li>- Internal assigned revenue from lettings and sale of buildings and lands (CL)</li> <li>- Repaid advances (structural funds) (C6)</li> <li>- External assigned revenue except for EFTA (FCA ,FRT, PO, RO, TCA, TF5, TFC)</li> </ul>

<b>Indicator</b>	<b><u>PA Implementation</u></b>
<b>Category</b>	Efficiency Controls / Budget
<b>Objective</b>	Ensure efficient use of payment appropriations
<b>Result</b>	<p>EPSO achieved <b>83%</b> compared to the EC result of <b>99%</b></p> 
<b>Comment</b>	<p>Following the Covid-19 Pandemic, EPSO could not run several of the planned competitions and selection procedures. For this reason, we had fewer payments than expected at the beginning of the year 2020.</p>
<b>Definition</b>	<p><b>Formula:</b> Value A / Value B</p> <ul style="list-style-type: none"> <li>- Value A: Payment Accepted Amount (Eur)</li> <li>- Value B: Credit Accepted Pay Amount (Eur)</li> </ul> <p><b>Scope:</b></p> <p>Payments on all relevant Fund Sources, except for:</p> <ul style="list-style-type: none"> <li>- Internal assigned revenue in first year (C4)</li> <li>- Internal assigned revenue from lettings and sale of buildings and lands (CL)</li> <li>- Repaid advances (structural funds) (C6)</li> <li>- External assigned revenue except for EFTA (FCA ,FRT, PO, RO, TCA, TF5, TFC)</li> <li>- Payments stemming from C1, C5, E0 outstanding commitments on the non-staff budget positions that will be carried-forward as C8 to the next financial year</li> </ul>

<b>Indicator</b>	<b><u>CA Forecast Implementation</u></b>
<b>Category</b>	Efficiency Controls / Budget
<b>Objective</b>	Ensure the cumulative alignment of the commitment implementation with the commitment forecast in a financial year
<b>Result</b>	<p>DG EPSO achieved <b>96%</b> compared to the EC result of <b>98%</b></p>  <p>0%                      20%                      40%                      60%                      80%                      100%</p> <p>EC (98%) 96%</p>
<b>Comment</b>	Following the Covid-19 Pandemic, EPSO could not run several of the planned competitions and selection procedures. For this reason, we had fewer payments than expected at the beginning of the year 2020.
<b>Definition</b>	<p><b>Formula:</b> <i>Value A / Value B</i>**,**</p> <ul style="list-style-type: none"> <li>- Value A: <i>Committed L1 Accepted Amount + Direct Committed L2 Accepted Amount (Eur)</i></li> <li>- Value B: <i>Commitment Forecast Amount (Eur)</i></li> </ul> <p><i>**if Value A / Value B between 100 and 200% then the result indicator will be equal to 1 - (ABS(Value B - Value A) / Value B)</i></p> <p><i>**if Value A / Value B &gt; 200 % then the result indicator will be equal to 0%</i></p> <p><b>Scope:</b></p> <ul style="list-style-type: none"> <li>- <i>Commitments on all relevant Fund Sources</i></li> <li>- <i>Commitment Forecast Amount (Eur) from the most up to date forecast version (Initial Mar-Aug, Revised Sep-Dec)</i></li> </ul>

<b>Indicator</b>	<b>PA Forecast Implementation</b>
<b>Category</b>	Efficiency Controls / Budget
<b>Objective</b>	Ensure the cumulative alignment of the payment implementation with the payment forecast in a financial year
<b>Result</b>	<p>EPSO achieved <b>76%</b> compared to the EC result of <b>99%</b></p> <p>0%      20%      40%      60%      80%      100%</p> <p>76%      EC (99%)</p>
<b>Comment</b>	Following the Covid-19 Pandemic, EPSO could not run several of the planned competitions and selection procedures. For this reason, we had fewer payments than expected at the beginning of the year 2020.
<b>Definition</b>	<p><b>Formula:</b> <math>Value A / Value B^{**}</math></p> <ul style="list-style-type: none"> <li>- Value A: Payment Accepted Amount (Eur)</li> <li>- Value B: Payment Forecast Amount (Eur)</li> </ul> <p><i>*if Value A / Value B between 100 and 200% then the result indicator will be equal to <math>1 - (ABS(Value B - Value A) / Value B)</math></i></p> <p><i>**if Value A / Value B &gt; 200 % then the result indicator will be equal to 0%</i></p> <p><b>Scope:</b></p> <ul style="list-style-type: none"> <li>- Payments on all relevant Fund Sources</li> <li>- Payment Forecast Amount (Eur) from the most up to date forecast version (Initial Mar-Aug, Revised Sep-Dec)</li> </ul>

<p><b>Indicator</b></p>	<p><b><u>Global Commitment Absorption</u></b></p>
<p><b>Objective</b></p>	<p>Ensure efficient use of already earmarked commitment appropriations (at L1 level)</p>
<p><b>Result</b></p>	<p>EPSO achieved compared to the EC result of <b>98%</b></p> 
<p><b>Comment</b></p>	<p>The indicator is not applicable to EPSO in 2020 due to the lack of underlying transactions recorded by EPSO in 2020.</p>
<p><b>Definition</b></p>	<p><b>Formula:</b> <math>Value A / Value B^{**}</math></p> <ul style="list-style-type: none"> <li>- Value A: Payment Accepted Amount (Eur)</li> <li>- Value B: Payment Forecast Amount (Eur)</li> </ul> <p><i>*if Value A / Value B between 100 and 200% then the result indicator will be equal to <math>1 - (ABS(Value B - Value A) / Value B)</math></i></p> <p><i>**if Value A / Value B &gt; 200 % then the result indicator will be equal to 0%</i></p> <p><b>Scope:</b></p> <ul style="list-style-type: none"> <li>- Payments on all relevant Fund Sources</li> <li>- Payment Forecast Amount (Eur) from the most up to date forecast version (Initial Mar-Aug, Revised Sep-Dec)</li> </ul>

<b>Indicator</b>	<b><u>Timely Payments</u></b>
<b>Category</b>	Efficiency Controls / Timeliness
<b>Objective</b>	Ensure efficient processing of payments within the legal deadlines
<b>Result</b>	<p>EPSO achieved <b>100%</b> compared to the EC result of <b>99%</b></p> <p>0%                      20%                      40%                      60%                      80%                      100%</p> <p>EC (99%) 100%</p>
<b>Comment</b>	<p>EPSO adopted a generic efficiency indicator related to the time taken to pay suppliers and other beneficiaries (see annex 4). The average time taken to process a payment, at 11 days, marks an improvement of 3 days with respect to 2019.</p> <p>The new indicator that places emphasis on the amount paid on time, as opposed to the number of payments, paints a better picture. EPSO paid 100% of the total amount on time – which is the outcome of the strong dedication and commitment of all colleagues working in the EPSO Finance team.</p>
<b>Definition</b>	<p><b>Formula:</b> <i>Value A / Value B</i></p> <ul style="list-style-type: none"> <li>- <i>Value A: Payment Accepted Amount (Eur) in time</i> <ul style="list-style-type: none"> <li>o <i>In Time: Payment Bank Value Date &lt; = Payment legal deadline</i></li> </ul> </li> <li>- <i>Value B: Payment Accepted Amount (Eur)</i></li> </ul> <p><b>Scope:</b></p> <ul style="list-style-type: none"> <li>- <i>Payments made in the current year</i></li> <li>- <i>Payments valid for payment statistics (DWH Flag "Payment Time Status OK?" = "Y")</i></li> </ul>

## **ANNEX 5: Materiality criteria**

The qualitative criteria used by EPSO to establish that there are no specific issues and shortfalls in the management and control systems which give rise to reservations take into account the nature of our activities, the risk environment and the expectations of all of our stakeholders. They concern events which could:

- Seriously compromise the image or reputation of the Institutions;
- Relate to serious shortfalls in the internal control system of the Office;
- Concern critical recommendations of the Court of Auditors or the Internal Audit Service.
- Relate to issues possibly entailing reputational damages for the European Institutions.

In accordance with the guidelines in the Communication to the Commission COM (2003)28 of 21 January 2003 and the accounting modernisation project, the Office considered the quantitative materiality criterion to be below a threshold of 2% of the budget allocated to the ABB activity concerned.

Since 2019<sup>7</sup>, a 'de minimis' threshold for financial reservations has been 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 below EUR 5 million. In such cases, quantified reservations are no longer needed.

In the analysis leading to the decision whether to issue reservations or not, both the agreed quantitative and qualitative criteria were used.

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<sup>7</sup> Agreement of the Corporate Management Board of 30/4/2019.

## ANNEX 6: Relevant Control System(s) for budget implementation (RCSs)

### Procurements

#### Stage 1 – Procurement

##### A - Planning

**Main control objectives:** Ensuring that the decision to tender is optimal

Main risks <i>It may happen (again) that...</i>	Mitigating controls	Coverage, frequency and depth of controls*	Cost effectiveness indicators
The needs are not well defined (operationally and economically) and that the decision to procure was inappropriate	Publication of intended procurements / Work program	<b>Coverage:</b> Procurement >€60,000 <b>Depth*:</b> Level 2 <b>Frequency:</b> Forward planning reviewed / updated at least twice a year	<b>Effectiveness:</b> Annual forward planning for procurement processes <ul style="list-style-type: none"> <li>- Project plan of procurement project incl. defined milestones</li> <li>- Total contract value / cost of control on procurement</li> </ul>
	Note to AO(S)D on justification (economic , operation) for launching a procurement process Orientation note	<b>Coverage:</b> 100% <b>Depth*:</b> Level 2 <b>Frequency:</b> For each procurement process	<b>Efficiency:</b> <ul style="list-style-type: none"> <li>- Cost of control on procurement / number of exceptions / number of procedures without successful award of contract / number of procedures closed during the year</li> </ul> <b>Economy:</b> <ul style="list-style-type: none"> <li>- Number of FTEs dealing with monitoring and control of</li> </ul>
Discontinuation of the services provided due			



Main risks <i>It may happen (again) that...</i>	Mitigating controls	Coverage, frequency and depth of controls*	Cost effectiveness indicators
to a late contracting	Point discussed during management meeting	<b>Coverage:</b> Main ones <b>Depth*:</b> Level 2 <b>Frequency:</b> When need arises	procurement processes. Synergies gained through SLA covering procurement with DG HR.

**NB: for all controls, information in particular financial information related to inputs / outputs and follow-up should be collected**

**\*Depth: (definition of levels)**

1. Minimal administrative / arithmetic control with no reference to supporting documents reference to underlying documents.
2. Control with reference to corroborative information incorporating an element of independent oversight (e.g. audit certificate or other verification), but no reference to underlying documents.
3. Control with reference to fully independent corroborative information (e.g. database which justifies certain elements of the claim, 3rd party or Commission assessment of milestones achieved, etc.)
4. Control with reference to and including access to the underlying documentation available at the stage of the process in question, for all inputs and outputs (e.g. timesheets, invoices, physical verification, etc.); i.e. control of the same intensity of transaction testing as those carried out by the ECA as part of the DAS

**B - Needs assessment & definition of needs**

**Main control objectives:** Ensuring that the call for tender is optimally done

Main risks <i>It may happen (again) that...</i>	Mitigating controls	Coverage, frequency and depth of controls*	Cost effectiveness indicators
The best offer/s are not submitted due to the poor definition of the specifications	Financial circuit: AOS approval and supervision of specifications	<b>Coverage:</b> 100% <b>Depth*:</b> Level 3 <b>Frequency:</b> for each procurement process	<b>Effectiveness:</b> <ul style="list-style-type: none"> <li>- Total contract value / cost of control on procurement.</li> <li>- number of bidders / procurement process.</li> </ul>
	Additional unit supervision above a financial threshold: procurement >€60,000 Or use of a consultative/advisory committee "CCAM/PPAG"	<b>Coverage:</b> Those replying to criteria: procedure >€60,000 <b>Depth*:</b> Level 4 <b>Frequency:</b> for each procurement process	<b>Efficiency:</b> <ul style="list-style-type: none"> <li>- Cost of control on procurement / number of procedures closed during the year</li> <li>- number of questions received by HR.R1 on specifications in ongoing processes</li> <li>- number of negative opinions given by GAMA</li> </ul> <b>Economy:</b> <ul style="list-style-type: none"> <li>- number of FTEs dealing with monitoring and control of procurement processes</li> <li>- synergy gains through SLA covering procurement with DG HR</li> </ul>

**NB: for all controls, information in particular financial information related to inputs / outputs and follow-up should be collected**

**\*Depth: (definition of levels)**

1. Minimal administrative / arithmetic control with no reference to supporting documents reference to underlying documents.
2. Control with reference to corroborative information incorporating an element of independent oversight (e.g. audit certificate or other verification), but no reference to underlying documents.

3. Control with reference to fully independent corroborative information (e.g. database which justifies certain elements of the claim, 3rd party or Commission assessment of milestones achieved, etc.)
4. Control with reference to and including access to the underlying documentation available at the stage of the process in question, for all inputs and outputs (e.g. timesheets, invoices, physical verification, etc.); i.e. control of the same intensity of transaction testing as those carried out by the ECA as part of the DAS

### C – Selection of the offer & evaluation

**Main control objectives:** Ensuring that the selection of the contractor is optimal

<b>Main risks It may happen (again) that...</b>	<b>Mitigating controls</b> (those in <b>bold</b> are strongly recommended)	<b>Coverage frequency and depth of controls*</b>	<b>Cost effectiveness indicators</b>
The most promising offer not being selected, due to a biased, inaccurate or 'unfair' evaluation process	Opening committee and Evaluation committee	<b>Coverage:</b> 100% <b>Depth*:</b> Level 4 <b>Frequency:</b> for each procurement process	<b>Effectiveness:</b> - Total contract value / cost of control on procurement.
	Consultative committee "CCAM/PPAG" (GAMA)	<b>Coverage:</b> Risk based sampling <b>Depth*:</b> Level 4 <b>Frequency:</b> random	<b>Efficiency:</b> - Cost of control on procurement / number of procedures closed during the year / - number of negative opinions by GAMA
	Conflict of interests / compulsory note for each member of committee	<b>Coverage:</b> 100% <b>Depth*:</b> Level 4 <b>Frequency:</b> for each procurement process	<b>Economy:</b> - number of FTEs dealing with monitoring and control of procurement processes - synergies gained through SLA covering procurement with DG HR
	Exclusion criteria documented	<b>Coverage:</b> 100% <b>Depth*:</b> Level 4 <b>Frequency:</b> for each procurement process	
	Standstill period	<b>Coverage:</b> 100% <b>Depth*:</b> N/A <b>Frequency:</b> for each procurement process	

**NB: for all controls, information in particular financial information related to inputs / outputs and follow-up should be collected**

#### **\*Depth: (definition of levels)**

1. Minimal administrative / arithmetic control with no reference to supporting documents reference to underlying documents.

2. Control with reference to corroborative information incorporating an element of independent oversight (e.g. audit certificate or other verification), but no reference to underlying documents.
3. Control with reference to fully independent corroborative information (e.g. database which justifies certain elements of the claim, 3rd party or Commission assessment of milestones achieved, etc.)
4. Control with reference to and including access to the underlying documentation available at the stage of the process in question, for all inputs and outputs (e.g. timesheets, invoices, physical verification, etc.); i.e. control of the same intensity of transaction testing as those carried out by the ECA as part of the DAS

## Stage 2 – Financial transactions

**Main control objectives:** Ensuring that the implementation of the **contract** is in compliance with the signed contract

Main risks <i>It may happen (again) that...</i>	Mitigating controls	Coverage, frequency and depth of controls*	Cost effectiveness indicators
Contractor does not comply with the contractual provisions	<ul style="list-style-type: none"> <li>- Monitoring respect of contractual provisions.</li> <li>- ex ante verification</li> </ul>	<p><b>Coverage:</b> 100%</p> <p><b>Depth*:</b> Level 4</p> <p><b>Frequency:</b> constant</p>	<p><b>Effectiveness:</b></p> <ul style="list-style-type: none"> <li>- Detect error before payment, sound financial management and respect of contractual provisions</li> <li>- number a/o amount of credit notes / by number a/o amount of total payments</li> <li>- Exceptions &amp; NCE / total number of payments</li> </ul>
Amount paid is disconnected from the quality and the timing of the deliverables	Financial circuit: all steps financial and operational	<p><b>Coverage:</b> 100%</p> <p><b>Depth*:</b> Level 4</p> <p><b>Frequency:</b> constant</p>	<p><b>Efficiency:</b></p> <ul style="list-style-type: none"> <li>- Cost of control on the financial circuit / value of payment executed during the year</li> <li>- value of payments per year / FTEs</li> </ul>
Business discontinues. Contractor unable to deliver.	Signature at higher hierarchical level for higher amounts	<p><b>Coverage:</b> Those replying to criteria</p> <p><b>Depth*:</b> Level 2</p> <p><b>Frequency:</b> when required</p>	<p><b>Economy:</b></p> <ul style="list-style-type: none"> <li>- simplified financial circuits (exceptions for very low value payments (reimbursement to candidates) / total value of transactions.</li> </ul>
	Business continuity plan	<p><b>Coverage:</b> 100%</p> <p><b>Depth*:</b> 3</p> <p><b>Frequency:</b> when required</p>	

**NB: for all controls, information in particular financial information related to inputs / outputs and follow-up should be collected**

**\*Depth: (definition of levels)**

1. Minimal administrative / arithmetic control with no reference to supporting documents reference to underlying documents.
2. Control with reference to corroborative information incorporating an element of independent oversight (e.g. audit certificate or other verification), but no reference to underlying documents.
3. Control with reference to fully independent corroborative information (e.g. database which justifies certain elements of the claim, 3rd party or Commission assessment of milestones achieved, etc.)
4. Control with reference to and including access to the underlying documentation available at the stage of the process in question, for all inputs and outputs (e.g. timesheets, invoices, physical verification, etc.); i.e. control of the same intensity of transaction testing as those carried out by the ECA as part of the DAS

### Stage 3 – Supervisory measures

**Main control objectives:** Ensuring that any weakness in the procedures (tender and financial transactions) is corrected

<b>Main risks</b> <i>It may happen (again) that...</i>	<b>Mitigating controls</b> (those in <b>bold</b> are strongly recommended)	<b>Coverage, frequency and depth of controls*</b>	<b>Cost effectiveness indicators</b>
An error or non-compliance with specifications or a fraud is not detected	<b>Ex post controls on procedures / contractors</b>	<b>Coverage:</b> Risk based percentage plus ex post controls <b>Depth*:</b> Level 4 <b>Frequency:</b> 3 times per year	<b>Effectiveness:</b> - Ex post control result / error found
	Whistle blowing (after yearly reporting of awarded contractors notably)	<b>Coverage:</b> potentially 100% <b>Depth*:</b> N/A <b>Frequency:</b> random	
Management of the procurement is not improved in general	Internal Audit Service	<b>Coverage:</b> Whole process but limited number of tenders <b>Depth*:</b> Level 2 <b>Frequency:</b> random	<b>Efficiency:</b> - Total value checked by Control ex post / costs ex post controls
	Review of ex post results	<b>Coverage:</b> Whole process but limited number of tenders <b>Depth*:</b> Level 2 <b>Frequency:</b> once a year	



<b>Main risks</b> <i>It may happen (again) that...</i>	<b>Mitigating controls</b> (those in <b>bold</b> are strongly recommended)	<b>Coverage, frequency and depth of controls*</b>	<b>Cost effectiveness indicators</b>
	Review of exception reporting	<b>Coverage:</b> Whole process but limited number of tenders <b>Depth*:</b> Level 2 <b>Frequency:</b> once a year	<b>Economy:</b> - Cost ex post controls / total number of transactions checked by Control ex post
	Review of the process after each procedure	<b>Coverage:</b> Procedure >€60,000 <b>Depth*:</b> Level 2 <b>Frequency:</b> after each procedure	

**NB: for all controls, information in particular financial information related to inputs / outputs and follow-up should be collected**

## ANNEX 7: Specific annexes related to "Financial Management"

- **Ex-post controls**

**Objective:** The authorising officer by delegation has reasonable assurance that resources have been used in accordance with the principles of sound financial management, and that cost-effective controls are in place which give the necessary guarantees concerning the legality and regularity of underlying transactions.

**Indicator 1: Estimated risk at closure**

**Source of data:** ABAC, ex-post controls, audit reports

Baseline (2019)	Target (2024)	Latest known results (2020)
0.5%	< 2% of relevant expenditure	

**Main outputs in 2020**

Output	Indicator	Target	Latest known result
Effective controls: Legal and regular transactions	Estimated risk at closure.	Below 2 % of relevant expenditure.	0%
Effective controls: Risk at payment	Approximately 60 ex-post controls by HR.R.1 and EPSO management.	No financial transaction earmarked as "unacceptable".	No financial transaction earmarked as "unacceptable"
Efficient controls: Budget execution and / or time-to-pay	Respect of legal payment delays	95% of payments on time	100% of payments on time
Economic controls: Overall statement of cost of controls	Estimated cost of controls	Below 12% of relevant expenditure	12.3% of relevant expenditure

Control Coverage associated with Transactions:

Type of transaction	Number Ex post controls	€ Value associated with the sample	% of total € covered by the sample
Commitments	13	2.26M€*	31.66%
Payments	39	0.97M€	13.94%
Recovery orders	13	0.01M€	12.60%
<b>Total</b>	<b>65</b>	<b>3.24M€*</b>	<b>22.46%</b>

\* When carrying out controls on payments, the associated commitment is also checked. To avoid double accounting, the figures in the table do not include the commitment amounts associated with the payment checks.

Control Results associated with Transactions:

Type of transaction	Number Ex post controls	Transactions with comments	% of total value <u>Not</u> at risk of financial error
Commitments	13	0	0.00%
Payments	39	0	0.00%
Recovery orders	13	0	0.00%
<b>Total</b>	<b>65</b>	<b>0</b>	<b>0.00%*</b>

\* none of the 65 transactions had comments and could be therefore considered at risk of financial error.

- **Fraud prevention, detection and correction**

**Objective: The risk of fraud is minimised through the application of effective anti-fraud measures and the implementation of the Commission Anti-Fraud Strategy aimed at the prevention, detection and correction<sup>8</sup> of fraud.**

**Indicator 1: Implementation of the actions included in EPSO's anti-fraud strategy over the whole strategic plan lifecycle (2020-2024).**

**Source of data:** EPSO's annual activity report, EPSO's anti-fraud strategy, OLAF reporting

<b>Baseline</b> (2019)	<b>Target</b> (2024)	<b>Latest known results</b> (2020)
By end of 2019, EPSO's anti-fraud strategy was thoroughly updated with all actions defined and implemented.	100% of action points implemented.	All actions due in 2020 implemented.

**Indicator 2: Level of fraud awareness amongst all EPSO/EUSA staff.**

**Source of data:** EPSO's annual activity report, EPSO's anti-fraud strategy

<b>Baseline</b> (2019)	<b>Target</b> (2024)	<b>Latest known results</b> (2020)
By end of 2019, level of fraud awareness was 72% of all EPSO/EUSA staff <sup>9</sup> . The results of the 2020 online survey also showed a high level of fraud-awareness amongst the participants.	Level of fraud awareness amongst all EPSO/EUSA staff $\geq$ 95%.	Level of fraud awareness according to online survey (in January 2021): 97% of EPSO/EUSA staff

### Main outputs for 2020

<b>Output</b>	<b>Indicator</b>	<b>Target</b>	<b>Latest known result</b>
Updated EPSO Anti-fraud strategy communicated to all staff	<ul style="list-style-type: none"> <li>• Level general effectiveness weighted percentage of online survey on fraud awareness</li> <li>• Availability of Ethics information</li> </ul>	<ul style="list-style-type: none"> <li>• Online survey exercise to be organised on fraud awareness as part of the preparation of EPSO's 2020 Annual Activity Report (AAR).</li> <li>• General effectiveness weighted percentage of 80% or above</li> <li>• Ethics information</li> </ul>	<ul style="list-style-type: none"> <li>• 29 colleagues out of 33 (i.e. 88%) completed the survey in Jan-Feb 2021. Results showed high awareness among EPSO/EUSA staff (97%) of EPSO's anti-fraud strategy.</li> <li>• Ethics information package was made available to all staff.</li> </ul>

<sup>8</sup> Correction of fraud is an umbrella term, which notably refers to the recovery of amounts unduly spent and to administrative sanctions.

<sup>9</sup> As per EPSO Annual Activity Report 2019.

	package	package to be made available to all staff	
Identification and follow-up of fraud related issues in EPSO/EUSA	<ul style="list-style-type: none"> <li>• Identification of fraud related issues in weekly operational meetings</li> <li>• Identified fraud related issues are brought to the attention of weekly EPSO/EUSA Management meetings</li> </ul>	All fraud related issues identified on an operational level are brought to the attention of the Management team for decision	<ul style="list-style-type: none"> <li>• Target met. 2 cases which might involve fraudulent behavior were flagged and are being followed up by EPSO Legal Team in co-operation with OLAF.</li> </ul>

**Overview of the estimated cost of controls at Commission (EC) level<sup>10</sup> (for all activities leading to payment transactions):**

<b>Control System for Financial Transactions</b>								
<b>Ex ante controls</b>			<b>Ex post controls</b>			<b>Total</b>		
<b>EC total costs (in EUR)*</b>	<b>Related funds managed (in EUR)**</b>	<b>Ratio (%)**:</b> <i>Total ex ante control cost in EUR ÷ funds managed in EUR</i>	<b>EC total costs (in EUR)*</b>	<b>total value verified and/or audited (in EUR)</b>	<b>Ratio (%):</b> <i>Total ex post control cost in EUR ÷ total value verified and/or audited in EUR</i>	<b>EC total estimated cost of controls (in EUR)</b>	<b>Ratio (%)*:</b> <i>Total cost of controls ÷ funds managed</i>	
€751,840.00	€6,926,506.90	10.85%	€98,460.00	€3,240,000.00	3.04%	€850,300.00	€6,926,506.90	12.3%

\* related funds managed/concerned = payments made, revenues and/or other significant non-spending items such as e.g. assets, liabilities, etc

<sup>10</sup> EPSO is administratively attached to the European Commission.

**ANNEX 8: Specific annexes related to "Assessment of the effectiveness of the internal control systems" – not applicable**

## ANNEX 9: Reporting – Human resources, digital transformation and information management and sound environmental management

- **Human Resource management**

<b>Objective: EPSO/EUSA employs a competent and engaged workforce and contributes to gender equality at all levels of management to effectively deliver on the Commission's priorities and core business.</b>			
<b>Indicator 1: Number and percentage of first female appointments to middle management positions.</b>			
<b>Source of data: European Commission [data to be provided by SG / DG BUDG]</b>			
Baseline (2019) 3 (75%)	Target (2022) 1 first female appointment for middle management functions.	Latest known results (2020): 1 first female appointment In total: 4 females appointed to middle management functions in EPSO/EUSA	
<b>Indicator 2: EPSO staff engagement index</b>			
<b>Source of data: Commission staff survey [data to be provided by DG HR]</b>			
Baseline (2018) 73%	Target (2024) ≥ 75% (and above Commission average).	Latest known results (2020) 74% According to pulse surveys 13 and 14 carried out in 2020/21	
<b>Main outputs in 2020:</b>			
<b>Description</b>	<b>Indicator</b>	<b>Target</b>	<b>Latest known results</b>
Continuation of the implementation of EPSO Learning and Development Framework.	Registration in EU-learn	<ul style="list-style-type: none"> <li>• Ethics and integrity: 100% of colleagues to be trained.</li> <li>• Procurement: all colleagues who work with DG HR on procurement</li> </ul>	<ul style="list-style-type: none"> <li>• Due to Covid-19, only two colleagues could follow the training course</li> <li>• Due to Covid-19, no colleague could be trained. It is</li> </ul>



		<p>processes to be trained.</p> <ul style="list-style-type: none"> <li>• Internal control: all AD staff to be trained.</li> <li>• Risk management and fraud prevention: all AD staff to be trained.</li> </ul> <ul style="list-style-type: none"> <li>• All 2019 newcomer staff to complete the Foundation level of the EPSO Professionalization Programme by end 2020.</li> </ul> <ul style="list-style-type: none"> <li>• 3<sup>rd</sup> session of the EPSO Management Potential Programme.</li> </ul> <ul style="list-style-type: none"> <li>• Trainings on specific (internal) tools</li> </ul>	<p>envisaged to have the colleagues trained in 2021</p> <ul style="list-style-type: none"> <li>• Tailor-made training on Internal control and risk management organised on 2/12/2020 for the management team. <b>All</b> staff should be trained in 1<sup>st</sup> quarter 2021</li> <li>• Professionalization Programme had to be put on hold due to Covid-19. It is planned to reviewed in 2021 along with the local HR strategy</li> <li>• Management Potential Programme : 2 candidates selected</li> <li>• Tailor-made courses on CAST P, Wiki, Teams and Communication with candidates have been organised</li> <li>• Tailor-made training on data protection organised on 10/12/2020</li> </ul>
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<p>Organisation of trainings/workshops/ info-sessions notably on:</p> <ul style="list-style-type: none"> <li>• prevention of psycho-social risks at the workplace (separate trainings for managers and staff)</li> <li>• self defense</li> <li>• inclusion and diversity resilience</li> </ul>	Staff engagement index	Maintain staff engagement index above Commission average.	<ul style="list-style-type: none"> <li>• Prevention of psycho-social risks : Extended Management team trained on 9/12/2020</li> <li>• Self-defence : on hold due to Covid crisis</li> <li>• Info-sessions on inclusion/diversity and resilience to be organised remotely in 2021</li> </ul>
Promotion of coaching offer and career guidance.	Number of requests		Career guidance : No session organised in EPSO premises due to the Covid crisis. Staff can send their request directly to the AMC
Implementation of the Action Plan approved by the Director as follow-up of 2018 Staff survey.	Staff engagement index	<ul style="list-style-type: none"> <li>• Increase well-being at work and better balance work/private life</li> <li>• Encourage internal mobility</li> <li>• Increase participation in tailor-made training courses</li> <li>• Promote change and innovative thinking</li> </ul>	<ul style="list-style-type: none"> <li>• Creation of a well-being room in February/March 2020</li> <li>• Re-design the cafeteria</li> <li>• All vacancies published on EPSO intranet</li> </ul>

- **Digital Transformation and information management**

**Objective: EPSO is using innovative, trusted digital solutions for better policy-shaping, information management and administrative processes to forge a truly digitally transformed, user-focused and data-driven Commission.**

**Indicator 1: Degree of implementation of the digital strategy principles by the most important IT solutions<sup>11</sup>.**

**Source of data: EPSO**

Baseline (2019)	Interim milestone (2021)	Target (2024)	Latest known results (2020)
Talent legacy: 36%	45%	0%	36%
Recruiter portal: 41%	45%	100%	41%
Candidate portal: 36%	41%	100%	36%

**Indicator 2: Percentage of EPSO's key data assets for which corporate principles for data governance have been implemented.**

**Source of data: EPSO**

Baseline (2020)	Interim milestone (2022)	Target (2024)	Latest known results (2020)
30%	50%	100%	40%

**Indicator 3: Percentage of staff attending awareness raising activities on data protection compliance.**

**Source of data: EPSO/EUSA**

Baseline (2019)	Interim milestone (2022)	Target (2024)	Latest known results (2020)
10%	EPSO/EUSA Management (Director and Heads of Units) 100% Data stewards (one per unit) 100% EPSO staff 80%	EPSO/EUS A staff 100%	EPSO/EUSA Management (Director and Heads of Units) 100% Data stewards (one per unit) 50% EPSO staff 40%

**Main outputs in 2020:**

Description	Indicator	Target	Latest known results
New EPSO intranet	Quality and	Intranet is	The EPSO Intranet has been updated

<sup>11</sup> The European Commission Digital Strategy (C(2018)7118) calls on Commission services to digitally transform their business processes by developing new innovative digital solutions or make evolve the existing ones in line with the principles of the strategy. At the beginning of the year N+1, the Solution Owner and IT Investments Team will assess the progress made on the basis of the proposed modernisation plan. For each of the 3 solutions, a table will reflect – per principle - the progress achieved during the last year.

maintained and updated.	regularity of the information provided.	updated on a weekly basis or more often if required.	regularly, at least on a weekly basis, throughout 2020.
Registered documents are duly filed.	Number of registered documents that are not filed.	≤ 1% of all registered documents.	0.08% of ARES documents were not filed by end of 2020.
Data owners/ data stewards identified. Keep the data catalogue up-to-date. Design and document data related processes. Data protection related requirements of IT systems (when changed or updated) will be followed.	Percentage of EPSO's key data assets with data governance principles implemented.	30%	Data Stewards to be trained in 2021.  Collaborative efforts with DG HR and HR family in 2020 to review new Data Catalogue tool., on data dictionary and other data aspects. Collaboration to continue in 2021 as part of the HRT programme for all data related aspects
Participation in specific data protection trainings organised by EPSO with DG HR/ DPO.	Data protection compliance awareness of staff.	EPSO/EUSA Management (Director and Heads of Units) 100%.	<ul style="list-style-type: none"> <li>• EPSO/EUSA Management (Director and Heads of Units) 100%.</li> <li>• Data stewards (one per unit) 25%</li> <li>• EPSO staff 40%</li> </ul>

- **Sound environmental management**

**Objective: EPSO/EUSA takes full account of its environmental impact in all its actions and actively promotes measures to reduce the related day-to-day impact of the administration and its work.**

**Main outputs in 2020:**

Description	Indicator	Target	Latest known results
Promote staff awareness actions about more efficient use of resources (consumption of energy, water and office paper, CO2 emission, reducing and managing waste, promoting Green Public Procurement)	n/a	All EPSO/EUSA staff	Number of messages published on EPSO intranet: 8  Number of messages sent through EMAS functional mailbox: 14
Raise awareness about the use of resources in EPSO/EUSA (in collaboration with OIB) and communicate observed trends to staff), based verified data from Commission's Environmental Statement (2018 data – per building).	n/a	All EPSO/EUSA staff	Data gathering underway with view to proceed with actions aimed to all staff first half 2021.
Introduce paperless working methodologies at DG level: e.g. e-signatories, financial circuits, collaborative working tools.	n/a	All EPSO/EUSA staff	The Covid situation strongly contributed to the impletation of paperless working methodologies. Target met

**ANNEX 10: Implementation through national or international public-sector bodies and bodies governed by private law with a public sector mission (if applicable)**

Not applicable to EPSO/EUSA

## **ANNEX 11: EAMR of the Union Delegations (if applicable)**

Not applicable to EPSO/EUSA

## **ANNEX 12: Decentralised agencies and/or EU Trust Funds (if applicable)**

Not applicable to EPSO/EUSA

