

ANNEX 1: Statement of the Resources Director

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

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: 04/04/17

Donatella Ineichen,

Acting Director Shared Resource Directorate Justice and Consumers and Migration and Home Affairs

(Signed)

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

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

A. Human Resource Management

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

Indicator 1 : Percentage of female representation in middle management

Source of data: HR Dashboard

Baseline	Target	Latest known results
January 2015	Target adopted by the Commission on 15 July 2015 – SEC(2015)336	31.12.2016
DG JUST excl. SRD HOME/JUST: 47.8% EC : 31.9%	DG JUST incl. SRD HOME/JUST: Reach 50% (for 2019).	50 % DG JUST (incl. SRD)

Indicator 2 : Percentage of staff who feel that the Commission cares about their wellbeing

Source of data: Commission staff survey

Baseline	Target	Latest known results (2016)
2014	(please indicate the corresponding year)	
DG JUST excl. SRD HOME/JUST: 32.9% SRD HOME/JUST: 31% EC : 35%	DG JUST: Equal or exceed the EC average in the next staff surveys: 35%	30% for DG JUST (incl. SRD)

Indicator 3 : Staff engagement index¹

Source of data: Commission staff survey

Baseline	Target	Latest known results (2016)
2014	(please indicate the corresponding year)	
DG JUST excl. SRD	DG JUST and SRD HOME/JUST: Maintain the current results for the next staff	62% for DG JUST (incl. SRD)

¹ Staff engagement is usually not measured directly but as a combination of factors leading to high engagement levels. The Staff Engagement Index is based on seven factors combined in one overall figure: I have the information, material and resources to do my work well, My colleagues are committed to doing quality work, I have a clear understanding of what is expected from me at work, I have recently received recognition or praise for good work, I feel that my opinion is valued, My manager seems to care about me as a person, My line manager helps me to identify my training and development needs.

HOME/JUST: 70.1% SRD HOME/JUST: 73.6% EC : 65%	surveys	
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Main outputs in 2016:			
Description	Indicator	Target	Latest known results
Implementation of a corporate Middle Management Modernisation including a gender balance policy	<ul style="list-style-type: none"> -Number of management and leadership trainings -2016 Staff survey percentage of female representation in middle management for DG JUST incl. SRD HOME/JUST 	<ul style="list-style-type: none"> -At least one training a year -No target fixed for 2016; JUST will try to maintain or exceed 47.8% of last staff survey; 50% to be reached in 2019. 	<ul style="list-style-type: none"> - 6 coaching packages given to managers in 2016 - 50% of female representation in middle management functions reached
Development of supportive and healthy working conditions for staff (wellbeing)	<ul style="list-style-type: none"> - Fit@work initiatives participation rate for DG JUST incl. SRD HOME/JUST - 2016 Staff survey percentage of staff who feel that the Commission cares about their wellbeing in DG JUST & SRD 	<ul style="list-style-type: none"> - Participation rate of at least 50% to fit@work initiatives - Reach or exceed the result of 35% for the 2016 staff survey 	<ul style="list-style-type: none"> - High level of staff participation to Health Day on 14.6.2016, lower level of participation to silence pause/mindfulness sessions - 30% of staff feel that the Commission cares about their wellbeing in DG JUST (incl. SRD)
Improved identification of the training and development needs of staff by management and maintain or improve the staff engagement index	<ul style="list-style-type: none"> - Annual average number of training days attended - 2016 Staff survey factor linked to the training and development needs of staff² 	<ul style="list-style-type: none"> - Maintain the annual average number of 5.6 training days - Exceed the result of 53% for DG JUST and 48% for SRD HOME/JUST for the 2014 staff survey 	<ul style="list-style-type: none"> - n/a for 2016 - 46 % of training and development staff needs were satisfied in DG JUST (incl. SRD) according to 2016 Staff survey results

² Staff satisfaction linked of their training and development needs, 2014 Commission staff survey. Average of the answers to the 4 following questions "I'm able to access the learning and development opportunities"; "My learning and development activities have helped to improve my performance"; "My line manager helps me to identify my training and development needs"; "My line manager supports me in implementing my learning in the workplace".

Description	Indicator	Target	Latest known results
Measures to ensure an efficient mobility of staff	<ul style="list-style-type: none"> - Number of seminars for Newcomers (HR matters, DG JUST policy matters) - Actions to allow staff expressing mobility concerns and wishes and follow-up of career expectations - 2016 Staff survey percentage linked to career and mobility in DG JUST & SRD HOME/JUST ³ 	<ul style="list-style-type: none"> - 2 seminars a year on HR matters and 2 on DG JUST policy matters, regular thematic seminars and exchange of best practices with HOME/JUST Assistants - Mobility questionnaire to prepare the reorganisation on 1.10.2016 - Increase the 2014 staff satisfaction of their career and mobility of 33% in DG JUST and 30% in SRD for the 2016 staff survey 	<ul style="list-style-type: none"> - 2 seminars a year on HR matters and 2 on DG JUST policy matters (26.4.2016 and 13.12.2016) - ShareYourView questionnaire ⁴ launched in September 2016 - 33% of staff are satisfied with their career and mobility in DG JUST (incl. SRD)

³ Staff satisfaction of their career and the mobility within the Commission, 2014 Commission staff survey. Average of the answers to the 3 following questions: "I feel able to manage my career choices and determine my own career path", "General mobility is sufficiently encouraged within the Commission" and "The relation between my performance and my career progression is satisfying".

⁴ To support the development of a mobility policy in DG JUST, a mobility questionnaire has been proposed to the staff in order to evaluate the needs and wishes of mobility inside the DG. In the context of the DG JUST reorganisation in October 2016, colleagues were invited to share their views on the organisation fitness and on their expectations about their career prospects via a specific functional mailbox (ShareYourView). This participative and inclusive approach aimed at foster staff satisfaction and engagement as well as better evaluated the career development's needs and the understanding of DG JUST priorities and challenges amongst staff.

B. Better regulation

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

Indicator 1 (mandatory – monitored by the DGs concerned): Percentage of Impact assessments submitted by DG Justice and Consumers to the Regulatory Scrutiny Board that received a favourable opinion on first submission.

Source of data: *own statistics*

Baseline 2015	Interim Milestone 2016	Target 2020	2016
50% (based on submissions to RSB in 2015)	60%	70%	67%

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

Source of data: *own statistics*

Baseline 2015	Interim Milestone 2016	Target 2020	Latest known result (2016)
10%	<i>Positive trend compared to baseline</i>	<i>Positive trend compared to milestone</i>	<i>no change compared to baseline</i>

Main outputs in 2016:

Description	Indicator	Target	Latest known result (2016)
Implementation of annual evaluation plan	Percentage of evaluations implemented as per plan	> 80 %	50%

C. Information management aspects

Objective (mandatory): Information and knowledge in your DG is shared and reusable by other DGs. Important documents are registered, filed and retrievable		
Indicator 1: Percentage of registered documents that are not filed^[1] (ratio)		
Source of data: <i>Hermes-Ares-Nomcom (HAN)^[2] statistics</i>		
Baseline 2015	Target	Latest known results 2016
4.25%	<2%	2.41%
Indicator 2: Percentage of HAN files readable/accessible by all units in the DG		
Source of data: <i>HAN statistics</i>		
Baseline 2015	Target	Latest known results 2016
90.17%	>90% (circa 10% of files contain restricted information and are therefore not shareable)	89.39%
Indicator 3: Percentage of HAN files shared with other DGs		
Source of data: <i>HAN statistics</i>		
Baseline 2015	Target	Latest known results 2016
3.46%	>50%	6.34%

Main outputs in 2016:			
Description	Indicator	Target	Latest known results
Creation and implementing the knowledge management strategy	Strategy created and approved at DG level	Yes	The DG of Just is in the working group on the new knowledge management strategy of the Commission. The strategy of JUST will be tailored based on the outcome of the work of this group.
Knowledge management tools to support the strategy	Tools to support the strategy are identified and deployment is planned	Yes	The DG of Just is in the working group on the new knowledge management strategy of the Commission. The strategy of JUST will be tailored based on the outcome of the work of this group. This will also include the set of tools to be used. Already DG Just is using basis for briefings and MyIntracomm's collaborative space for sharing documents.

^[1] Each registered document must be filed in at least one official file of the *Chef de file*, as required by the [e-Domec policy rules](#) (and by ICS 11 requirements). The indicator is to be measured via reporting tools available in Ares.

^[2] Suite of tools designed to implement the [e-Domec policy rules](#).

D. Communication

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

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

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

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

Baseline: November 2014	Target: 2020	Latest known result
Total "Positive": 39% Neutral: 37 % Total "Negative": 22%	Positive image of the EU ≥ 50%	Positive: 35% Neutral: 38% Negative: 25% (Don't know: 2%)

Main outputs in 2016:

Description	Indicator	Target	Latest known result
Social media platforms (Twitter Justice, Twitter Consumer, Facebook Justice)	Cumulative increase in followers and engagement numbers	+20%	+ 21.30% ⁵
Special press reviews (i.e. for priority Commission's proposals)	Number of articles	At least maintain average coverage (30 articles)	30
Campaign on data protection reform	Number of people reached	10 000 000	The campaign will run in 2017 for businesses and in 2018 for consumers
Awareness raising campaign on the ADR-ODR platform	Number of people reached	10 000 000	Facebook reach: 21 million

⁵ Increase Justice Twitter account +25,58, Increase Consumer Twitter account +16,23, Increase Facebook Justice and Consumers +22,11, is average increase of 21,30

			Twitter reach: 9 million ⁶
Flash Eurobarometer on the effectiveness of justice	Number of people reached	1 000 000	No campaign carried out

Annual communication spending (based on estimated commitments):			
Baseline (Year n-1): 2015	Target (Year n):	Total amount spent	Total of FTEs working on external communication
1 000 000	2 000 000	3 000 000	11

⁶ Final Report ODR video dissemination report – TIPIK/BeConnect; January 2017

Annex 3 Financial Reports - DG JUST - Financial Year 2016**Table 1 : Commitments****Table 2 : Payments****Table 3 : Commitments to be settled****Table 4 : Balance Sheet****Table 5 : Statement of Financial Performance****Table 5 Bis: Off Balance Sheet****Table 6 : Average Payment Times****Table 7 : Income****Table 8 : Recovery of undue Payments****Table 9 : Ageing Balance of Recovery Orders****Table 10 : Waivers of Recovery Orders****Table 11 : Negotiated Procedures (excluding Building Contracts)****Table 12 : Summary of Procedures (excluding Building Contracts)****Table 13 : Building Contracts****Table 14 : Contracts declared Secret**

Additional comments

1. Financial Reports

Commitments (Table 1)

Implementation of Commitment appropriations settled at 96,57%. Out of the unused amount of commitment appropriations in the 2016 budget (EUR 6.75 million in total), EUR 3.62 million can be used in 2017 (as 2016 revenues (C4) or other revenues (P0) and 3.13 M€ are lost

Payments (Table 2)

93,49% of payment appropriations were used. EUR 8.01 million out of the unused amount (EUR 11.5 million) relate to Operational lines. EUR 4.64 million of these unspent operational relate to appropriation of 2016 (C1) and as a consequence are lost. At the same time also EUR 0.76 million as unspent administrative credit carried forward from previous year (C8) is lost

Breakdown of commitments to be settled (Table 3)

The total amount of open commitments to be settled increased by 13,3% as compared to 2015 due to more commitments made during the year and a rate of settled commitments which increased to 47% (44% as of 2015).

Income (Table 7)

The DG JUST income increased by 7% comparing with 2015 (EUR 6,2 million vs EUR 5,7 million). The overall amount to be recovered remains at the same level compared to the previous year EUR 2.8 million

2. Draft Annual Accounts

Methodology

The annual accounts of DG Justice have been prepared in accordance with the general accounting principles. Estimations have been made where necessary as laid out by the Accountant of the European Commission.

It should be noted that the balance sheet and economic outturn account presented in Annex 3 to this Annual Activity Report, represent only the (contingent) assets, (contingent) 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 economic outturn account 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.

Balance Sheet (Table 4)

Non-current assets show the long-term share of pre-financings. In 2016, there is a slight increase of non-current assets compared to 2015.

Current assets increase by EUR 3 million with regard to last year explain by direct management pre-financing.

Current liabilities are stable with regard to last year.

Economic outturn account (Table 5)

Operating Revenues

Operating revenues are in line with last year , with a small increase in other exchange revenues

Operating Expenses

Net increase in the operating expense EUR + 24.6 million, mainly coming from the agencies ,namely EUR 10 million are referring to EUROJUST representing an addition ring-fenced for the new building of EUROJUST , and an increase in the implemented budget for grants (higher number of grants were awarded in 2016 in respect of last year + 10.5%)

3. Management reporting

Payment times (Table 6)

In total 1,048 payments have been made in 2016 and are in line with last year (1,032 payments). The overall average payment time for the year amounted to 26 days (with suspension) and 92 % of all payments were made on time, in line with previous year 26 days and 91 %.

Recovery Context (Table 8)

This table shows recovery orders and invoices recorded in the financial system 2016 with a mentioning of error or irregularity as reason for issuing the recovery or reducing the invoice.

Most of the undue payments recovered in 2016 are referring to old transaction awarded in 2010 (EUR 0.4 million)

Ageing Balance (Table 9)

The number of recovery orders increased by 16% as compared to 2015 and was accompanied by a 0.11% increase of the amount which remained unpaid. It should be noted that during 2016, 10 (new) recovery orders have been issued for a total amount of EUR 0.5 million (i.e. 16% of the total amount still to be recovered).

Negotiated Procedures (Tables 11 and 12)

No negotiated procedures have been concluded in 2016. For what the open procedures are concerned, DG JUST launched 10 calls for tenders (compared to 16 last year) for a total amount of EUR 34.31 million (EUR 38.42 million last year).

TABLE 1: OUTTURN ON COMMITMENT APPROPRIATIONS IN 2016 (in Mio €)					
			Commitment appropriations authorised	Commitments made	%
			1	2	3=2/1
Title 33 Justice and consumers					
33	33 01	Administrative expenditure of the 'Justice and consumers' policy area	6,3243871	6,17467771	97,63 %
	33 02	Rights, Equality and Citizenship	88,59603751	85,97725121	97,04 %
	33 03	Justice	92,92196164	89,07923259	95,86 %
	33 04	Consumer programme	7,13576627	7,051	98,81 %
Total Title 33			194,9781525	188,2821615	96,57%
Total DG JUST			194,9781525	188,2821615	96,57 %

* 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

% Outturn on commitment appropriations

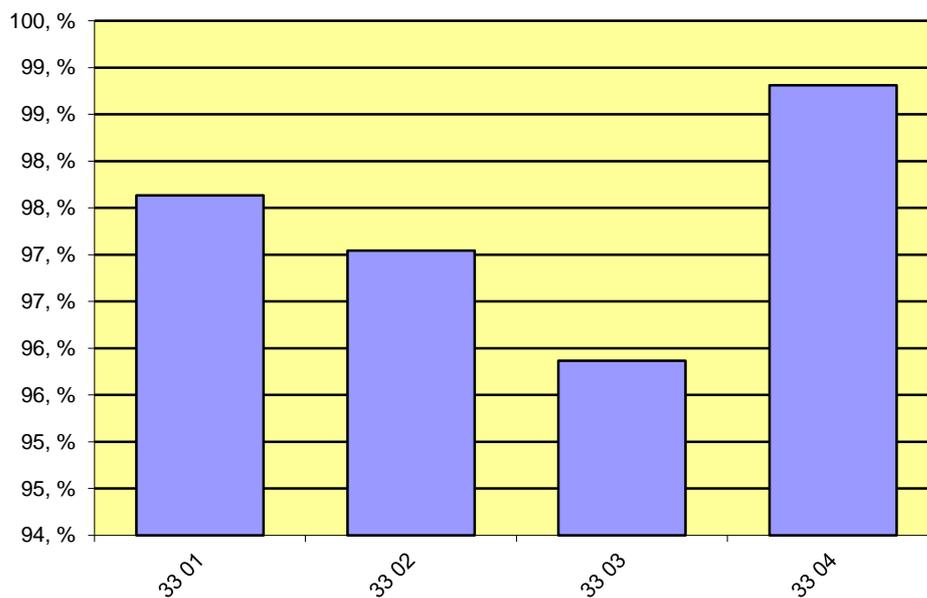


TABLE 2: OUTTURN ON PAYMENT APPROPRIATIONS IN 2016 (in Mio €)					
Chapter			Payment appropriations authorised *	Payments made	%
			1	2	3=2/1
Title 33 Justice and consumers					
33	33 01	Administrative expenditure of the 'Justice and consumers' policy area	8,45513557	5,36896377	63,50 %
	33 02	Rights, Equality and Citizenship	75,22108198	72,5453454	96,44 %
	33 03	Justice	81,31938203	76,38345696	93,93 %
	33 04	Consumer programme	3,00273427	2,75951441	91,90 %
Total Title 33			167,9983339	157,0572805	93,49%
Total DG JUST			167,9983339	157,0572805	93,49 %

* 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).

"=% Outturn on payment appropriations"

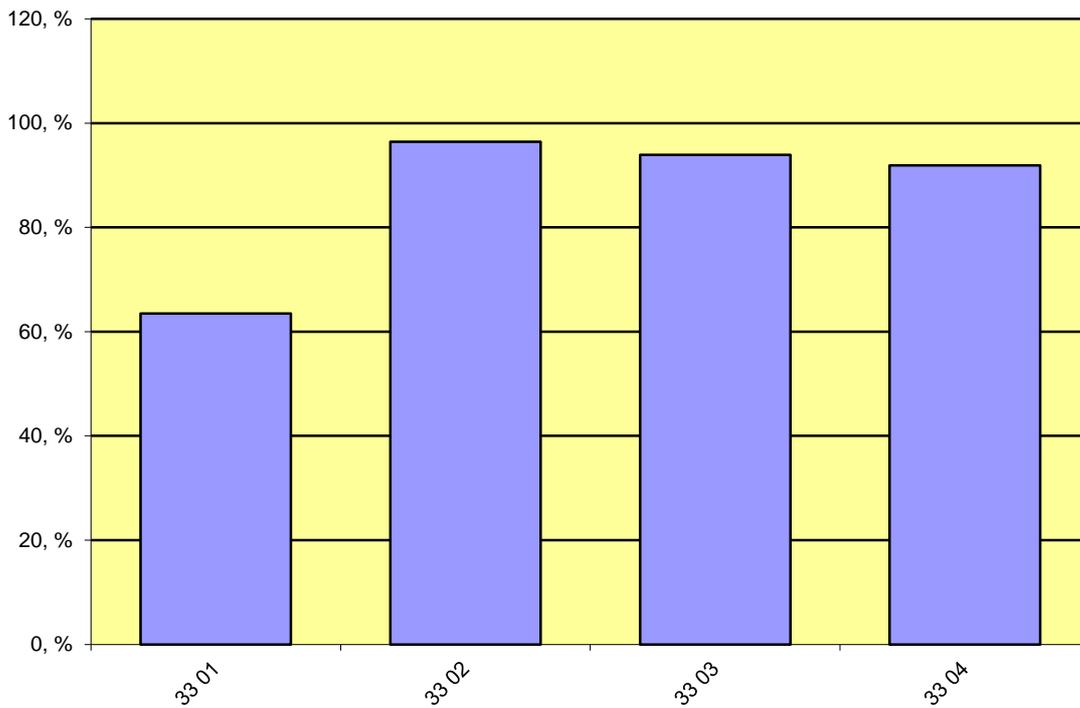


TABLE 3 : BREAKDOWN OF COMMITMENTS TO BE SETTLED AT 31/12/2016 (in Mio €)

Chapter	2016 Commitments to be settled				Committed to be settled from financial years previous to 2016	Total of commitments to be settled at end of financial year 2016 (incl corrections)	Total of commitments to be settled at end of financial year 2015 (incl. corrections)
	Commitments 2016	Payments 2016	RAL 2016	% to be settled			
	1	2	3=1-2	4=1-2/1			
Title 33 : Justice and consumers							
33 01	6,17467771	4,01	2,16106836	35,00 %	0,00	2,16	2,13
33 02	85,97725121	31,66	54,32070881	63,18 %	60,50	114,82	101,99
33 03	89,07923259	52,51	36,57246765	41,06 %	47,72	84,29	72,78
33 04	7,051	0,15	6,9033975	97,91 %	5,54	12,44	8,55
Total Title 33	188,2821615	88,32	99,95764232	53,09%	113,7606388	213,7182811	185,4459924
Total DG JUST	188,2821615	88,32	99,95764232	53,09 %	113,7606388	213,7182811	185,4459924

"Breakdown of Commitments remaining to be settled (in Mio EUR)"

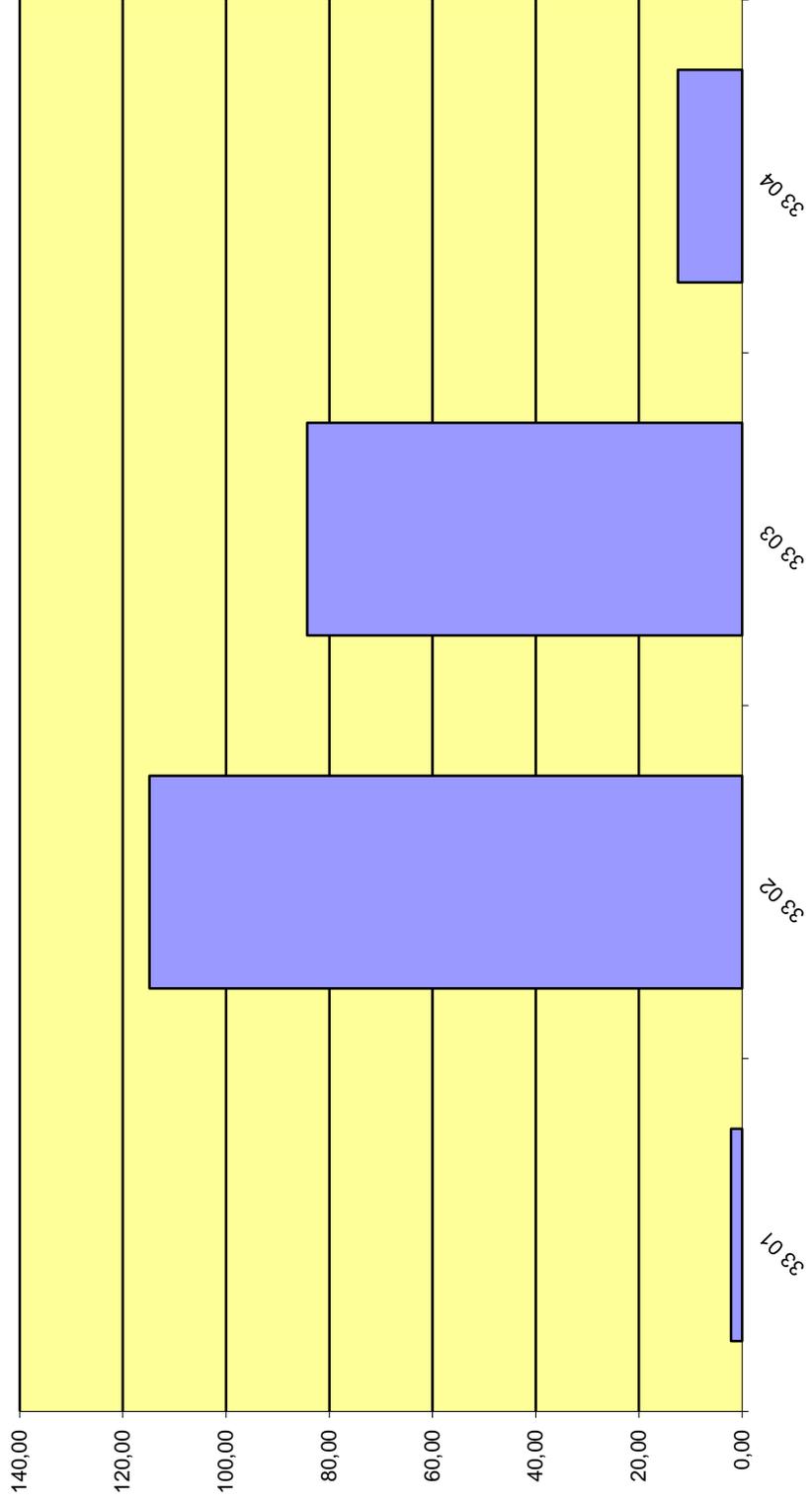


TABLE 4 : BALANCE SHEET JUST

BALANCE SHEET	2016	2015
A.I. NON CURRENT ASSETS	9.806.305,94	9.141.073,21
A.I.1. Intangible Assets	5.932.425,46	3.560.586,43
A.I.5. Non-Current Pre-Financing	3.873.880,48	5.580.486,78
A.II. CURRENT ASSETS	35.125.718,69	32.195.114,49
A.II.2. Current Pre-Financing	32.606.793,54	29.679.376,08
A.II.3. Curr Exch Receiv & Non-Ex Recoverables	2.518.925,15	2.515.738,41
ASSETS	44.932.024,63	41.336.187,70
P.II. CURRENT LIABILITIES	(16.941.520,24)	(16.175.595,15)
P.II.4. Current Payables	(3.196.341,53)	(3.735.061,51)
P.II.5. Current Accrued Charges & Defrd Income	(13.745.178,71)	(12.440.533,64)
LIABILITIES	(16.941.520,24)	(16.175.595,15)
NET ASSETS (ASSETS less LIABILITIES)	27.990.504,39	25.160.592,55
P.III.2. Accumulated Surplus / Deficit	436.656.073,12	310.350.185,71
Non-allocated central (surplus)/deficit*	(464.646.577,51)	(335.510.778,26)
TOTAL	0,00	0,00

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

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

TABLE 5 : STATEMENT OF FINANCIAL PERFORMANCE JUST

STATEMENT OF FINANCIAL PERFORMANCE	2016	2015
II.1 REVENUES	452.994,46	405.098,28
II.1.1. NON-EXCHANGE REVENUES	(508.503,20)	(590.858,99)
II.1.1.5. RECOVERY OF EXPENSES	(508.503,20)	(590.858,99)
II.1.2. EXCHANGE REVENUES	961.497,66	995.957,27
II.1.2.1. FINANCIAL INCOME	(7.565,92)	(32.221,45)
II.1.2.2. OTHER EXCHANGE REVENUE	969.063,58	1.028.178,72
II.2. EXPENSES	150.227.324,87	125.900.789,13
II.2. EXPENSES	150.227.324,87	125.900.789,13
II.2.10. OTHER EXPENSES	5.998.949,30	4.974.645,10
II.2.2. EXP IMPLM BY COMMISS&EX.AGENC. (DM)	72.545.410,32	59.303.904,54
II.2.3. EXP IMPL BY OTH EU AGENC&BODIES (IM)	71.901.403,19	61.803.375,96
II.2.6. STAFF AND PENSION COSTS	(223.169,10)	(183.493,80)
II.2.8. FINANCE COSTS	4.731,16	2.357,33
STATEMENT OF FINANCIAL PERFORMANCE	150.680.319,33	126.305.887,41

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TABLE 5bis : OFF BALANCE SHEET JUST

OFF BALANCE	2016	2015
OB.1. Contingent Assets	332.153,28	-
GR for performance		-
GR for pre-financing	332.153,28	-
OB.3. Other Significant Disclosures	(198.325.083,89)	(168.104.217,29)
OB.3.2. Comm against app. not yet consumed	(198.325.083,89)	(168.104.217,29)
OB.4. Balancing Accounts	197.992.930,61	168.104.217,29
OB.4. Balancing Accounts	197.992.930,61	168.104.217,29
OFF BALANCE	-	-

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TABLE 6: AVERAGE PAYMENT TIMES FOR 2016 - DG JUST

Legal Times							
Maximum Payment Time (Days)	Total Number of Payments	Nbr of Payments within Time Limit	Percentage	Average Payment Times (Days)	Nbr of Late Payments	Percentage	Average Payment Times (Days)
20	2	2	100,00 %	12			
30	746	708	94,91 %	14,72316384	38	5,09 %	38,60526316
45	24	22	91,67 %	28,13636364	2	8,33 %	61,5
50	6	5	83,33 %	27,8	1	16,67 %	51
60	132	127	96,21 %	25,71653543	5	3,79 %	70,6
90	138	102	73,91 %	62,30392157	36	26,09 %	121,5555556

Total Number of Payments	1048	966	92,18 %		82	7,82 %	
Average Net Payment Time	25,95133588			21,56004141			77,68292683
Average Gross Payment Time	35,30629771			29,49585921			103,7560976

Target Times							
Target Payment Time (Days)	Total Number of Payments	Nbr of Payments within Target Time	Percentage	Average Payment Times (Days)	Nbr of Late Payments	Percentage	Average Payment Times (Days)
20	185	173	93,51 %	7,930635838	12	6,49 %	27,66666667
30	58	33	56,90 %	17,63636364	25	43,10 %	45,24
60	3	3	100,00 %	38,33333333			
75	22	8	36,36 %	59,125	14	63,64 %	111,4285714

Total Number of Payments	268	217	80,97 %		51	19,03 %	
Average Net Payment Time	20,76492537			11,71428571			59,2745098
Average Gross Payment Time	34,71641791			20,94930876			93,29411765

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	47	210	20,04 %	1048	17.611.868,71	11,38 %	154.815.356,30

Late Interest paid in 2016			
DG	GL Account	Description	Amount (Eur)
JUST	65010100	Interest on late payment of charges New FR	5 197,17
			5 197,17

TABLE 7 : SITUATION ON REVENUE AND INCOME IN 2016							
Chapter	Revenue and income recognized			Revenue and income cashed from			Outstanding balance 7=3-6
	Current year RO	Carried over RO	Total	Current Year RO	Carried over RO	Total	
	1	2	3=1+2	4	5	6=4+5	
52	6.012,97	2,53	6.015,50	1.950,70	-	1.950,70	4.064,80
59	79.534,05	-	79.534,05	79.534,05	-	79.534,05	-
66	3.246.320,35	2.842.563,68	6.088.884,03	2.793.512,99	453.682,89	3.247.195,88	2.841.688,15
Total DG JUST	3.331.867,37	2.842.566,21	6.174.433,58	2.874.997,74	453.682,89	3.328.680,63	2.845.752,95

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

INCOME BUDGET RECOVERY ORDERS ISSUED IN 2016	Irregularity		Total undue payments recovered		Total transactions in recovery context (incl. non-qualified)		% Qualified/Total RC	
	Nbr	RO Amount	Nbr	RO Amount	Nbr	RO Amount	Nbr	RO Amount
Year of Origin (commitment)								
2009	1	8.358,08	1	8.358,08	1	8.358,08	100,00%	100,00%
2010	9	425.790,85	9	425.790,85	9	425.790,85	100,00%	1,00
2011	5	23.415,06	5	23.415,06	7	473.053,62	71,43%	0,05
2012	4	32.943,58	4	32.943,58	16	752.729,35	25,00%	0,04
2013	3	12.194,76	3	12.194,76	9	276.545,58	33,33%	0,04
2014					13	456.882,34		
2015					12	1.036.194,41		
No Link	1	8.047,97	1	8.047,97	1	8.047,97	100,00%	1,00
Sub-Total	23	510.750,30	23	510.750,30	68	3.437.602,20	33,82%	0,15

EXPENSES BUDGET	Error		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	Nbr	Amount
INCOME LINES IN INVOICES												
NON ELIGIBLE IN COST CLAIMS	6	11.946,25	121	1.587.977,55			127	1.599.923,80	127	1.599.923,80	100,00%	100,00%
CREDIT NOTES	15	459.466,84	3	68.437,00			18	527.903,84	25	990.592,48	72,00%	53,29%
Sub-Total	21	471.413,09	124	1.656.414,55			145	2.127.827,64	152	2.590.516,28	95,39%	82,14%
GRAND TOTAL	21	471.413,09	147	2.167.164,85			168	2.638.577,94	220	6.028.118,48	76,36%	34,99%

TABLE 9: AGEING BALANCE OF RECOVERY ORDERS AT 31/12/2016 FOR JUST

	Number at 01/01/2016	Number at 31/12/2016	Evolution	Open Amount (Eur) at 01/01/2016	Open Amount (Eur) at 31/12/2016	Evolution
2002	1	1	0,00 %	326.827,80	326.827,80	0,00 %
2010	1		-100,00 %	100.691,05		-100,00 %
2012	2	2	0,00 %	334.205,58	334.205,58	0,00 %
2013	3	3	0,00 %	194.275,34	166.078,34	-14,51 %
2014	6	4	-33,33 %	816.948,15	594.410,14	-27,24 %
2015	6	2	-66,67 %	1.069.618,29	967.361,46	-9,56 %
2016		10			456.869,63	
	19	22	15,79 %	2.842.566,21	2.845.752,95	0,11 %

TABLE 10 : RECOVERY ORDER WAIVERS IN 2016 >= EUR 100.000

	Waiver Central Key	Linked RO Central Key	RO Accepted Amount (Eur)	LE Account Group	Commission Decision	Comments
1	3233160052	3241005423	-100.691,05	Private Companies		

Total DG	-100.691,05
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Number of RO waivers	1
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TABLE 11 : CENSUS OF NEGOTIATED PROCEDURES - DG JUST - 2016

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

No data to be reported

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

Internal Procedures > € 60,000		
Procedure Type	Count	Amount (€)
Open Procedure (Art. 104(1) (a) FR)	6	5.045.270,00
Open Procedure (Art. 127.2 RAP)	4	29.269.000,00
TOTAL	10	34.314.270,00

TABLE 13 : BUILDING CONTRACTS

Total number of contracts :

Total amount :

Legal base	Contract Number	Contractor Name	Description	Amount (€)

No data to be reported

TABLE 14 : CONTRACTS DECLARED SECRET

Total Number of Contracts :

Total amount :

Legal base	Contract Number	Contractor Name	Type of contract	Description	Amount (€)

No data to be reported

Annex 4: Materiality criteria & Methodology for measuring the residual amount at risk and determining its materiality

INTRODUCTION

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

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

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

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

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

DG JUST implements its operational budget through two main different methods of implementation: direct management (grants, procurement, sometimes cross-subdelegated to other DGs) and indirect management (payments to traditional agencies). As these methods of implementation have a different risk profile and its own control and supervision arrangements, the observed quantified weaknesses should be assessed per each distinct control system grouped as follows:

- 1) Direct management – grants
- 2) Indirect management – subsidies to EU Agencies
- 3) Direct management - Procurement and other expenditure

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

Annex 4: Materiality criteria & Methodology for measuring the residual amount at risk and determining its materiality

CHAPTER A – QUALITATIVE CRITERIA FOR DEFINING SIGNIFICANT WEAKNESSES

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

- ✓ Significant control system weaknesses: significant control system weakness detected during the period, in reports made by Authorizing Officers by Sub-delegation and/or by the ex-post audits carried out.

As far as traditional agencies are concerned, and in the framework of the single audit model, the DG's assurance is mainly based on supervisory and monitoring activities, and a verification of the functioning of the control system performed by the Internal Audit Service of the Commission and the European Court of Auditors (DAS), and the outcome of the discharge procedure
- ✓ Significant shortcoming in internal control standards appearing in the yearly survey on Internal control standards implementation by management.
- ✓ Insufficient audit coverage and/or inadequate information from the internal control systems.
- ✓ Critical issues outlined by the European Court of Auditors, the Internal Audit Service, DG BUDG and OLAF.

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

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

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

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

CHAPTER B – QUANTITATIVE CRITERIA FOR DEFINING RESERVATIONS

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

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

Annex 4: Materiality criteria & Methodology for measuring the residual amount at risk and determining its materiality

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

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

1. DIRECT MANAGEMENT – GRANTS

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

STEP 1 – Cumulative Residual Error Rate

A. Adequacy of the audit scope

Auditable population (scope of the analysis) = value of all relevant payments (i.e. interim and final payments, plus related cleared pre-financing) relating to the programming period for which the payment was made and/or the pre-financing cleared before 31st December of the reporting year (= "closed" grants)

Audited population = value of "closed" grants audited, relating to the programming period, and for which the audit report was finalised before 31st December of the reporting year

Unit SRD.01 performs audits for shared management (DG HOME) and direct management for both DG HOME and DG JUST. Therefore, both Director Generals decided to invest the scarce ex-post resources into a maximum-return & maximum-assurance ex-post strategy. As a consequence, the "*targeted*" sampling strategy is *not risk-based* but rather "maximum-assurance"-based. It aims at detecting and correcting a maximum of anomalies in the DG's operational expenditure and maximising the deterrent effect, by auditing recurrent beneficiaries and/or high-value grants, regardless of their either low, medium or high expected error rates in %.

Over the years, such an approach is considered representative enough if a sufficient coverage, set at 10% of the auditable population, is reached. Indeed, even with "annual" programmes, a cumulative approach is possible, per (fairly homogeneous) "generation" of programmes.

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

(Cumulative) detected error (amount) = For audited grants, total grant value as initially paid after the ex-ante controls minus grant value as calculated after the ex-post control¹

¹ Positive amounts only. In case, following this calculation, the result would be a negative amount, it should be brought back to zero.

Annex 4: Materiality criteria & Methodology for measuring the residual amount at risk and determining its materiality

(Cumulative) detected error rate (%) = *Detected error divided by the grant value as initially paid after the ex-ante controls*

C. Determination of the residual error rate

Uncorrected detected errors (amount) = *All detected errors pending recovery*

Cumulative residual error rate in the audited population (%) = *Uncorrected amount divided by the audited population*

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

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

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

STEP 3: Materiality and potential reservation

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

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

2. INDIRECT MANAGEMENT: PAYMENTS TO TRADITIONAL AGENCIES

STEP 1 –Residual Error Rate

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

The controls operated on the use of these payments, i.e. either management's supervision of audits carried out by the Internal Audit Service (IAS) or the European

Annex 4: Materiality criteria & Methodology for measuring the residual amount at risk and determining its materiality

Court of Auditors (ECA) may result in the detection of compliance errors or irregularities. These are mainly **payment or recovery (amount) errors**: i.e. cases where, without the error, the amount paid to or recovered from beneficiary would have been different. In this case, as long as it remains uncorrected, the difference in amount is to be treated as an error with its consequences on the (cumulative) error rate.

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

The real actual 'net'² financial impact of the errors defined under step 1 is considered as amount at risk, and (if very significant) its 'quantitative' materiality is considered for a potential financial reservation.

Step 3: Materiality and potential reservation

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

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

3. PROCUREMENT AND OTHER EXPENDITURE

STEP 1 –Residual Error Rate

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

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

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

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

² Any correction actually made by the Commission should be deducted from the detected error.

Annex 4: Materiality criteria & Methodology for measuring the residual amount at risk and determining its materiality

new approach and is necessary to comply with the principle of transparency and allow stakeholders to compare the Commission's error rate with the one published by the ECA.

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

The financial exposure differs depending on the type of errors:

- ✓ For **payment (amount) errors**: the amount at risk is the real actual 'net'³ financial impact of the errors and its 'quantitative' materiality is considered for a potential financial reservation. These financial procurement errors are taken into consideration for the application of the quantitative materiality criteria
- ✓ For **procedural (contract selection and award) errors**, DG JUST considers that even when the contractor should/could have been different, this does not always mean that the full (100%) value of the contract is 'at risk' (or that the taxpayer's money would be entirely 'lost'). Consequently, these kinds of errors cannot be considered for making a financial reservation (given that in terms of materiality the actual financial impact cannot be quantified in a consistent way with the payment errors) and are therefore not included in the calculation of the actual financial exposure (amount at risk). However, given that DG JUST acknowledges the seriousness of breaching any of the key principles of public procurement, these types of procurement errors are considered for making a potential *reputational* reservation, rather than a financial one (e.g. *when affecting a significant part of the related activity, when being systemic and affecting more/all of DG JUST's procurement processes, when causing a fall-out in press and/or public, etc. – see below*).

Step 3: Materiality and potential reservation

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

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

³ Any correction actually made by the Commission should be deducted from the detected error.

Annex 5: Internal Control Templates for budget implementation (ICTs)

ICT 1: Grants direct management

Stage 1: Programming, evaluation and selection of proposals

A - Preparation, adoption and publication of the Annual Work Programme and Calls for proposals

Main control objectives: Ensuring that the Commission selects the proposals that contribute the most towards the achievement of the policy or programme objectives (effectiveness); Compliance (legality & regularity); Prevention of fraud (anti-fraud strategy) provide a brief description of the main control objectives.

Main risks It may happen (again) that ...	Mitigating controls	How to determine coverage, frequency and depth	How to estimate the costs and benefits of controls	Control indicators for stages 1A and 1B
<p>Delays occur in adopting the Financing Decision or AWP. The AWP is published later than 31 March of the year of implementation.</p> <p>The AWP/Call does not adequately reflect the objectives pursued and/or the eligibility, selection and award criteria are not adequate to ensure the evaluation of the proposals</p> <p>The AWP/Call overlaps or is incompatible with other programmes (by own DG or other DGs)</p> <p>The AWP/Call does not contain the information required in the regulatory framework (FR 84, 128; RAP 94, 188, 189)</p> <p>Calls for proposals and AWP are not adequately published.</p>	<p>Communication between the financial and policy units on objectives/instruments (regular meetings)</p> <p>Hierarchical validation within the authorising department</p> <p>Inter-service consultation, including all relevant DGs</p> <p>Adoption by the Commission</p> <p>Use of templates based on DG BUDG templates</p> <p>Templates-based verification; comitology procedure</p> <p>Publication procedure</p>	<p>Coverage: 100% of all AWP/calls</p> <p>Frequency: during the preparation of each AWP/call</p> <p>Depth: Templates includes a list of the requirements of the regulatory provisions identified.</p>	<p>Costs: estimation of cost of staff involved in the preparation and validation of the annual work programme and calls.</p> <p>Benefits: higher performance of reaching the objectives/better quality results of the call</p>	<p>Effectiveness:</p> <p>Awarded budget over available budget</p> <p>Average points elected over average total eligible</p> <p>Number of litigation cases over redress procedures</p> <p>Efficiency:</p> <p>Time to publication</p> <p>Cost-effectiveness:</p> <p>Total costs for Stage 1 over number of projects evaluated</p> <p>Total costs for Stage 1 over value of projects evaluated</p>

B - Selecting and awarding: Evaluation, ranking and selection of proposals

Main control objectives: Ensuring that the most promising projects for meeting the policy objectives are among (a good balance of) the proposals selected (effectiveness); Compliance (legality & regularity); Prevention of fraud (anti-fraud strategy)

Main risks It may happen (again) that...	Mitigating controls	How to determine coverage, frequency and depth	How to estimate the costs and benefits of controls	Control indicators for stages 1A and 1B
<p>Delays due to request of missing documents (the grant application does not contain all information and supporting documents required for its evaluation)</p> <p>A beneficiary is awarded several grants from the EU budget for a single action (Risk of double financing/ risk of non-cumulative award)</p> <p>The pre-announced selection and award criteria are not adequately and consistently applied for the evaluation of proposals</p> <p>The action is not clearly defined in the grant application</p> <p>A grant is awarded for an action which has already begun but the applicant cannot demonstrate the need for starting the action prior to signature of the grant agreement or notification of the grant decision</p>	<p>Detailed procedures for calls foresee time to gather missing documents</p> <p>Where relevant, crossed checks with other DGs on possible double-financing if grants have been awarded to the same beneficiary from by other DG (ABAC/LEF)</p> <p>The Guide for applicant and the kick-off meetings ensure a common understanding of the requirements.</p> <p>Very detailed application forms have been developed and used since 2013 calls.</p> <p>Since 2013, we make clear that the actions starts after the signature of the grant agreement</p>	<p>Coverage: All proposals checked (checked at least by 2-3 independent evaluators) and double checked by internal committee.</p> <p>Where relevant, proposals are crossed checked with other DGs, checks made depending on programme</p> <p>Depth: cross checking where appropriate for specific cases (FTS)</p>	<p>Costs: estimation of cost of staff involved in the evaluation and selection of proposals. Cost of the appointment of experts and of the logistics of the evaluation.</p> <p>Benefits: best quality projects selected;</p>	<p>Please refer to the indicators above for stages 1A and 1B</p>

Stage 2: Contracting: Transformation of selected proposals into legally binding grant agreements

Main control objectives: Ensuring that the actions and funds allocation is optimal (best value for public money; effectiveness, economy, efficiency); Compliance (legality & regularity); Prevention of fraud (anti-fraud strategy)

Main risks It may happen (again) that...	Mitigating controls	How to determine coverage, frequency and depth	How to estimate the costs and benefits of controls	Control indicators
<p>The beneficiary lacks operational and/or financial capacity to carry out the actions.</p> <p>Budget resources are not sufficiently available (on time)</p> <p>The grant agreement is signed late; the time to grant is not respected.</p> <p>The grant agreement does not contain all applicable provisions</p> <p>Complexity due to the obligation to have multi partners structure for each project</p> <p>The estimated budget of the grant application significantly overestimates the amounts necessary to carry out the action or WP and this is not identified in the recommendations of the evaluation committee</p>	<p>Review and checks during the contracting phase of technical action plan and budget for consistency and plausibility; in-depth financial verification and taking appropriate measures for high risk beneficiaries.</p> <p>Project Officers implement evaluators' recommendations in discussion with selected applicants.</p> <p>Strict follow up of budget appropriations; the payment clause is customized if the payment appropriations are not available on time.</p> <p>Internal reporting</p> <p>Hierarchical validation within the authorising department. Use of Commission contractual templates.</p> <p>The budget is checked before the award decision, which increases the economy and efficiency of the distributions of funds.</p>	<p>Coverage</p> <p>- 100% of the selected proposals and beneficiaries are scrutinised.</p> <p>- 100% of drafts grant agreements.</p> <p>Depth may be determined after considering the type or nature of the beneficiary and/or of the modalities (e.g. substantial subcontracting) and/or the total value of the grant.</p>	<p>Costs:</p> <p>Estimation of cost of staff involved in the contracting process.</p> <p>Benefits:</p> <p>Difference between the budget value of the proposals and that of the corresponding grant agreements.</p> <p>No/value of awards decisions transformed into grant agreements</p> <p>Maximize the use of available commitments</p>	<p>Effectiveness:</p> <p>Value of grant agreements signed over grant amounts requested in applications (%)</p> <p>Efficiency Indicators:</p> <p>Time-to-Contract</p> <p>Cost effectiveness:</p> <p>Total cost of staff for Stage 2 over total value of grant agreements signed</p> <p>Total cost of staff for Stage 2 over total number of grant agreements signed</p>

Stage 3: Monitoring of the execution. This stage covers the monitoring the operational, financial and reporting aspects related to the project and grant agreement

Main control objectives: ensuring that the operational results (deliverables) from the projects are of good value and meet the objectives and conditions (effectiveness & efficiency); ensuring that the related financial operations comply with regulatory and contractual provisions (legality & regularity); prevention of fraud (anti-fraud strategy); ensuring appropriate accounting of the operations (reliability of reporting, safeguarding of assets and information)

Main risks It may happen (again) that...	Mitigating controls	How to determine coverage, frequency and depth	How to estimate the costs and benefits of controls	Control indicators
<p>Risk of poor financial management by beneficiaries and intermediaries</p> <p>The Commission reimburses non eligible costs; risk of irregular transactions to be proceed</p> <p>The beneficiary unduly obtain financial profit as a result from systemic or recurrent errors, irregularities, fraud, etc.</p> <p>Changes to contracts are not properly documented or authorised</p> <p>Payments are made late (interest claims)</p>	<p>Programme website, guidance notes, ex-ante sector guidance, information meetings with beneficiaries, helpdesk at COM</p> <p>Controls carried out by operational desks on technical implementation report in order to deliver the “conforme aux faits”</p> <p>Controls carried out by financial desks on financial and legal matters in order to deliver the “bon à payer”</p> <p>Network of Financial Initiating Agents (FIA)</p> <p>New checklists have been developed in 2012 to better reflect the roles of the parties involved in the financial circuits</p> <p>Clarifying procedure on verifying the non-profit rule</p> <p>Procedure for registration of exceptions</p> <p>Monthly reporting to management on late payments</p>	<p>Coverage: 100% of files</p> <p>Depth:</p> <p>- for desk checks of expenditure: control with reference to corroborative documents (progress reports and final technical implementation report but no reference to underlying documents in case of desks checks-</p> <p>- for controls carried out for “conforme aux faits”: control with reference to corroborative documents (technical implementation report) and eventually corroborative information incorporating an element of independent oversight (e.g. audit certificate or other verification) but no reference to underlying documents</p> <p>- for controls carried out for “bon à payer”: control without reference to underlying documents, but with reference to and including access to the underlying documentation (e.g. timesheets, invoices, physical verification, etc) corroborative documents (technical implementation report) and eventually corroborative information incorporating an element of independent oversight (e.g. audit certificate or other verification)</p>	<p>Costs: estimation of cost of staff involved in the actual management of running projects.</p> <p>Benefits: budget value of the costs claimed by the beneficiary, but rejected by the project officers. (ineligible amounts in cost claims)</p>	<p>Effectiveness:</p> <p>Budget amount of the cost items rejected (ineligible costs in cost claims) over total value of cost claims</p> <p>Efficiency indicators:</p> <p>Time-to-payment</p> <p>Cost-effectiveness:</p> <p>Total costs for Stage 3 over total number of claims processed</p> <p>Total costs for stage 3 over total value of claims processed</p>

Stage 4: - Ex-Post control

A - Reviews, audits and monitoring

Main control objectives: Measuring the effectiveness of ex-ante controls by ex-post controls; detect and correct any error or fraud remaining undetected after the implementation ex-ante controls (legality & regularity; anti-fraud strategy); addressing systemic weaknesses in the ex-ante controls, based on the analysis of the findings (sound financial management); Ensuring appropriate accounting of the recoveries to be made (reliability of reporting, safeguarding of assets and information)

Main risks It may happen (again) that...	Mitigating controls	How to determine coverage, frequency and depth	How to estimate the costs and benefits of controls	Control indicators for stages 4A and 4B
<p>Risk of irregular expenditure co-financed remaining undetected</p> <p>Risk of fraudulent activities remaining untracked</p>	<p>At any time during the implementation period and for 5 years after partial or final payment, the Commission can carry out on the spot controls and/or audits with substantive testing of a sample of transactions.</p> <p>Ex-post controls are performed by the Shared Resources Directorate for DG Justice. The auditable population is represented by files where final payment was made in year N to N-4.</p>	<p>Coverage: As a general rule, between 15 and 25% of the expenditure of an annual programme checked over the 5 years period.</p> <p>Ex-post controls are made based on a risk assessment</p> <p>Depth: Control with reference to and including access to the underlying documentation that is available at the stage of the process in question, for all inputs and outputs (e.g. timesheets, invoices, physical verification, etc).</p> <p>Possibly, the auditors will also perform controls 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.)</p>	<p>Costs:</p> <p>Estimation of cost of staff involved in the coordination and execution of the audit strategy. Cost of the appointment of audit firms for the outsourced audits.</p> <p>Benefits:</p> <p>Prevented amount (deterrent effect), not quantifiable</p> <p>Detected amount</p>	<p>Effectiveness:</p> <p>Residual error rate</p> <p>Number of projects with errors;</p> <p>Follow-up ratio: Number of files followed up by AOSD within 3 months (target 90%)</p> <p>Efficiency indicators:</p> <p>Success ratio;</p> <p>Recovery Implementation ratio: N° of recovery orders (RO) issued after ex-post audit (target set as 75% by end-March N+1)</p> <p>Cost effectiveness</p> <p>Total (average) annual cost of audits compared with benefits (%)</p>

B - Implementing results from ex-post audits/controls

Main control objectives: Ensuring that the (audit) results from the ex-post controls lead to effective recoveries (legality & regularity; anti-fraud strategy); Ensuring appropriate accounting of the recoveries made (reliability of reporting)

Main risks It may happen (again) that...	Mitigating controls	How to determine coverage, frequency and depth	How to estimate the costs and benefits of controls	Control indicators for stages 4A and 4B
<p>The errors, irregularities and cases of fraud detected are not addressed or not addressed timely</p>	<p>Systematic registration of audit/control results to be implemented by the operational units.</p> <p>Financial and operational validation of recovery in accordance with financial circuits.</p> <p>Authorisation by Authorising Officer</p> <p>Working Group on the coherence of ex-post/ex-ante controls in Shared Resources Directorate</p> <p>Through a regular analysis, the audit team ensures that the recommendations (issue of recovery orders or supplementary payments) were implemented.</p>	<p>Coverage: 100% of final audit results <i>with a financial impact.</i></p>	<p>Costs: estimation of cost of staff involved in the implementation of the audit results.</p> <p>Benefits: corrected amount.</p>	<p>Please refer to the indicators above for stages 4A and 4B</p>

ICT 2 - Procurement direct management

Stage 1: Procurement procedure

A - Planning Needs assessment & definition of needs

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

Main risks It may happen (again) that...	Mitigating controls	How to determine coverage, frequency and depth	How to estimate the costs and benefits of controls	Control indicators for stages 1A and 1B
<p>Precise procurement needs not clearly defined Inappropriate choice of procurement procedure and calculation of threshold due to the in-depth knowledge necessary. Procurement is highly regulated. Detailed rules exist with even more in depth guidance based on experience and jurisprudence of court judgements The best offer/s are not submitted due to the poor definition of the tender specifications Technical options can be influenced by political considerations (large scale IT systems)</p>	<p>Procurement needs are clearly defined and justified from an economic or operational point of view and approved by the Authorising Officer. Technical training in procurement. Ex-ante sector ensures continuous support in procedural matters Financial circuits involving ex-ante verifications with procedural expertize New checklists have been developed in 2012 to better reflect the roles of the parties involved in the financial circuits Selection criteria clearly defined and approved by the Authorising officer</p>	<p>Coverage: 100% of calls for tender Frequency: every time necessary, during the preparation of a call</p>	<p>Costs: estimation of cost of staff involved Benefits: Enough and good quality offers received, (partly quantifiable)</p>	<p>Effectiveness: Number of projected tender cancelled; Numbers of “valid” complaints or litigations cases filed Efficiency/cost-effectiveness: average cost per tender</p>

B – Evaluation and selection of the offers

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

<p>Main risks It may happen (again) that...</p>	<p>Mitigating controls</p>	<p>How to determine coverage, frequency and depth</p>	<p>How to estimate the costs and benefits of controls</p>	<p>Control indicators for stages 1A and 1B</p>
<p>Risk of delay and lengthy evaluation process;</p> <p>Insufficient quality of the evaluation report, which may have impact on the award decision; errors or mismanagement risk costing substantial resources (human and financial), if they are contested, even unsuccessfully, especially if they reach the courts;</p> <p>Conflict of interests</p> <p>Non-compliance with legal and regulatory formalities (publication, transparency, time limits, opening of tenders, etc.)</p> <p>The risk of over-dependency of contractors is high due to the limited number of economic providers/need for specialist</p>	<p>An evaluation committee is set up to prepare the selection of the contractors, except for low value contracts; An advisory body is consulted with regard to procurement files on a mandatory/voluntary basis (HPC); adequate communication to unsuccessful tenderers.</p> <p>Declaration of lack of conflict of interest (required for each member of committee but also for the manager); Every member of staff with significant financial responsibility may be defined as occupying a “sensitive post”. Staff should not occupy a sensitive post for more than five years.</p> <p>Transparency measures: calls for tender are published in the Official Journal and on the Europa website. Updated information and FAQ are posted regularly on the website; physical protection of the offers submitted (locked room and segregation between original and copies)</p> <p>Procedures are set up to analyse the risk of over-dependency of contractors. Sound competition among providers together with quality and affordability of services of providers is ensured by periodic reviews (development of prices, business trends, main players, market shares, any barriers to entrants, etc)</p>	<p>Coverage: 100% of the offers analysed.</p> <p>Depth: all documents transmitted; in terms of justification of the draft award decision</p> <p>100% of the members of the opening committee and the evaluation committee</p> <p>100% checked.</p>	<p>Costs: estimation of staff costs involved</p> <p>Benefits: Compliance with Financial Regulation (rejected files HPC) Number of litigations/complaints to courts/ Ombudsman. The best offer is selected (Quantified benefit).</p>	<p>Please refer to indicators above for stages 1A and 1B</p>

Stage 2: Financial transactions monitoring

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

Main risks It may happen (again) that...	Mitigating controls	How to determine coverage, frequency and depth	How to estimate the costs and benefits of controls	Control indicators
<p>Non-compliance with the legal and regulatory requirements</p> <p>Lack of necessary experience and skills or inadequate arrangements for monitoring the contractor's performance and for verifying the final services/supplies work</p> <p>Delayed payments causing late interests</p>	<p>Standards contracts of DG BUDG are used. The specific models developed for the IT contracts have been also approved by SecGen and DG BUDG; computerized accounting system is used to record the contracts and the transactions related to the contracts in ABAC.</p> <p>The financial circuit put in place in DG Justice is model 3 "decentralized circuit with central counterweight", where the operational initiation and verification functions as well as the financial initiation function are executed within each directorate.</p> <p>The ex-ante financial verification is performed by the Shared Budget, Control and Ex-post audits Unit (SRD.01)</p> <p>Monthly follow-up of time to pay through reporting (monitoring of invoices due to avoid late interest)</p>	<p>Coverage: 100% of the contracts are controlled.</p> <p>Depth: all documents transmitted</p>	<p>Costs: estimation of cost of staff involved</p> <p>Benefits: Amount of irregularities, errors and overpayments prevented by the controls (credit notes) Partly non-quantifiable</p>	<p>Effectiveness:</p> <p>Amount of penalties</p> <p>Amount of errors and regularities averted over total payments (credit notes/recovery context)</p> <p>Efficiency:</p> <p>Time-to-pay</p> <p>Late interest payment</p> <p>Cost-efficiency</p> <p>% of costs over annual amount disbursed</p>

Stage 3: Supervisory measures

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

Main risks It may happen (again) that...	Mitigating controls	How to determine coverage, frequency and depth	How to estimate the costs and benefits of controls	Control indicators
An error or non-compliance with regulatory and contractual provisions, including technical specifications, or a fraud is not prevented, detected or corrected by ex-ante control, prior to payment	<p>Verification that processes are working as designed:</p> <ul style="list-style-type: none"> Risks are assessed at the programme level within the yearly risk analysis exercise. A follow-up of critical risks for DG Justice is ensured every 6 months. For important risks corrective measures were taken to mitigate the risks Internal control standard were complied with. <p>All audit instances are entitled to perform audits on procurement (Court of Auditors, Internal Audit Service, and Internal Audit Capacity).</p>	<p>Coverage: Court of Auditors' audit based on MUS sample on all payments in a year and the IAS audit plan</p> <p>Depth: review of the procedures implemented (procurement and financial transactions)</p>	<p>Costs: estimation of cost of staff involved.</p> <p>Benefits: Amounts detected associated with fraud & error.</p> <p>Deterrents & systematic weaknesses corrected.</p>	Results of the assessment of implementation of Internal Control Standard 8 "Processes and procedures"

ICT 3 – Expenditure in indirect management

Stage 1: - Operations: monitoring, supervision, reporting Ex-Post controls

Main control objectives: Ensuring that the Commission is fully and timely informed of any relevant management issues encountered by the entrusted entity, in order to possibly mitigate any potential financial and/or reputational impacts (legality & regularity, sound financial management, true and fair view reporting, anti-fraud strategy).

Main risks It may happen (again) that...	Mitigating controls	How to determine coverage, frequency and depth	How to estimate the costs and benefits of controls	Control indicators for stages 4A and 4B
<p>The agency does not respect the provisions of Article 60.2 of FR, Art. 38 of RAP</p> <p>The agency does not respect the provisions of Article 60.3 of the FR</p>	<p>The agencies are audited by IAS of the Commission (as internal auditor) and by the Court of Auditors (as external audit)</p> <p>The COM is member in the Management Board of the agency</p> <p>The Memoranda of Understanding signed with agencies regulate financial relations between the parent DG and the agency</p>	<p>Coverage: 100% of agencies are supervised</p> <p>Frequency: management board meetings, yearly CoA report; IAS audits</p>	<p>Costs: estimation of cost of staff involved in the actual monitoring of the agency</p> <p>Benefits: the (average annual) total budget amount entrusted to agency</p>	<p>Effectiveness:</p> <p>Number of serious IAS and CoA findings of control failures; budget amount of the errors concerned;</p> <p>Efficiency/cost-efficiency indicators:</p> <p>Cost over amount entrusted to agency</p>

Stage 2: Commission contribution: payment or suspension/interruption

Main control objectives: Ensuring that the Commission fully assesses the management situation at the entrusted entity, before either paying out the (next) contribution for the operational and/or operating budget of the entity, or deciding to suspend/interrupt the (next) contribution (legality & regularity, sound financial management, anti-fraud strategy).

Main risks It may happen (again) that...	Mitigating controls	How to determine coverage, frequency and depth	How to estimate the costs and benefits of controls	Control indicators
The Commission does not suspend/interrupt payments despite the detection of systemic errors which call into question the reliability of the ICS of the agency, the L&R of transactions.	Memoranda of Understanding signed with each agency specify the conditions for interruptions/suspension of payments	Coverage: 100% of the payments made to agencies Frequency: quarterly. Depth: information provided by internal/external auditors	Costs: estimation of cost of staff involved in the OV and FV of the contribution payments/recoveries Benefits: the (average annual) total budget amount entrusted to the agency; budget recovered or not paid out;	Effectiveness: Budget amount of the suspended/interrupted payments Efficiency indicators: Time-to-pay Cost effectiveness: Average cost per agency

Annex 9: EVALUATIONS AND OTHER STUDIES FINALISED OR CANCELLED DURING THE YEAR

No	Title	Reason ¹	Scope ²	Type ³	Associated DGs	Costs (EUR)	Cancel. Y	Comments ⁴	Reference ⁵
I. Evaluations finalised or cancelled in 2016									
a. Evaluations finalised in 2016									
	Ex-post evaluation of the Consumer Rights Awareness Campaign	FR	The main objective is to measure the impact of the information campaign on the target audience and draw lessons for future information campaigns.	C		144 225			not published
	Ex-ante evaluation of communication actions related to Alternative Dispute Resolution and Online Dispute Resolution	O	The objective of the ex-ante evaluation is to identify the right tools and actions to raise awareness about the availability of the ODR platform and the benefits that derive from its use both to consumers and traders alike.	C		132 925		(study finalised end of 2015)	not published
	Evaluation of the Information Campaign "Raising consumers' awareness when they take out credit"	O	Measure the impact of the information campaign to raise consumers' awareness about the rights that they have when they take out credit as granted to them by the Consumer Credit Directive (2008/48/EC) in Austria and Czech Republic. Draw lessons that may be used for future information campaigns about the same or similar topics in other Member States.	C		97 750			not published
b. Evaluations cancelled in 2016									
	Evaluation of the Commission Recommendation on pay transparency and the gender pay gap	O	Report on measures taken by Member States following the 2014 Recommendation on the pay gap -C(2014) 1405 -final measuring the impact of the Recommendation	R			Y	Thematic report on pay transparency to be delivered by the Commission network of legal experts in spring 2017.	
II. Other studies finalised or cancelled in 2016									
a. Other studies finalised in 2016									
	Study on consumer vulnerability in key sectors	O	Establishes broad-based concept of consumer vulnerability, and applies it in key sectors (energy, financial services, online environment)	O				Relevant for revision of UCPD Guidance, Fitness Check in Consumers law, DSM, Energy Union	EB-01-16-075-EN-N
	Behavioural study on online marketing to children	O	Documents existing practices, tests impact of online marketing on children behaviour and possible remedies	O				Relevant for revision of UCPD Guidance, Fitness Check in Consumers law (UCPD), DSM	EB-02-16-118-EN-N
	Behavioural study on consumer attitudes towards Terms and Conditions	O	Tests ways to increase consumer awareness and trust in online Terms and Conditions (domestically and cross-border)	O				Relevant for Fitness Check in Consumers law (UCPD), DSM	http://ec.europa.eu/consumers/consumer_evidence/behavioural_research/consumers_attitudes_terms_conditions/index_en.htm
	Mystery shopping on territorial restrictions and geo-blocking in the European Digital Single Market	O	Mapping the prevalence and patterns of geo-blocking practices in the Digital Single Market. Will inform the COM initiative to tackle unjustified geo-blocking due in 2016	O	CNECT			Relevant for DSM- geo-blocking	http://ec.europa.eu/consumers/consumer_evidence/market_studies/geo-blocking/index_en.htm
	Study on measuring consumer detriment in the EU	O	Development and testing of operational methodology to assess consumer detriment across markets	O				Forthcoming: publication planned for 2017	
	Surveys on consumers and retailers 2016	O	For the 2017 Consumer Conditions Scoreboard	O				Forthcoming: will be available jointly with the publication of the Consumer Conditions Scoreboard	Publication planned for 2017

Annex 9: EVALUATIONS AND OTHER STUDIES FINALISED OR CANCELLED DURING THE YEAR

No	Title	Reason ¹	Scope ²	Type ³	Associated DGs	Costs (EUR)	Cancel. Y	Comments ⁴	Reference ⁵
	Study on the further development of the test protocol for the base slip of leaning ladders	O	The study's purpose is to obtain empirical evidence of test methods in the standard for the safety of ladders with the aim of improving this standard	O				Forthcoming: publication in EU-bookshop expected 2/2017.	Publication planned for 2017
	Study on enforcement authorities' powers in the application of Regulation 2006/2004/EC on Consumer Protection Cooperation	O	This study is the final element to complete the review of the CPC Regulation by a full mapping of the enforcement systems of MS	O					Publication planned for 2017
	Consumer Market Study on misleading "free" trials and subscription traps for consumers in the European Union	O	To prepare enforcement actions to reduce the exposure of consumers to the misleading marketing of online free trials. The study will help the CPC network to better understand the issues, format, prevalence of these frequent misleading practices involving many traders	O					Publication planned for 2017
	Analysis and comparative review of equality data collection practices in the European Union	O	Study regarding Member States' collection of equality data to map existing legal framework and practices within the European Union, update the European Handbook on Equality Data and produce a comparative review of Member States' equality data collection practices.	O		450 000			Publication planned for 2007
	The business case of diversity for enterprises, cities and regions with focus on sexual orientation and gender identity	O	Contract is to investigate the benefits and potential business case for organisations and public authorities to pursue LGBTI friendly policies and to identify good practices by businesses and (local) authorities that actively promote LGBTI equality with economic benefits as a possible result.	O		200 000			Publication planned for 2017
	Review of the provisions on remuneration under the Directive 2013/36/EU (Capital requirements Directive) and Regulation (EU) No 575/2013 (Capital Requirements Regulation)	L	As required by Art 161(2) of Directive 2013/36/EU, the review is to assess - taking into account international developments - the efficiency, implementation and enforcement of the remuneration provisions, existence of any lacunae arising from the application of the principle of proportionality, and the impacts of the maximum ratio rule on financial stability, competitiveness and staff working in 3rd country subsidiaries. The review shall in particular assess whether the maximum ratio rule should continue to apply to the staff in 3rd countries.	R					http://ec.europa.eu/justice/civil/files/company-law/external_study_en.pdf
	Study on a new approach to business failure and insolvency. Comparative legal analysis of Member State's relevant provisions and practices.	L	Business and consumer insolvency, including evaluation of the implementation of the 2014 Insolvency Recommendation	R	DG FISMA, DG GROW	317 913		Input to the impact assessment of the legislative initiative on business insolvency. Delivered in 2016.	Published at: http://ec.europa.eu/justice/civil/files/insolvency/insolvency_study_2016_final_en.pdf
	Study on the law applicable to insurance contracts	L	Insurance contracts, in particular effectiveness of Rome I regulation on conflict-of-laws issues relating to insurance contracts			120 000		Report required by Article 27 (1) of Rome I Regulation. Delivered in 2016 - approval pending	Publication planned for 2017

Annex 9: EVALUATIONS AND OTHER STUDIES FINALISED OR CANCELLED DURING THE YEAR

No	Title	Reason ¹	Scope ²	Type ³	Associated DGs	Costs (EUR)	Cancel. Y	Comments ⁴	Reference ⁵
	Study on the service of documents - comparative legal analysis of the relevant laws and practices of the Member States	L	To collect information/data about certain aspects of national law and practice relating to the service of judicial and extrajudicial documents and to put forward recommendations for minimum standards in these areas			103 838		This study was a component of the broad evaluation exercise preparing the legislative review of the Regulation (EU) 1393/2007 on service of documents which exercise was launched by the COM evaluation report of December 2013 on the Regulation. The aim of the study is to give input to possible impact assessment/legislative proposal. Study was delivered in 2016	Published at: http://ec.europa.eu/justice/civil/files/studies/service_docs_en.pdf
	Study on the Law Applicable to Companies	L	The purpose of the study is to determine the practical problems caused by the lack of harmonisation of the conflict-of-law rules concerning companies and the possibilities for harmonising such rules, if necessary in combination with a harmonisation of certain matters of procedure or substantive law.	R		329 400		Delivered on 3/5/2016 - CAB approval pending	Publication planned for 2017
	Study for an evaluation and implementation of Directive 2008/52/EC – the ‘Mediation Directive’	L	The initial study should be updated with regard to the factual information contained in all 28 national reports and on that basis - where necessary - the final report of the previous study.	R		52 650		Delivered on 18/4/2016	https://bookshop.europa.eu/en/study-for-an-evaluation-and-implementation-of-directive-2008-52-ec-the-mediation-directive--pbDS0216335/
	European e-Justice Portal (Making the e-Justice Portal more user friendly)	O	Usability study to improve the interface and information architecture of the e-Justice Portal so that users will be facilitated in finding information and services.	C	JUST, COMM			Technical study that will be subsequently implemented in the e-Justice Portal	not published
	Business Failure and Insolvency	O		O		437 950		Flash Eurobarometer 442 - delivered in October 2016	Published at: https://data.europa.eu/euodp/en/data/dataset/S2133_442_ENG
	Gender-based violence	O	Special Eurobarometer on gender-based violence	O	COMM	327 000		Special Eurobarometer 449	Catalogue n°: DS-04-16-930-EN-C ISBN: 978-92-79-62901-3
	New Start on Work-Life Balance	L	Updating the Study on the costs and benefits of possible EU measures on paternity leave	R					not published
	New Start on Work-Life Balance	L	Updating the Study on the costs and benefits of possible EU measures on carers' leave	R					not published
	Special Eurobarometer on Media pluralism and democracy	O	The survey explored citizen's opinions about diversity of views available in the media, and their perceptions of media independence. The survey fed into discussions for the Annual Colloquium 2016 "Media pluralism and democracy)	C				in preparation for the Annual Colloquium on fundamental rights 2016	Catalogue number EU Bookshop: DS-06-16-202-EN-N

Annex 9: EVALUATIONS AND OTHER STUDIES FINALISED OR CANCELLED DURING THE YEAR

No	Title	Reason ¹	Scope ²	Type ³	Associated DGs	Costs (EUR)	Cancel. Y	Comments ⁴	Reference ⁵
	Study on economic impacts of divergences between insolvency frameworks of Member States	L	Business and consumer insolvency	R	DG FISMA, DG GROW	300 000			Published at: http://ec.europa.eu/newsroom/just/item-detail.cfm?item_id=50043
	Perceived judicial independence (general public and companies)	O	To feed the 2016 EU Justice Scoreboard	O					FL435 and FL436 http://ec.europa.eu/justice/effective-justice/scoreboard/index_en.htm
	CEPEJ multiannual contract	O	To feed the 2016 EU Justice Scoreboard	O					2015 Study - http://ec.europa.eu/justice/effective-justice/scoreboard/index_en.htm
	Study on the necessity and feasibility to include pseudonymised fingerprints and other identification data on third country nationals in the ECRIS framework	O	The objective of the study is to perform an analysis of the technical possibilities to process alphanumeric data and pseudonymised fingerprints of third country nationals in the ECRIS framework	O		240 000			The report will be published in the context of the preparations for a new legislative proposal to be adopted in 2017
b. Other studies cancelled in 2016									
	Gender-based violence (FGM)	O	Study on migrants' perceptions and attitude towards FGM (follow-up of the Communication on FGM COM(2013) 833 final)				Y	Will be integrated in regular DAPHNE calls for proposals for civil society organisations	
	Non-discrimination	O	Monitor trends on discrimination in the EU (by comparing it with results of the 2015 Eurobarometer) with regard to specific questions	O			Y	Special Eurobarometer on Religion and Ethnicity was not implemented	
	New Start on Work-Life Balance	L	Updating part on costs and benefits of flexible working arrangements of EMPL study on flexible working	R			Y	Covered by the IA study on WLB.	
	New Start on Work-Life Balance	L	Updating part on costs and benefits of possible EU measures on parental leave of 2008 Study on costs and benefits of the reconciliation measures	R			Y	Covered by the IA study on WLB.	
	Eurobarometer on the awareness of the EU Charter of Fundamental Rights (replaced by Special Eurobarometer on Media Pluralism and Democracy)	O	Fundamental Rights	C			Y	Replaced by a Special Eurobarometer on media pluralisms and democracy	
	Study on putting in place a secure electronic communication and registration tool to be used by the contact points of the European Judicial Network in civil and commercial matters	O	Assessment of the needs for contact points, mapping of existing tools and development of technical options including a financial assessment.	O	GROW, DIGIT		Y	Based on report COM(2016)129, the EJM decided to use the Internal Market Information System (IMI) making the study redundant.	
	Family law	O	Collection of data concerning in particular divorce, maintenance, property regimes of couples, recognition of civil status, family mediation, vulnerable adults	O			Y	Special Eurobarometer not implemented	

¹ Reason why the evaluation/other study was carried out, please align with Annex 3 of the MP 2016. The individual symbols used have the following meaning:

L - legal act, LMFF - legal base of MFF instrument, FR - financial regulation, REFIT, REFIT/L, CWP - 'evaluate first', O - other (please specify in Comments)

² specify what programme/regulatory measure/initiative/policy area etc. has been covered

³ FC – fitness check, E– expenditure programme/measure, R – regulatory measure (not recognised as a FC), C – communication activity, I – internal Commission activity, O – other (please specify in comments)

⁴ Allows to provide any comments related to the item (in particular changes compared to the planning). When relevant, the reasons for cancelling evaluations/other studies also needs to be explained in this column

⁵ For evaluations the references should be 1) number of its Evaluation Staff Working Document and number of the SWD's executive summary; 2) link to the supportive study of the SWD in EU bookshop.

For other studies the references should be the link to EU bookshop or other reference where the 'other study' is published via different point.

L
LMFF
FR
CWP
REFIT
REFIT/L
O

FC
E
R
C
I
O

1. INDICATORS ON LEGALITY AND REGULARITY

Grant management				
		2016	2015	
Stage 1	1	Available budget for calls	73.518.258 €	68.928.752 €
	2	Number of projects evaluated	1082	1159
	3	Value of projects evaluated	428.417.554 €	402.443.994 €
	4	Number of projects selected	190	172
	5	Value of projects selected	66.672.248 €	64.182.304 €
	6	budget selected projects/available budget	90,69%	93,11%
	7	Number of litigation cases/redress procedures	0	0
	8	Higher performance of reaching the objectives	-70 days	-39 days
	9	Better quality results of the calls	+2,81	-3,53 points
	10	Average points selected/average total eligible	1,17	1,31
	11	% of applications with award score ≥ 70	64,15%	46,62%
Stage 2	12	EC budget available	73.518.258 €	68.928.752 €
	13	EC Contribution requested in the awarded application	69.469.358 €	64.182.304
	14	Number of Grant agreements signed	190	172
	15	Value of Grant agreements signed	66.672.248	61.304.686 €
	16	Average amount of a grant signed	350.907 €	356.423 €
	17	Reduction in EC contribution	2.797.110 €	2.877.618 €
	18	% Reduction in EC contribution	-4,03%	-4,48%
	19	% of late payments	11,32 %	12,78 %
Stage 3	20	Invoice registration time (days)	2	2
	21	Exceptions	0	0
	22	No of unfavourable ex-ante opinions	0	0
	23	No of files transmitted to OLAF	0	4
	24	Exceptions	0	1
	25	Budget implementation rate	90,69%	88,94%
	26	Number of final cost claims processed	229	265
	27	Value of final cost claims processed	55.136.680 €	63.791.765 €
	28	Value of pre-financed amounts cleared	41.715.311 €	53.573.263 €
	29	RAL Initial Amount	56.760.785 €	47.904.669 €
Stage 4	30	RAL Final Amount	57.021.207 €	56.760.785 €
	31	% RAL Reduction	-0,46 %	-18,49 %
	32	Number of PF recoveries	63	69
	33	Value PF recoveries	5.000.323 €	3.183.599 €
	34	Number of payments made	383	365
	35	Amount of payments made	57.766.332 €	45.289.503 €
	36	Ineligible amount	1.599.924 €	1.518.370 €
	37	Share of ineligible amount	2,90 %	2,38 %
	38	Amount paid	8.798.410 €	8.700.499 €
Stage 5	39	Number of ex-post controls	43	34
	40	Average amount of a grant audited	337.226 €	529.553 €
	41	% of projects audited that contained errors detected by ex-post controls	86,05%	94,12%
	42	Absolute value of proposed correction	660.323 €	653.068 €
	43	Errors prevented for audited population (savings of the total EU grant paid)	5,31%	3,13%
	44	Errors detected for the audited population (in% of the total EU grant paid (in addition to the errors already prevented)	4,55%	3,63%
	45	No of projects with errors	35	32
	46	Follow-up ratio: number of files followed by AOSD within 3 months (target 90%)	81%	97%
	47	Implementation ratio for recovery orders	70%	91%
	48	Benefits of controls compared as a % of the total grant value	9,86%	6,75%
	49	Cumulated detected error rate (2007-2020)	3,41%	3,51%
	50	Cumulated residual error rate (2007-2020)	2,72%	2,86%
Procurement				
		2016	2015	
Stage 1	1	Number of tenders	10	12
	2	Number of contracts signed	149	169
	3	Value of contracts signed	25.999.793 €	23.529.986 €
	4	Unfavourable opinions by JPC	0	0
	5	Unfavourable ex-ante opinions	0	0
	6	HPC rejected files	0	0
	7	Foreseen tenders cancelled	0	0
Stage 2	8	Exceptions and non-compl.events	4	1
	9	Number of payments made	633	652
	10	Value of payments	21.186.481 €	21.948.321 €
	11	Redress procedures	0	0
Indirect management				
		2016	2015	
Stage 1	1	Payment amount suspended or interrupted	0 €	0 €
	2	Number of payment	13	13
	3	Amounts paid (decentralised agencies)	72.526.737 €	62.675.351 €
	4	Amount paid (SLA/AAR)	1.212.362 €	1.004.041 €
	5	Amount paid (executive agencies)	1.737.164 €	1.740.715 €
	6	Total amount paid	75.476.263 €	65.420.107 €

2. INDICATORS ON COST-EFFECTIVENESS

Grant management

		2016	2015	
	1	Overall Cost of controls / payments made	8,8%	10,7%
Stage 1	2	Total costs "Programming, evaluation and selection"	1.740.569 €	1.887.088 €
	3	Cost per project evaluated	1.609 €	1.627 €
	4	Cost / value of projects evaluated	0,41%	0,47%
Stage 2	5	Total costs "Contracting"	914.027 €	673.850 €
	6	Cost per grant signed	4.811 €	3.744 €
	7	Costs / value of grants signed	1,37%	1,10%
Stage 3	8	Total costs "Monitoring execution"	1.595.536 €	1.510.303 €
	9	Costs per payment made	4.166 €	3.480 €
	10	Costs / value of payments made	2,76%	3,33%
Stage 4	11	Total costs "Ex-posts controls"	856.774 €	787.922 €
	12	Average cost of an ex-post control	17.424 €	23.174 €
	13	Costs of audits / absolute errors detected	113%	121%
	14	Amount of grant audited	14.500.738 €	18.004.809 €
	15	Cost of "Ex-posts controls" / Value of grants audited	5,91%	4,38%

Procurement

		2016	2015	
	1	Overall Cost of controls / payments made	5,2%	4,8%
Stg 1	2	Total costs "Procurement procedure"	366.679 €	315.249 €
	3	Average cost per tender	36.668 €	26.271 €
Stage 2	4	Total costs "Financial transactions/monitoring"	742.314 €	734.697 €
	5	Cost per payment made	1.173 €	1.127 €
	6	Credit notes issued	872.950 €	235.148 €

Indirect management

		2016	2015	
	1	Overall Cost of controls / payments made	0,8%	1,0%
S2	2	Total costs "Monitoring and supervision"	580.443 €	587.083 €
S1	3	Total costs / "Commission contributions"	41.677 €	39.139 €

3. INDICATORS ON EFFICIENCY

Grant management

		2016	2015
	Time-to-inform (days) (time-to-award)	110	141
	Time-to-grant (days)	87	62
	Time-to-pay (days)	37	40

Procurement

		2016	2015
	Time-to-pay	20	19

Indirect management

		2016	2015
	Time-to-pay decentralised agencies (days)	10	11

ANNEX 12: JUST.01 Performance tables

In the annex -> exhaustive (ALL objectives/indicators)

In the body of the AAR -> selective ("KEY" achievements/objectives)

To report on the latest known data for the impact indicators, DGs must use the data made available by SG on the Collaborative Workspace.

Annex to the Strategic Plan: Performance tables

General objective 2 A Connected Digital Single Market					
Impact indicator: Aggregate score in Digital Economy and Society Index (DESI) EU-28					
Explanation: DESI is a composite index that summarises relevant indicators on Europe's digital performance and tracks the evolution of EU Member States in digital competitiveness. The closer the value is to 1, the better. The DESI index is calculated as the weighted average of the five main DESI dimensions: 1 Connectivity (25%), 2 Human Capital (25%), 3 Use of Internet (15%), 4 Integration of Digital Technology (20%) and 5 Digital Public Services (15%).					
Source of the data: DESI					
Baseline (2015)	Target (2020)			Latest known result (2016)	
0..50	Increase			0.52	
Specific objective 2.1 Highest level of protection of privacy and personal data				Related to spending programme Rights, Equality and Citizenship	
Result indicator: awareness of individuals and Member States of the new data protection rules incl. existence of supervisory authorities					
Source of data: EU Commission					
Baseline (2016)	Interim Milestone (not applicable)		Target (2022)	Latest known result (2015)	
Current awareness level: 37% have heard about a public authority in their country responsible for protecting their rights regarding their personal data (Eurobarometer 431 (2015))			>50%	37%	
Planned evaluations: 2022 Commission evaluation report on the General Data Protection Regulation					
Result indicator: Number of Schengen evaluations per year					
Source of data: : EU Commission					
Baseline (2015)	Interim Milestone			Target (2019) Schengen evaluation, annual planning agreed with MS	Latest known result
	2016	2017	2018		
5	6	6	5	Total of 27 (+5)	6
Planned evaluations: Commission evaluation of the Schengen evaluations (Art. 22 of Council Regulation (EU) No 1053/2013).					

Specific objective 2.2 Increased share of businesses and consumers engaging in online cross-border trade of goods and digital content, enhanced consumer and business confidence in buying and selling online, as well as in accessing and making use of digital content		Related to spending programmes Rights, Equality and Citizenship Consumer	
Result indicator: Variation in business confidence in cross-border online selling			
Source of data: Retailers' survey informing Consumer Conditions Scoreboard, frequency: biennial			
Baseline (2014) ¹	Interim Milestone	Target (2020)	Latest known result
For about 52.3% ² of retailers currently selling online, <i>differences in national consumer protection rules</i> and/or <i>differences in national contract law</i> ³ are important obstacles to developing their sales to other EU countries	n/a	By 2020, the share of EU retailers (who sell online) still reporting that differences in national consumer protection rules and/or in national contract law represent important obstacles to selling online to other EU countries should decrease significantly. This decrease could reach up to 10 percentage points. ⁴	47.8

¹ The correct reference year is 2014, when the data was collected (survey on Retailers attitudes towards cross-border trade and consumer protection, conducted in 2014). The results were published in the 2015 edition of the Consumer Conditions Scoreboard.

² Due to a change in the methodology of the survey on which the indicator is based upon ("Retailers attitudes towards cross-border trade and consumer protection"), the figure for 2014 is not directly observable with the new methodology. It is therefore estimated on the basis of the change observed between 2014 and 2016 (computed on data based on a comparable methodology).

³ The indicator refers to the % of respondents who agreed on the fact that any of the two obstacles is important.

⁴ The definition of the target was slightly amended to be coherent with the definition of the indicator.

Planned evaluations: The Commission will launch a monitoring and evaluation exercise to assess how effectively the two Directives will achieve their objectives no sooner than 5 years after the entry into application of the Directive on certain aspects concerning contracts for the online and other distance sales of goods and the Directive on certain aspects concerning the supply of digital content,			
Result indicator: Variation in consumers' confidence in cross-border online shopping. Source of data: Consumer survey informing the Consumer Conditions Scoreboard, frequency: biennial			
Baseline (2014)	Interim Milestone n/a	Target (2020)	Latest known result
36.7% ⁵ of EU consumers feel confident about purchasing online from another EU country	n/a	Increase of about 5 percentage points.	57.8
Planned evaluations: The Commission will launch a monitoring and evaluation exercise to assess how effectively the two Directives will achieve their objectives no sooner than 5 years after the entry into application of the Directive on certain aspects concerning contracts for the online and other distance sales of goods and the Directive on certain aspects concerning the supply of digital content.			
Result indicator: Increase in the share of businesses and consumers engaging in cross-border trade online Source of the data: for <u>businesses</u> : Retailer survey informing Consumer Conditions Scoreboard (biennial), for <u>consumers</u> : Annual survey on ICT usage in households and by individuals, Eurostat			
Baseline (2014) ⁶	Interim Milestone n/a	Target (2020)	Latest known result
Businesses: Among all EU retailers, 11% sell online to consumers in other EU countries. Among businesses who sell online, about 29% sell cross-border. Consumers: Among all EU consumers, 15% buy online from another EU country. Among consumers buying online, about 29% buy cross-border.	n/a	Businesses: Increase by 5 percentage points of retailers selling online cross-border. Consumers: Increase the number of online buyers who make cross-border purchases by 5.3 percentage points.	Businesses: Among all EU retailers, 11% sell online to consumers in other EU countries. Among businesses who sell online, about 29% sell cross-border. Consumers: Among all EU consumers, 18% buy online from another EU country. Among consumers buying online, about 32% buy cross-border.

⁵ Due to a change in the methodology of the survey on which the indicator is based upon ("Consumers attitudes towards cross-border trade and consumer protection"), the figure for 2014 is not directly observable with the new methodology. It is therefore estimated on the basis of the change observed between 2014 and 2016 (computed on data based on a comparable methodology).

⁶ The survey on Retailers Attitudes towards cross-border trade and consumer protection was conducted in 2014, though results were reported in the 2015 edition of the Consumer Conditions Scoreboard. Due to a change in the methodology of the survey on which the indicator is based upon ("Consumers attitudes towards cross-border trade and consumer protection"), the figure for 2014 is not directly observable with the new methodology. They are therefore estimated on the basis of the changes observed between 2014 and 2016 (computed on data based on a comparable methodology).

Planned evaluations: The Commission will launch a monitoring and evaluation exercise to assess how effectively the two Directives will achieve their objectives No sooner than 5 years after the entry into application of the Directive on certain aspects concerning contracts for the online and other distance sales of goods and the Directive on certain aspects concerning the supply of digital content.

General objective 4 A Deeper and Fairer Internal Market with a Strengthened Industrial Base

Impact indicator: Intra-EU trade in goods (% of GDP)

Source of the data: Eurostat

Baseline (2014)	Target (2020)	Latest known result (2015)
20.4%* (the baseline was corrected to 20.4 %)	Increase	20.4 %

Impact indicator: Intra-EU trade in services (% of GDP)

Source of the data: Eurostat

Baseline (2014)	Target (2020)	Latest known result (2015)
6.3%	Increase	6.5 %

Specific objective 4.1 Empowered energy consumers and enhanced competition through improved and comparable information on billing and offers, and improved tools for comparison and switching. A coherent framework to protect and incentivise consumers to opt for smarter consumption modes and self-generation.

Related to spending programme Consumer Programme

Result indicator Performance of consumer energy markets as measured by the Consumer Markets Scoreboard

Source of the data: Consumer Markets Scoreboard

Baseline (2013)	Interim Milestone		Target 2020	Latest known result
	2015	2017		
73	76.7 ⁷	77	78	76.7 (2015)

Planned evaluations: Mid-term Evaluations of the Consumer Policy and of the Consumer Programme 2014-2020 – to be completed in September 2017; final evaluation of Consumer Programme 2014-2020, expected for 2021)

Result indicator: Comparability of offers by different electricity providers (on a scale from 0 to 10)

Source of data: Market Monitoring Survey, reported in Consumer Markets Scoreboard

Baseline (2013)	Interim Milestone		Target 2020	Latest known result
	2015	2017		
6.4	6.7	6.9	7	6.7 (2015)

Planned evaluations: Mid-term Evaluations of the Consumer Policy and of the Consumer Programme 2014-2020 – to be completed in September 2017; final evaluation of Consumer Programme 2014-2020, expected for 2021

Result indicator: Comparability of offers by different gas providers (on a scale from 0 to 10)

Source of data: Market Monitoring Survey, reported in Consumer Markets Scoreboard

Baseline (2013)	Interim Milestone		Target 2020	Latest known result
	2015	2017		
6.6	7.1	7.2	7.3	7.1 (2015)

Planned evaluations: Mid-term Evaluations of the Consumer Policy and of the Consumer Programme 2014-2020 – to be completed in September 2017; final evaluation of Consumer Programme 2014-2020, expected for 2021

Specific objective 4.2 Consolidated and improved consumer rights in the internal market

Related to spending programmes Rights, Equality and Citizenship Consumer

Result indicator: consumer conditions index (data available every two years):

- Knowledge and Trust
- Compliance and Enforcement
- Complaints and Dispute Resolution

Source of data: Consumer and retailer surveys for the Consumer Conditions Scoreboard (biennial frequency)

⁷ Data for 2015 will be reported in the 2016 Consumer Markets Scoreboard and refer to EU28. This indicator is monitored with a biennial frequency.

Baseline (2014)	Interim milestone (2018)	Target (2020)	Latest known result (2016)
Knowledge and Trust 55.13 (out of 100)	58	60	59.30
Compliance and Enforcement 71.97 (out of 100)	74	75	75.00
Complaints and Dispute Resolution 58.96 (out of 100)	61	63	60.34
Planned evaluations: Consumer Policy: Ex-post and Mid-term Evaluations of the Consumer Policy and of the Consumer Programmes – to be completed in September 2017			
Specific objective 4.3 Consolidated and enhanced product safety through effective market surveillance in the Union		Related to spending programme Consumer	
Result indicator: ratio number of reactions/number of RAPEX notifications (serious risks)			
Source of data: GRAS-RAPEX system			
Baseline (2010)	Interim Milestone 2017	Target 2020 (increase of 15 % as agreed in the Consumer Financial Programme 2014-2020)	Latest known result
1.07	1.15	1.23	1.80
Planned evaluations: Consumer Policy: Ex-post and Mid-term Evaluations of the Consumer Policy and of the Consumer Programmes – to be completed in September 2017			
Specific objective 4.4 Easier resolution of disputes and recovery of claims, including across borders, for consumers and individuals		Related to spending programmes Rights, Equality and Citizenship Consumer	
Result indicator: use of (a) European Small Claims procedure, (b) European Account Preservation Order			
Source of data: impact assessments			
Baseline	Interim Milestone 2018	Target (2020)	Latest known result
(a) 2013: current number of claims filed is 3500 per year ESCP will enter into force in mid-2017	Additional 860 claims filed per year (increase of around 25% compared to the current number)	10,000 claims filed	3500 claims per year (2013)
(b) 2010: 11,6% of companies engaged in cross-border trade have applied for a preservation order Regulation applies as from January 2017	n/a	19,2% of companies engaged in cross-border trade would have applied for a preservation order	11, 6 % of companies engages in cross-border trade have applied for a preservation order (2010)
Planned evaluations: EAPO: by 18 January 2022, the Commission will submit a report on the application of the Regulation; ESCP: The Commission shall present the report on the operation of the amended Regulation by 15 July 2022.			
Specific objective 4.5 Less differences between national insolvency regimes with the aim of increasing recovery rates, reducing time and costs of insolvency proceedings; and giving honest but bankrupt individuals a second chance in a reasonable time frame		Related to spending programme(s) Justice	

Result indicator: recovery rates in insolvency proceedings Source of data: World Bank (Doing Business Index)				
Baseline (2014)	Interim Milestone Not applicable.		Target (2020)	Latest known result (June 2016)
- maximum Finland: 90.1 cents on the dollar - minimum: Greece 34.9 cents on the dollar	(n/a)		Increase the average of recovery rate per Member State	- maximum Finland: 90.3 cents on the dollar minimum: Croatia 33.7 cents on the dollar (No new EU legislation in place during the reference period)
Result indicator: average number of days of insolvency proceedings Source of data: World Bank (Doing Business Index)				
Baseline (2014)	Interim Milestone Not applicable.		Target (2020)	Latest known result (June 2016)
Shortest -Ireland: 0.4 years, Longest – Greece: 3.5 years	n/a		Shorten the time to resolve debts in Member States	Shortest - Ireland: 0.4 years, Longest – Slovak Republic: 4 years (No new EU legislation in place during the reference period)
Result indicator: average costs of insolvency proceedings Source of data: World Bank (Doing Business Index)				
Baseline (2014)	Interim Milestone Not applicable.		Target (2020)	Latest known result (June 2016)
The lowest costs - Belgium: 3,5 % of estate value The highest costs: Italy 22% of estate value	n/a		Reduce the costs of insolvency proceedings in Member States	The lowest costs - Belgium: 3,5 % of estate value The highest costs: Italy 22% of estate value (No new EU legislation in place during the reference period)
Planned evaluations: No evaluation planned for the moment.				

Specific objective 4.6 More legal certainty for commercial and financial transactions in the internal market (e.g. assignment of claims)			Related to spending programmes Justice	
Result indicator: <i>Decrease in the difference in costs of cross-border transactions in securities to the level of domestic transactions in securities</i>				
Source of data: Deduction based on assumptions resulting from conservative estimates of cost differences between national transactions in securities and domestic transactions in securities contained on p. 25 of the COMMISSION STAFF WORKING DOCUMENT Impact Assessment accompanying the Proposal for a Directive of the European Parliament and of the Council on legal certainty of securities holding and transactions (IMPACT ASSESSMENT) [unpublished]				
Baseline 2009	Interim Milestone – Not applicable		Target (2020)	Latest known result
Costs of unclear conflict-of-law rules make a cross-border transaction in securities by 3,3 % higher than a domestic transaction in securities			Decrease the difference in costs of cross-border transactions in securities to the level of domestic transactions in securities by 2,8 %, that is from 3,3 % to 0,5 % by adopting EU rules on conflict-of-law on transactions in cross-border traded securities	Same as baseline from 2009 ⁸
Planned evaluations: No evaluations planned for the moment				
Specific objective 4.7 Better business environment for investors, stakeholders and companies in the EU, in particular SMEs, more development/integration of the European capital markets by developing efficient EU rules concerning the formation, operation and transformation of companies and on the relationship between a company's management, board, shareholders and other stakeholders			Related to spending programmes Justice	
Result indicator: regular increase in the number of limited liability companies in the EU. An increase in the number of limited liability companies in the EU would be an indication for a conducive environment for EU businesses, including SMEs.				
Source of data: Eurostat database ⁹				
Baseline (2012)	Interim Milestone		Target (2020)	Latest known result
	(year)	(year)		
8.9 million	n/a	n/a	An increase in the number of limited liability companies in the EU ¹⁰	9.8 million (2014) [as compared to 9.1 million in 2013]

⁸ The lead service responsible for securities is FISMA and DG JUST is not in possession of new data measuring the decrease in the difference in costs of cross-border transactions in securities. New data could be expected in the context of the impact assessment for an initiative in that area.

⁹ Population of active limited liability companies in business demography by legal form statistics (from the structural business statistics database); aggregated data for EU-28.

¹⁰ To be verified against the available data on an annual basis.

Result indicator: regular increase in the number of EU companies which are controlled by companies from other MS (i.e. cross-border ownership/control, e.g. of subsidiaries, branches). An increase in the number of companies controlled by companies from other Member States illustrates the ability of companies to operate more easily across borders within the EU and to grow				
Source of data: Eurostat database ¹¹				
Baseline (2012)	Interim Milestone		Target (2020)	Latest known result (2014)
	(year)	(year)		
156,500	n/a	n/a	An increase in the number of EU companies controlled by companies from other MS ¹²	172,609 ¹³
Planned evaluations: No evaluations planned for the moment.				
General objective 7 An Area of Justice and Fundamental Rights Based on Mutual Trust				
Impact indicator: Share of the population considering themselves as "well" or "very well" informed of the rights they enjoy as citizens of the Union				
Source of the data: Eurobarometer on Citizenship				
Baseline (2015)			Target (2020)	Latest known result (2015)
42%			Increase	42 % (next survey planned for 2019)
Impact indicator: Citizens experiencing discrimination or harassment				
Source of the data: Eurobarometer on discrimination				
Baseline (2015)			Target (2021)	Latest known result (2015)
			The Eurobarometer takes place every 3 years.	
21%			Decrease	21 % (next survey planned for 2019)
Impact indicator: Gender Pay Gap (GPG) in unadjusted form, EU-28				
Explanation: The unadjusted Gender Pay Gap (GPG) represents the difference between average gross hourly earnings of male paid employees and of female paid employees as a percentage of average gross hourly earnings of male paid employees.				
Source of the data: Eurostat				
Baseline (2013)			Target (2020)	Latest known result (2014 – provisional figure)
16.3%			Decrease	16.1 %
Specific objective 7.1 More effective national justice systems			Related to spending programme Justice	

¹¹ Foreign controlled EU enterprises by country of the controlling entity from the structural business statistics database; aggregated data for EU-28.

¹² To be verified against the available data on an annual basis.

¹³ With data still missing for Ireland.

<p>Result indicator: percentage of MS who in year y+1 have implemented reforms to their judicial system made in the context of the European semester in year y</p> <p>Source of data: Country reports for the European Semester and the forthcoming EU Justice Scoreboards</p> <p>14 MS were subject to monitoring their reforms to their judicial system under the European Semester in 2015: progress in implementing measures to improve efficiency and quality of justice systems have been reported for all MS</p>			
Baseline (2015)	Interim Milestones (2016, 2017, 2018, 2019)	Target (2020)	Latest known result
0% ¹⁴	100% of monitored MS show some progress in reforms	100% of monitored MS have implemented reforms with positive impact	50% (2 Member States no longer had CSRs 2 Member States still had CSRs)
<p>Planned evaluations: Adoption of country reports in the context of the European Semester</p>			

¹⁴ 4 Member States received Country Specific Recommendations on justice reforms (CSRs)

Result indicator: Cumulated number of legal practitioners trained on EU law or law of another EU MS				
Source of the data: own statistics				
Baseline (year)	Interim Milestone		Target (2020)	Latest known result
	2016	2017		
87,134	420,000	490,000	700,000	494.753
Planned evaluations: No evaluations planned for the moment.				
Specific objective 7.2 Better EU financial markets with a sound framework to combat money laundering and terrorist financing			Related to spending programmes Justice	
Result indicator: Regular increase in number of FIU.net requests per year. Within the preventative framework against money laundering and terrorism financing set by the 4 th AML Directive, aiming at ensuring full traceability of financial information, in case of suspicion of money laundering or terrorist financing, Financial Intelligence Units (FIUs) shall have access to the necessary information, including through requests made to other EU FIUs. An increase in the number of requests for information made between EU FIUs translates the level of cooperation and information sharing between FIUs within the EU.				
Source of data: FIU				
Baseline (2015)	Interim Milestone		Target (2020)	Latest known result
	n/a			
17,140	n/a		An increase in the number of FIU.net requests per year	15,277 requests ¹⁵
Planned evaluations: (title of the evaluation; year of completion; spending programme/policy covered).				
Specific objective 7.3 Enhanced rights deriving from the citizenship of the Union			Related to spending programmes Rights, Equality and Citizenship	
Result indicator: Degree of delivery on the actions proposed in 2016 EU Citizenship Report The fulfilment of this specific objective can be influenced by political developments in Member States.				
Source of data				
Baseline (2016)	Interim Milestone		Target (2019)	Latest known result
	2018			
0% - 2016	50%		100% The target will be fixed in the Citizenship Report by defining a number of actions to be implemented in the following 3 years.	The report has been adopted on 24 January 2017 (COM (2017) 30) so no actions were implemented in 2016.
Planned evaluations: The implementation of the actions is evaluated on ongoing basis and in the following EU citizenship report – Completion: 2019 - REC				

¹⁵ The decrease compared to the year 2015 is mainly caused by the introduction of a new feature for cross border reporting in FIU.Net (so called "cross-border reports"). This new feature is used at large scale by all Member States FIUs since 2016 only. It enabled to exchange 33.964 cross-border reports in 2016. As a result, FIUs sent less regular "requests" in 2016 by channelling information via the other cross-border reporting feature. In total, 49,241 exchanges of information were carried out in 2016 (i.e. 15,277 requests and 33,964 cross-border reports)

Specific objective 7.4 Enhanced rights enshrined in the EU Charter of Fundamental rights, including the rights of the child		Related to spending programmes Rights, Equality and Citizenship	
Result indicator: number of States worldwide with whom all EU MS (except DK) have cooperation under the 1980 Convention on International Child Abduction			
Source of data			
Baseline (2015)	Interim Milestone	Target (2018)	Latest known result
	2017	No specific target has been agreed but Member States are committed to cooperate with the Commission in order to expand the application of the Convention and respect Opinion 1/13 of the CJEU	
15	3 additional third countries (Kazakhstan, South Korea, Peru)	13 (10 additional third countries compared to the 2017 milestone-)	15 (the baseline included 7 Council Decisions of December 2015 which provided for acceptance of these 7 additional third countries by December 2016)
Planned evaluations:			
Result indicator: awareness of the EU Charter of Fundamental Rights and its scope of application			
Source of data: Eurobarometer			
Baseline (2015)	Interim Milestone	Target 2018	Latest known result
14%	n/a	20%	14% (2015)
Planned evaluations: Eurobarometer			
Specific objective 7.5 A respected rule of law in the EU with any systemic threats addressed		Related to spending programmes Justice	
Result indicator: Number of systemic threats to the Rule of Law addressed through the Rule of Law framework or Rule of Law related infringements to ensure protection of the Rule of Law in Member states			
Source of data			
Baseline (2015)	Interim Milestone / Target	Latest known result	
100 %	100 %	100% (two recommendations issued to Poland)	
Planned evaluations: n/a			

Specific objective 7.6 A more developed European area of Justice with more judicial cooperation in civil and criminal matters				Related to spending programmes Justice	
Result indicator: number of exchanges of information in the European Criminal Records Information System (ECRIS)					
Source of data: Member States					
Baseline (2012)	Interim Milestone			Target (2020 – target in line with the MFF period 2014-2020)	Latest known result
	(2017)	(2018)	(2019)		
300.000	2 100 000 ¹⁶	2 300 000	3 300 000	3 500 000	1.978.104
Result indicator: cumulative number of legal professionals receiving training on EU law or law of another Member State since 2011					
Source of data: Report on European judicial training					
Baseline (2011)	Interim Milestone		Target (2020 – target set in Communication (2011)551)	Latest known result	
	(2016)	(2017)			
87.134	420.000	490.000	700.000	494.753	
Result indicator: annual growth in the use of the European e-Justice Portal					
Source of data: statistics gathered by the European e-Justice Portal					
Baseline 2012	Interim Milestone		Target 2020. Target included in MP 2015.	Latest known result	
	2016	2018			
630.000	Annual growth at 50% - 3.200.000	Annual growth rate at 20% since 2016 - 4.600.000	Annual growth rate at 20% since 2016 - 6.600.000...	3.846.121	

¹⁶ The interim milestone was corrected from 210 000 to 2 100 000 (spelling mistake).

Result indicator: number of exchanges of cooperation between contact points of European Judicial Network (criminal)				
Source of data: European Judicial Network (EJN) Annual Report				
Baseline 2011-12	Interim Milestone 2013-14		Target 2017-18 (target was set based on the past years' evolution with an assumption that the need for judicial cooperation will increase after the end of the former "third pillar" regime)	Latest known result (EJN Bi-annual Report 2013-2014)
	2015-16			
15 000	20 000	25 000	30 000	23.226
Result indicator: the average time of the surrender procedure (time between the arrest and the decision on the surrender of the person sought) under the European Arrest Warrant in cases where the person consents to the surrender				
Source of data: EAW annual statistics				
Baseline 2014	Interim Milestone 2018		Target 2020 (with better implementation of the FD EAW, the compliance of the time limit set in the FD – 10 days – is expected to improve gradually.)	Statistics for 2015 (according to data available in January 2017)
19,4 days	14 days		10	16
Result indicator: number of ECHR rulings (Art 5,6) violations				
Source of data: ECHR statistics on violations by Article and by State (2014)				
Baseline (2014)	Interim Milestone 2018		Target 2020	Latest known result (2016)
Art 5 (right to liberty): 78 violations by EU MS (of 212, i.e. 37 %)	Reduce number of violations by 20%			
Art 6 (right to fair trial and length of proceedings): 202 violations by EU MS (of 266, i.e. 75 %)			Reduce number of violations by 40% No specific target agreed but COM's annual report and Council Conclusions on fundamental rights confirm EU commitment to comply with ECHR	Art 5 (right to liberty): 61 violations by EU MS (of 286, i.e. 21 %) Art 6 (right to fair trial and length of proceedings): 74 violations by EU MS (of 176, i.e. 42 %)
Planned evaluations: No evaluations are planned for the time being.				

Specific objective 7.7 A well-functioning European Judicial Network in civil and commercial matters with adequate resources			Related to spending programmes Justice
Result indicator: (d) indicators relating to European Judicial Network in civil and commercial matters:			
<ul style="list-style-type: none"> - number of EJM guides - number of incoming/outgoing requests between Contact Points - number of areas of factsheets on national law and procedures (e-Justice Portal) - number of visits to the EJM-civil section at the European e-Justice Portal 			
Source of data			
Baseline (2016)	Interim Milestone 2017	Target (2018)	Latest known result (December 2016)
9 EJM guides	11 EJM guides	12 EJM guides	9 EJM guides
Number of incoming/outgoing requests (baseline unknown)		Number of incoming/outgoing requests: increase target	Number of incoming/outgoing requests still unknown
500 000 page views of EJM-civil section at the eJustice Portal	750 000 page views of the EJM section at the European e-Justice Portal	800 000 page views of the EJM section at the European e-Justice portal	3 million page views of EJM-civil section at the eJustice Portal
EJM factsheets at the e-Justice Portal available in 18 areas.	EJM factsheets in 20 areas	EJM factsheets available in 22 areas.	EJM factsheets at the e-Justice Portal available in 20 areas
Planned evaluations: 2016: Commission Report on the activities of the European Judicial Network in civil and commercial matters			
Specific objective 7.8 Less discrimination on the grounds of sex, racial or ethnic origin, religion or belief, disability, age or sexual orientation and more Roma integration			Related to spending programmes Rights, Equality and Citizenship
Result indicator: Citizens' awareness of their right to equal treatment without discrimination on grounds of sex, racial or ethnic origin, religion or belief, disability, age or sexual orientation (note: data only available every three years). Four previous Eurobarometer surveys on discrimination took place (in 2006, 2009, 2012 and 2015). The next surveys in 2018 and 2021 will include several questions asked in previous years in order to provide insight into the evolution of citizens' awareness of their rights.			
Source of data: Eurobarometer surveys on non-discrimination			
Baseline (2015)	Interim Milestone 2018	Target (2021)	Latest known result (2015)
45%	55%	70%	45% (next update in 2018)
Planned evaluations: Eurobarometer survey 2019, REC Programme, non-discrimination policy			

Result indicator: the number of Member States that set up structural co-ordination mechanisms with all stakeholders, including Roma, on the implementation of the National Roma Integration Strategies			
Source of data			
Baseline 2015	Interim Milestone (2017)	Target (year + explanation how the target was agreed)	Latest known result
0	15	27 (2018). Relevant EU MS are only 27 (Malta has no Roma population)	17
Planned evaluations: Adoption of annual progress report on the Roma integration, annually, REC Programme, Roma coordination policy			
Specific objective 7.9 Less racism, xenophobia, homophobia, antisemitism, anti-Muslim hatred and other related forms of intolerance		Related to spending programmes Rights, Equality and Citizenship	
Result indicator: the number of Member States that fully and correctly transposed Framework Decision 2008/913/JHA on combating certain forms and expressions of racism and xenophobia			
Source of data: Notifications by Member States			
Baseline (2015)	Interim Milestone 2016	Target (2018 + end of infringement procedures)	Latest known result
4 Member States transposed the Framework Decision	4 further Member States transposed the Framework Decision	All MS transposed the Framework Decision	11 Member States correctly transposed the Framework Decision. 2 further Member States tabled a Draft bill.
Planned evaluations: n/a			
Result indicator: Number of Member States progressing on data collection and data recording of offences related to Framework Decision 2008/913/JHA (i.e. hate speech and hate crime offences)			
Source of data: Information provided by Member States on a voluntary basis			
Baseline (2015)	Interim Milestone 2017	Target (2018) end of the mandate of the FRA	Latest known result
Of the 14 MS with limited data and recording of offences 5 MS have reported to have improved the system (based on the information provided by the Fundamental Rights Agency FRA)	10 Member States will have improved their system on data collection and recording of offences	All MS would have improved their system on data collection and recording of offences	2016: no info provided. (A sub-group on recording and data collection led by FRA was established in June 2016 within the High Level Group on combating racism to help gather data.)
Planned evaluations: n/a			

Specific objective 7.10 More diversity in the workplace			Related to spending programmes Rights, Equality and Citizenship	
Result indicator number of Member States that have adopted a Diversity Charter and number of companies that adhere to them				
Source of data				
Baseline (2015)	Interim Milestone		Target (2019)	Latest known result
14	2017	2018	28	17
14	19	23	28	17
Planned evaluations: Adoption of a report on the diversity charters, 2019, REC Programme, non-discrimination policy				
Specific objective 7.11 More support for EU Member States in key LGBTI-related areas and improved social acceptance			Related to spending programmes Rights, Equality and Citizenship	
Result indicator: number of Member State officials trained or participating in peer learning activities in LGBTI areas				
Source of data				
Baseline (2015)	Interim Milestone (2017)		Target (2019)	Latest known result
0	30		100 (Indicative number of officials attending training and peer learning seminars on LGBTI)	30
Result indicator: change in perceptions and attitudes towards LGBTI people (by measuring data against the 2015 Eurobarometer survey on discrimination) Four previous Eurobarometer surveys on discrimination took place so far (in 2006, 2009 2012 and 2015). The next surveys in 2018 and 2021 will include several questions asked in previous years in order to provide insight into the evolution of perceptions, attitudes and awareness of discrimination in the European Union, including on perception and attitudes towards LGBTI people).				
Source of data Eurobarometer surveys				
Baseline (2015)	Interim Milestone (2018)		Target (2021 + explanation how the target was agreed)	Latest known result (2015)
45%	55%		65%	45 % Next up-date available in 2018
Planned evaluations: Eurobarometer survey 2019, REC Programme, non-discrimination policy				
Specific objective 7.12 No gender-based violence and more victim support			Related to spending programmes Rights, Equality and Citizenship	
Result indicator: % of people that consider that domestic violence against women is unacceptable				
Source of data: Eurobarometers				
Baseline (2010)	Interim Milestone 2017		Target 2020	Latest known result (2016)
84%	90%		96%	84%
Planned evaluations: Special Eurobarometer on gender-based violence (to be carried in 2016) , Study on migrants' perceptions and attitude towards Female Genital Mutilation (follow-up of the Communication on FGM COM(2013) 833 final): study is to be launched in 2016; year of completion: 2018, possible Eurobarometer in 2019; REC Programme, gender equality policy				

Result indicator: number of EU Member States that have signed and ratified the Istanbul Convention			
Source of data: Council of Europe			
Baseline (2011: date of opening for signature and ratification)	Interim Milestone 2017	Target (2020)	Latest known result
0	18	28	14
Planned evaluations: Assessment based on the information from the Council of Europe treaty office, to be published in the Annual reports on the equality between women and men, annually, gender equality policy			
Specific objective 7.13 More safeguarding of the fundamental right to data protection in our external relations.		Related to spending programmes Rights, Equality and Citizenship	
Result indicator: EU agreements with third countries or international organisations which guarantee personal data protection			
Source of data EU Commission			
Baseline (2016)	Interim Milestone 2018	Target 2020	Latest known result
0	1	More than 1	1
Planned evaluations: Commission evaluation reports specific to these adequacy decisions (2018)			
Specific objective 7.14 An adequate protection of EU citizens' personal data by US government and agencies		Related to spending programmes Rights, Equality and Citizenship	
Result indicator: number of Commission adequacy decisions, and EU agreements with third countries which guarantee personal data protection			
Source of data: EU Commission			
Baseline (2015)	Interim Milestone 2018	Target 2020	Latest known result
1	12	More than 12	12
Planned evaluations: Commission evaluation reports specific to these adequacy decisions (2018); EU US Joint review on the umbrella agreement (cf. Art. 23 agreement), three years after entry into force			

Specific objective 7.15 Common data protection rules within the European Union in place			Related to spending programmes Rights, Equality and Citizenship
Result indicator: awareness of individuals and Member States of the new data protection rules incl. existence of supervisory authorities			
Source of data: Eurobarometer, EU Commission			
Baseline (2015)	Interim Milestone year	Target year	Latest known result (2015)
Current awareness level: 37% have heard about a public authority in their country responsible for protecting their rights regarding their personal data (EB 431 (2015))	End of implementation period for the Police Directive into national law	> 50%	37 %
Planned evaluations: 2022 Commission evaluation report on the Police Directive			
Specific objective 7.16 A reduced gender pay gap			Related to spending programme Rights, Equality and Citizenship
Result indicator: gender pay gap			
<i>The gender pay gap (GPG) reflects ongoing discrimination and inequalities in the labour market which, in practice, mainly affect women. In addition to direct discrimination, women face sectorial and occupational segregation, undervaluation of their work and unequal sharing of caring responsibilities. The unadjusted gender pay gap stood at 16.2 % in 2011 in the EU as a whole. It has narrowed since 2008 from 17.3 %.</i>			
Source of data: Eurostat			
Baseline (2011)	Interim Milestone 2017	Target (2020)	Latest known result
16.2%	15%	14%	16.3% ¹⁷
Planned evaluations: Adoption of annual reports on the equality between women and men; annually; REC Programme/gender equality policy			
Specific objective 7.17 More equality between women and men in decision-making			Related to spending programme Rights, Equality and Citizenship
Result indicator: % of women among non-executive directors on boards of listed companies.			
<i>The target was set in line with the Commission proposal for a Directive on improving the gender balance on boards of listed companies (COM(2012) 614 final). The explicit aim of this initiative is to achieve a share of at least 40% of the under-represented sex among non-executive directors of listed companies.</i>			
Source of data: DG Justice and Consumers			
Baseline (2012)	Interim Milestone 2017	Target (2020)	Latest known result
17%	30%	40%	23.9% ¹⁸
Planned evaluations: Adoption of annual reports on the equality between women and men; annually; REC Programme/gender equality policy			

¹⁷ It should be noted that the gender pay gap should be analysed in conjunction with the employment rate, as the two indicators often move in opposite direction. An increase in female employment might lead to an increase in the gender pay gap as more women with low earnings potential may enter the labour market.

¹⁸ This proportion has risen by 6.9 pp in five years, which represent a significant improvement, which is, however, driven by a few Member States with legislative measures.

Specific objective 7.18 Increased availability of childcare services Related to spending programme Rights, Equality and Citizenship

Result indicator: % of children up to 3 years/from 3 years of age to the mandatory school age, who are cared for under formal arrangements

The European Council in Barcelona (2002) set what is known as the “Barcelona target”: “(...) Member States should strive (...) to provide childcare by 2010 to at least 90 % of children between 3 years old and the mandatory school age and at least 33 % of children under 3 years of age”. Initially these targets should have been achieved by 2020, but it was decided at political level to prolong them until 2017. New targets (including possible new indicators capturing qualitative aspects of the objective) are still to be decided at political level.

Source of data: Eurostat

Baseline (2011)	Interim Milestone 2017	Target (2020)	Latest known result
30% (up to 3 years old)	33% coverage	To be decided at political level	30% ¹⁹
84% (from 3 years old)	90% coverage (achievement of the Barcelona target)		83%

Planned evaluations: Adoption of annual reports on the equality between women and men; annually; REC Programme/gender equality policy

Specific objective 7.19 Improved work-life balance for working parents and caregivers Related to spending programme Rights, Equality and Citizenship

Result indicator: female employment rate (20-64 age group).

Source of the data: Eurostat

Baseline (2013)	Interim Milestone 2017	Target EU2020 headline target (2020)	Latest known result
62.5%	68%	75%	65.5% ²⁰

Result indicator: difference between men and women's employment rate in full-time equivalent (20-64 years)

Source of the data: Eurostat

Baseline (2013)	Interim Milestone 2017	Target EU2020 headline target (2020)	Latest known result
18.2	15	10	11.9 %

Planned evaluations: Adoption of country reports in the context of the European Semester as well as adoption of annual reports on the equality between women and men; annually; REC Programme/gender equality policy

General objective 10 A Union of Democratic Change

Impact indicator: Turnout in the 2019 EP elections

Source of data: EP

Baseline	Interim Milestone	Target	Latest known
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¹⁹ Despite the support of the European Structural and Investment Funds and the country specific recommendations in the European Semester, progress in Member States is slow and uneven. The new start on work-life balance should give further impetus to the achievement of the targets.

²⁰ Women's employment rate reached an all-time high level of 65.5% in the third quarter 2016. The gender gap in employment has been plateauing at around 12 pp in recent years, as men's employment has also been recovering.

(2014)		(2019)	result
42.61%	n/a	Increase	No new value.
Specific objective 10.1 Enhanced EU citizens' democratic participation, including through cross-border information and facilitated participation in the EP elections, and increased legitimacy and accountability of EU decision-making, including by building on the concept of "lead candidates"		Related to spending programmes Rights, Equality and Citizenship	
Result indicator: Citizens' awareness of their right to vote and to stand as candidate in European elections in the Member State of residence, without having the nationality of that Member State			
Source of the data: Eurobarometer			
Baseline (2010)	Interim Milestone 2017	Target 2020	Latest known result
67 %	76 %	80 %	72%
Planned evaluations: n/a			

Annexes to the Management Plan

1. Annex 1 Performance tables

Relevant general objective 2: A Connected Digital Single Market

Specific objective 2.1 Highest level of protection of privacy and personal data

Related to spending programme Rights, Equality and Citizenship

Main outputs in 2016:

Policy-related outputs

Description	Indicator	Target date	Latest known result
Proposal for a General Data Protection Regulation	adoption by the co-legislators and publication in the EU OJ	2016	Adopted in 2016
Proposal for a Directive on protection of personal data processed by police and judicial authorities	adoption by the co-legislators and publication in the EU OJ	2016	Adopted in 2016
Amendment of Regulation 45/2001 of the European Parliament and the Council on the protection of individuals with regard to the processing of personal data by the Community institutions and bodies and on the free movement of such data (alignment with the General Data Protection Regulation) Agenda Planning reference 2014/JUST/032	adoption by the Commission	2016	Adopted on 10 January 2017

Main expenditure outputs

Description	Indicator	Target	Latest known result
Training of data protection supervisory authorities and other public authorities and data protection officers via action grants	Number of professionals trained	4000	The call for proposal was published in December for activities to start in 2017

Specific objective 2.2 Increased share of businesses and consumers engaging in online cross-border trade of goods and digital content, enhanced consumer and business confidence in buying and selling online, as well as in accessing and making use of digital content

Related to spending programmes Rights, Equality and Citizenship Consumer

Main outputs in 2016:

Policy-related outputs

Description	Indicator	Target date	Latest known result
Guidance on the application of the Unfair Commercial Practices Directive	Adoption by the Commission	2nd quarter 2016	Adopted on 25.5.2016, SWD(2016)163 final
2 Directives on the Supply of Digital Content and the Online and other Distance Sales of Goods	Adoption of final opinion in EESC plenary	April 2016	Opinion adopted in 516 th Plenary Session - April 2016
	Progress in negotiations at the Council Working Groups organized by the NL and SK presidencies (approximately 8-9 CWG during the 1st semester and 5 CWG in the 2nd semester).	June 2016/ December 2016	Policy debate on digital content at the June Council 2016 under NL Presidency and policy debate at the December 2016 Council under SK Presidency. Negotiations on online sales of goods did not start in 2016.
	Progress in negotiations in the Parliament, with a possible adoption of a position at 1st reading.	End of 2016	Adoption LIBE opinion 21-11-2016, submission of the two draft reports (IMCO 18-11-2016; JURI-IMCO 07-11-2016), submission of JURI opinion on online sales of goods 24-11-2016.
Communication on a European Cloud (DG JUST)	Adoption by the Commission	May 2016	Adopted on 19/04/2016

contributing on contractual dimensions, especially in B2B cloud contracts)			COM(2016) 178 final. The Communication specifies that it will be complemented by further action covering cloud B2B contracts.
Commission Communication setting the course of action for the legal challenges of digitalisation (DG JUST contributing on contractual restrictions to access to/transfer of data and legal challenges for liability issues with machine-to-machine contracting and automated systems.)	Adoption by the Commission	September 2016	Adopted on 9.01.2017, SWD(2017) 2 final
Main expenditure outputs			
Description	Indicator	Target	Latest known result
Joint studies by DG CNECT and DG JUST, co-funded with DG CNECT. DG JUST wants to investigate a) issues related to contractual restrictions to access to/transfer of data in the data value chain which hinder the free flow of data, and b) legal challenges for and liability/machine-to-machine contracting and automated systems	Preliminary findings / interim reports Final report	1st quarter of 2017 3rd-4th quarter 2016	One joint study, on a "mystery shopping survey", is on-going, to be finalised in 2017.

Relevant general objective 4: A Deeper and Fairer Internal Market with a Strengthened Industrial Base

Specific objective 4.1 empowered energy consumers and enhanced competition through improved and comparable information on billing and offers, and improved tools for comparison and switching. A coherent framework to protect and incentivise consumers to opt for smarter consumption modes and self-generation

Related to spending programme
Consumer

Main outputs in 2016:

Policy-related outputs

Description	Indicator	Target date	Latest known result
Contribution to revision of energy legislation in the framework of the Energy Union/New Deal for Consumers	Adoption by the Commission	December 2016	Framework adopted on 30 November 2016

Main expenditure outputs

Description	Indicator	Target	Latest known result
Two studies: prosumers; billing and offers	Timely completion of studies	July 2016	Studies are ongoing

Specific objective 4.2 Consolidated and improved consumer rights in the internal market

Related to spending programmes
Rights, Equality and Citizenship
Consumer

Main outputs in 2016:

Policy-related outputs

Description	Indicator	Target date	Latest known result
Fitness Check of consumer and marketing law (covering Directive 2005/29/EC (Unfair Commercial Practices Directive); Directive 99/44/EC (Sales and Guarantees Directive); Directive 93/13/EEC (Unfair Contract Terms Directive); Directive 98/6/EC (Price Indication Directive); Directive 2006/114/EC (Misleading and Comparative Advertising Directive); Directive 2009/22/EC (Injunctions Directive)) Agenda Planning reference 2016/JUST/023	Adoption by the Commission	2nd quarter 2017	On track for adoption. Roadmap published, online public consultation completed.

Main expenditure outputs			
Description	Indicator	Target	Latest known result
3 studies to support the Fitness check – (Lot 1 – overarching study; Lot 2 – evaluation of the Consumer Sales and Guarantees Directive; Lot 3 – consumer market study)	Timely delivery of acceptable quality	Lot 1 – 1st quarter 2017 Lot 2 and 3 – 4th quarter 2016	Lot 1 – Draft 1 st quarter 2017 Lot 2 and 3 – 4 th quarter 2016
Specific objective 4.3 Consolidated and enhanced product safety through effective market surveillance in the Union		Related to spending programme Consumer	
Main outputs in 2016:			
Policy-related outputs			
Description	Indicator	Target date	Latest known result
Proposals for a Consumer Product Safety and a Market Surveillance Regulation (joint responsibility with DG Internal market, Industry, Entrepreneurship and SMEs)	Adoption by the co-legislator and preparation of implementation (among others by adoption of Commission Implementing Acts)	2016	Negotiations stalled; no agreement in Council concerning mandatory origin labelling provision.
Guidance for national market surveillance authorities on market surveillance of products sold online	Adoption as Commission notice	1st half 2016	Adoption expected in 1 st half of 2017 due to adjustment in the political priorities.
Commission (implementing) decisions under the General Product Safety Directive 2001/95/EC on safety requirements to be met by European standards, on the publication of references of certain standards, on standardisation requests to the European Committee for Standardisation	Adoption by the Commission	2016	No implementing decisions adopted in some cases due to delays because of increased political scrutiny, in another case to adjust timing to ensure legal certainty in agreement with Legal Service.
Main expenditure outputs			
Description	Indicator	Target	Latest known result
RAPEX related IT tools	Services for the maintenance of and upgrades to the IT systems for RAPEX financed under the 2016 annual work	No disruption of RAPEX IT systems and necessary	Ensured

	programme	maintenance and upgrades	
Cooperation and uniform application of EU consumer product safety legislation including international aspects	Number of product specific joint enforcement actions under the 2016 annual work programme and number of Member States participating	5 – 6 product specific joint actions, 1 specific joint action on enhanced cooperation with China, and 66% of Member States participating in overall joint enforcement actions	5 proposals for joint actions received, including for baby carriers, electrical toys, household electrical appliances, power tools, climbing equipment
Exchange of officials	Number of Member States' officials participating in funded exchange of officials under the 2016 annual work programme	30	21 (due to lower than expected take-up by MS)
Development of knowledge base in the field of consumer product safety	Number of requests for scientific advice or studies under the 2016 annual work programme	1 or 2 mandates for opinion from Commission Scientific Committee or contracts for scientific studies	No requests issued due to changes in operational priorities
Close collaboration and regular information exchange with international stakeholders on consumer product safety	EU-US-China Trilateral Product Safety Summit	June 2016	Participation/collaboration ensured
	International Product Safety Week 2016	November 2016	Successful hosting/organisation of stakeholder events

Specific objective 4.4 Easier resolution of disputes and recovery of claims, including across borders, for consumers and individuals
 Related to spending programmes Rights, Equality and Citizenship Consumer

Main outputs in 2016:

Policy-related outputs

Description	Indicator	Target date	Latest known result
Establishment of an Online-Dispute Resolution (ODR) platform allowing consumers and traders to solve online, through an out-of-court procedure, contractual disputes about online purchases	Launch of the ODR platform by the Commission - uptake by traders and use by consumers	January/February 2016 - throughout 2016	Launch in February 2016 More than 22 000 complaints submitted on the platform. More than 1 million visits to the ODR website in 2016.

Main expenditure outputs

Description	Indicator	Target

Specific objective 4.5 Less differences between national insolvency regimes with the aim of increasing recovery rates and reducing time and costs of insolvency proceedings; and giving honest but bankrupt individuals a second chance in a reasonable time frame
 Related to spending programme(s) Justice

Main outputs in 2016:

Policy-related outputs

Description	Indicator	Target date	Latest known result
Proposal for a Directive on business insolvency. The objective of this initiative is to offer to businesses an effective restructuring framework and give bankrupt, but honest entrepreneurs a second chance by discharging their debts in a reasonable time period Agenda Planning reference 2016/JUST/025	Adoption of proposal for a Directive by the Commission	4 th quarter 2016	Adopted in 4 th quarter 2016

Main expenditure outputs

Description	Indicator	Target	Latest known result
Legal study on insolvency	Timely completion	February 2016	Completed in January 2016, published in July 2016

Economic study on insolvency	Timely completion	September/October 2016	Completed and published in November 2016
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Specific objective 4.6 More legal certainty for commercial and financial transactions in the internal market (e.g. assignment of claims)
 Main outputs in 2016:

Related to spending programmes
 Justice

Policy-related outputs

Description	Indicator	Target date	Latest known result
<p>The report on the law applicable to the assignment of claims will put forward for discussion possible solutions to address the current legal uncertainty on certain types of financial transactions Agenda Planning reference 2011/JUST/046</p> <p>The public consultation will seek the opinion of the relevant stakeholders on the matters addressed in the report as well as on closely related matters of transfer of securities</p>	Adoption by the Commission of the report	2 nd quarter 2016	Adopted on 29.9.2016 COM(2016) 626 final
	Launch of public consultation	2 nd quarter 2016	Launch of public consultation foreseen Q1 2017

Main expenditure outputs

Description	Indicator	Target	Latest known result
Study on conflict of laws relating to securities and other financial instruments	Timely completion	3rd quarter 2016	The call for tender for the study on the law applicable in respect of securities as well as claims traded on financial market – JUST/2016/JCOO/PR/CIVI/0062- was published in July 2016. There were no applications, therefore the tender will be likely published again in 2017.

Specific objective 4.7 Better business environment for investors, stakeholders and companies in the EU, in particular SMEs, and more development/integration of the European capital markets by developing efficient EU rules concerning the formation, operation and transformation of companies and on the relationship between a company's management, board, shareholders and other stakeholders

Related to spending programmes
 Justice

Main outputs in 2016:

Policy-related outputs

Description	Indicator	Target date	Latest known result
<p>Proposal for amendment of the shareholders' rights directive</p> <p>The proposal aims at tackling corporate governance shortcomings relating to listed companies and their boards, shareholders, intermediaries and proxy advisors with a view to promoting long-term shareholder engagement.</p>	Adoption by the co-legislators	2016	Political agreement in trilogue on 7 December 2016
<p>Proposal on single member private limited liability companies. The proposal aims to make it easier for SMEs to operate across the EU by standardising the creation of companies with a single shareholder.</p>	Adoption by the co-legislators	2016	<p>Council Common Approach on 28 May 2015</p> <p>The file is pending in the European Parliament.</p>
<p>Report on remuneration rules under the Capital Requirements Directive (CRD IV).</p> <p>Under CRD IV, a report on the application of the remuneration rules to be accompanied by legislative proposals, as appropriate, is due by end of June 2016.</p> <p>AP reference: 2015/JUST/050</p>	Adoption of report by the Commission	2 nd quarter 2016	Report adopted on 28 July 2016
<p>Follow-up on public consultation on long-</p>	Follow-up to consultation (format to be determined)	2 nd quarter 2016	Feedback statement published in Q4 2016

<p>term and sustainable investment. The consultation to assess how investors integrate long-term factors, such as environmental, social and governance issues, into investment decisions is running until March 2016</p>			
Main expenditure outputs			
Description	Indicator	Target	Latest known result
<p>Study on Minority Shareholder Protection. Assessment and comparison of existing means of protection across the MS as well as in major third countries to provide a starting point for any possible action to enhance the EU as an investment destination</p>	<p>Delivery of Final Report</p>	<p>Final Report expected 3rd quarter 2017</p>	<p>Contract signed in Q4 2016</p>

Relevant general objective 7: An Area of Justice and Fundamental Rights Based on Mutual Trust

Specific objective 7.1 More effective national justice systems Related to spending programmes
Justice

Policy-related outputs

Description	Indicator	Target date	Latest known result
The 2016 EU Justice Scoreboard. Communication from the Commission to the European Parliament, the Council, the European Central Bank, the European Economic and Social Committee and the Committee of the Regions. Agenda Planning reference 2016/JUST/009	on-time adoption (1st quarter each year) of the annual EU Justice Scoreboard and on-time delivery to the SG of DG Justice and Consumer contributions to the staff working documents (Q1) and the country specific recommendations (Q2) in the context of the European Semester	Adoption of the EU Justice Scoreboard : March 2016	April 2016

Main expenditure outputs

Description	Indicator	Target	Latest known result
Support to projects analysing courts' initiatives aiming at enhancing the quality of the judicial systems in Member States	Number of Member States participating	More than 10	13

Specific objective 7.2 Better EU financial markets with a sound framework to combat money laundering and terrorist financing Related to spending programmes
Justice

Main outputs in 2016:

Policy-related outputs

Description	Indicator	Target date	Latest known result
Delegated acts under the 4th Anti-Money Laundering Directive ("black list"). The 4th Anti-Money Laundering Directive empowers the Commission to adopt delegated acts in order to identify third country jurisdictions which have strategic deficiencies in their national Anti-Money Laundering counter financing of terrorism regimes that	Adoption of delegated act by the Commission	2nd/3rd quarter 2016	Adopted on 14 July 2016 (Delegated Regulation 2016/1675)

pose significant threats to the financial system of the Union ("high-risk third countries").			
Main expenditure outputs			
Description	Indicator	Target	Latest known result
Workshops with Member States' experts feeding to the supranational risk assessment on money laundering and terrorist financing	Number of workshops organised	5	5
Specific objective 7.3 Enhanced rights deriving from the citizenship of the Union		Related to spending programmes Rights, Equality and Citizenship	
Main outputs in 2016:			
Policy-related outputs			
Description	Indicator	Target date	Latest known result
2016 EU citizenship report, setting out concrete actions to help EU citizens to effectively enjoy their rights, without unnecessary obstacles on grounds on nationality Agenda Planning reference 2016/JUST/006	Adoption by the Commission	2016	The adoption of the report did not take place in 2016 for political reasons. Adoption of the report on 24 January 2017, the report has been renamed "2017 Citizenship Report". The concrete actions taken up in the 2017 Citizenship Report will take place between 2017-2019.
Report under Article 25 TFEU on the application of the Treaty provisions on EU citizenship in the past three years	Adoption by the Commission	2016	The adoption of the report did not take place in 2016 for political reasons. Adoption of the report on 24 January 2017
Communication providing guidance on EU rules on free movement	Adoption by the Commission	2016	No decision taken at political level
Enforcement, including through infringement procedures, of the EU acquis on free movement	Member States' compliance	Ongoing	13 pending infringement cases
Main expenditure outputs			
Description	Indicator	Target	Latest known result

E-learning tool on EU rules on free movement for national administrations: "Welcoming EU citizens – an e-training on EU rules on free movement"	Availability to national administrations	2016	Finalised in 2016 and launched on 24 January 2017 (together with the Citizenship Report mentioned above)
Judicial training activities on EU rules on free movement targeting administrative judges	Progress in reaching out judges	2016 onwards	FRA project ongoing
"Welcoming" policies to foster the social inclusion of mobile EU citizens at local level with focus on young people. Organisation of specific events.	Completion of events	End 2016, as a follow-up to the EU Citizenship report 2016	Common event with the Committee of Regions in October 2016 (as explained above, EU Citizenship report was not adopted in 2016)
Launch a call for a network of academics from the Member States to help improve policy development in the field of EU citizenship by providing high quality advice and expertise	Launch of the call for tenders	2016	Preparations to launch the study started in 2016 Launch foreseen in spring 2017
Expert Group meetings to support the Member States in the implementation process of the recently adopted Directive on consular protection (2015/637)	Organisation of meetings	Twice in 2016	Meeting 23.6.2016
Meetings of Expert Group FREEMO on the right to free movement of persons directive	Organisation of meetings	Twice in 2016	Meeting 21.10.2016
Meeting of Expert group on Electoral Matters	Organisation of a meeting	One meeting in 2016	Meeting 16.5. 2016
Study on Emergency Travel Documents	Launch of the study	2016	Preparations to launch the study started in 2016, signature of the contract expected in

			spring 2017
Study on residence and ID documents	Launch of the study	2016	Ongoing, new deadline was set by the Commission for submitting this study in 2017
Establishment of an inter-service group on mobility	Completion	2016	Completed
Specific objective 7.4 Enhanced rights enshrined in the EU Charter of Fundamental Rights including the rights of the child		Related to spending programmes Rights, Equality and Citizenship	
Main outputs in 2016:			
Policy-related outputs			
Description	Indicator	Target date	Latest known result
Proposal for a Council Decision establishing a multiannual framework for the European Agency of Fundamental Rights for 2018-2022 Agenda Planning reference 2016/JUST/001	adoption by the Commission	3rd quarter, 2016	Adopted in July 2016
Annual report on the application of the EU Charter of Fundamental Rights AP reference: 2016/JUST/040	Adoption by the Commission	2nd quarter 2016	Adopted in May 2016.
Main expenditure outputs			
Description	Indicator	Target	Latest known result
Annual Colloquium on Fundamental rights	1 event	3 rd quarter 2016	4 th quarter 2016
European Forum on the rights of the child	1 event	3 rd quarter 2016	4 th quarter 2016
Meetings in the framework of the dialogue under Article 17 TFEU with churches, religious associations or communities and philosophical and non-confessional organisations	4 events	2 nd and 3 rd quarter 2016	2 high level meeting were organised, as well as two dialogue seminars to prepare them

Specific objective 7.5 A respected Rule of Law in the EU with any systemic threats addressed		Related to spending programmes Justice	
Main outputs in 2016:			
Policy-related outputs			
Description	Indicator	Target date	Latest known result
Use of the Rule of Law Framework to strengthen the Rule of Law adopted in 2014 to prevent the escalation of systemic threats	Number of systemic threats to the Rule of Law addressed through the Rule of Law framework or Rule of Law related infringements to ensure protection of the Rule of Law in Member States	n/a	Rule of law applied to PL (2 Recommendations)
Main expenditure outputs			
Description	Indicator	Target	
n/a			
Specific objective 7.6 A more developed European Area of Justice with more cooperation in civil and criminal matters		Related to spending programmes Justice	
Main outputs in 2016:			
Policy-related outputs			
Description	Indicator	Target date	Latest known result
Proposal for a Directive on the fight against fraud to the Union's financial interests by means of criminal law ("PIF directive")	adoption by the co-legislators	2016	Adoption expected in 2017
Proposal for a Regulation reforming Eurojust	adoption by the co-legislators	2016	Adoption expected in 2017
Proposal for a Council Regulation establishing a European Public Prosecutor's Office (EPPO)	adoption by the Council	2016	Adoption expected in 2017
Proposal for a Directive on provisional legal aid for suspects or accused persons deprived of liberty and legal aid in European arrest warrant proceedings	adoption by the co-legislators	2016	Adopted on 26 October 2016

Proposal for a Directive on strengthening of certain aspects of the presumption of innocence and of the right to be present at trial in criminal proceedings	adoption by the co-legislators	2016	Adopted on 9 March 2016
Proposal for a Directive on safeguards for children who are suspects or accused in criminal proceedings	adoption by the co-legislators	2016	Adopted on 11 May 2016
Report on the application of the Council Regulation (EC) No 1206/2001 on cooperation between the courts of the Member States in the taking of evidence in civil or commercial matters	Adoption by the Commission	1st quarter 2016	The political priority is not anymore the adoption of the report (overdue since 2012) but the legislative revision of the 2001 Regulation on the taking of evidence.
Report on the application of Directive 2008/52/EC on certain aspects of mediation AP reference: 2016/JUST/028	Adoption by the Commission	3rd quarter, 2016	Adopted on August 2016 (COM(2016)542).
Proposal to revise the Brussels IIa Regulation which is the cornerstone of international family law in the EU. AP reference: 2013/JUST/003	Adoption by the Commission	[27 April 2016 – tbc]	Adopted on 30 June 2016
Main expenditure outputs			
Description	Indicator	Target	Latest known result
Operating grant to the EJTN	Number of judges and prosecutors trained in 2016 by EJTN	3700	4369 (first estimate)
Support to implementation of e-Justice projects including support for Member States for ECRIS TCN via action grants	Number of projects funded	15	5 projects were funded in 2016 (bigger projects supported, the available budget was fully used)
Work on implementation of ECRIS TCN system through adaptation of the reference	Contract(s) for implementation work signed	Q3 2016	Delayed because of delays on legislative

implementation contractualised			process.
Support to projects related to judicial cooperation in civil and criminal matters	Number of projects funded	20	8 projects were funded in 2016 (low number of good quality proposals was received)
Specific objective 7.7 A well-functioning European Judicial Network in civil and commercial matters with adequate resources		Related to spending programmes Justice	
Main outputs in 2016:			
Policy-related outputs			
Description	Indicator	Target date	Latest known result
Report on the activities of the European Judicial Network in civil and commercial matters AP reference 2014/JUST/026	Adoption by the Commission	March 2016	Adopted on 10 March 2016 (COM(2016) 129).
Main expenditure outputs			
Description	Indicator	Target	Latest known result
Meetings of the EJM civil and commercial	Number of meetings	6	6

Specific objective 7.8 Less discrimination on the grounds of sex, racial or ethnic origin, religion or belief, disability, age or sexual orientation and more Roma integration

Related to spending programmes Rights, Equality and Citizenship

Main outputs in 2016:

Policy-related outputs

Description	Indicator	Target	Latest known result
Setting up of National Roma Platform where action by all key stakeholders are co-ordinated	Number of National Roma Platforms set up	10	17
Mutual learning seminars between MS (under the HL Group on Non-Discrimination, Diversity and Equality)	Number of seminars	2	1
Equal Treatment Directive (Proposal for a Directive on implementing the principle of equal treatment between persons irrespective of religion or belief, disability, age or sexual orientation)	Progress made towards adoption (Increased support by MS at the Council. Currently 26)	28	Currently 26 MS

Main expenditure outputs

Description	Indicator	Target	Latest known result
Training of legal practitioners in equality and anti-discrimination law	Number of practitioners trained	600	293 for anti-discrimination law and 289 for equality
Assess the prohibition of discrimination on the grounds of sex, racial or ethnic origin, religion or belief, disability, age or sexual orientation throughout the European Union	Number of reports on MS legislation	28	28
Two seminars on mutual learning organised with the MS	Number of MS attending	14	14

Specific objective 7.9 Less racism, xenophobia, homophobia, anti-Semitism, anti-Muslim hatred and other related forms of intolerance		Related to spending programmes Rights, Equality and Citizenship	
Main outputs in 2016:			
Policy-related outputs			
Description	Indicator	Target date	Latest known result
Guidance for the Member States on the implementation of the Framework decision on the fights against racism and xenophobia	Adoption by the Commission	4th quarter	Not adopted, under political consideration.
Main expenditure outputs			
Description	Indicator	Target	Latest known result
Meetings of the High Level groups on racism and xenophobia	Number of meetings	2	2
Specific objective 7.10 More diversity in the workplace		Related to spending programmes Rights, Equality and Citizenship	
Main outputs in 2016:			
Policy-related outputs			
Description	Indicator	Target	Latest known result
Engage further Member States and businesses in diversity management through their adhesion to national Diversity Charters	Number of Member States that have adopted a Diversity Charter and number of companies that adhere to them	16 MS with Diversity Charter. Around total 8000 companies adhering to Diversify Charters (average estimation: increase of 500 new companies every year)	17 8.000
Main expenditure outputs			
Description	Indicator	Target	Latest known result
Annual Diversity Charters' Forum	Number of Diversity charters attending the Forum	17	17

Specific objective 7.11 More support for EU Member States in key LGBTI-related areas and improved social acceptance

Related to spending programmes Rights, Equality and Citizenship

Main outputs in 2016:

Policy-related outputs

Description	Indicator	Target	Latest known result
Peer learning activities on LGBTI issues Measuring data on perceptions and attitude towards LGBTI people against the 2015 Eurobarometer survey on discrimination	Number of Member State officials trained or participating in peer learning activities in LGBTI areas Change in perceptions and attitudes towards LGBTI people in Member States	15 MS' officials (from corresponding MS) in charge of LGBTI issues 50% (i.e.; % of people thinking that gay, lesbian and bisexual should have the same rights as heterosexuals)	15 Eurobarometer data to be expected in 2018

Main expenditure outputs

Description	Indicator	Target	Latest known result
Communication campaign to improve the social acceptance of LGBTI people	Number of key events organised in Member States	14	1 event held (Canal Parade Amsterdam), other events expected in 2017-18, preparation took longer than expected

Specific objective 7.12 No gender-based violence and more victim support

Related to spending programmes
Rights, Equality and Citizenship

Main outputs in 2016:

Policy-related outputs

Description	Indicator	Target date	Latest known result
Legislative proposal on the EU accession to the Istanbul Convention on combating violence against women	Adoption by the Commission	Q1 2016	Adopted in Q1 2016
Annual report on equality between women and men AP reference: 2016/JUST/021	Adoption by the Commission	Q1 2016	Adopted in Q1 2016 SWD(2016)54

Main expenditure outputs

Description	Indicator	Target	Latest known result
Mutual learning seminar addressed to Member-States on combating female genital mutilation and other harmful practices	N° of countries participating in the mutual learning exchange seminar	15	18
Initial preparations of a statistical survey on gender-based violence	Sub-delegation to ESTAT	Q1-Q2 2016	Sub delegated in 2016

Specific objective 7.13 More safeguarding of the fundamental right to data protection in our external relations Related to spending programmes Rights, Equality and Citizenship

Main outputs in 2016:

Policy-related outputs

Description	Indicator	Target date	Latest known result
Commission Decision on amending 11 existing Commission adequacy decision to adapt them to the CJEU ruling in case C-362/14 ("Schrems")	adoption by the Commission	2016	Adoption on 16.12.2016
Concluding on behalf of the European Union the negotiations on the modernisation of Council of Europe Convention for the protection of individuals with regard to automatic processing of personal data ("Convention 108") and the conditions and modalities of accession of the European Union to the modernised Convention.	conclusion of the negotiations	2016	Preliminary agreement on new text at CAHDATA level, June 2016; discussions with respect to limited number of issues on-going at GR-J level

Main expenditure outputs

Description	Indicator	Target
n/a		

Specific objective 7.14 An adequate protection of EU citizens' personal data by US government and agencies Related to spending programmes Rights, Equality and Citizenship

In view of recent mass surveillance revelations, close partners such as the United States must convince us that the current safe harbour arrangements really are safe if they want them to continue. The U.S. must also guarantee that all EU citizens have the right to enforce data protection rights in U.S. courts, whether or not they reside in the U.S.

Main outputs in 2016:

Policy-related outputs

Description	Indicator	Target date	Latest known result
Commission Decision on adequacy for personal data transfers to the US ("New transatlantic framework")	adoption by the Commission	2016	Adoption of Commission Decision on adequacy for EU-US Privacy Shield (Safe Harbour successor)

			arrangement) on 12 July 2016
Commission decisions on signature and conclusion of EU US agreement on data protection standards for transatlantic law enforcement cooperation ("umbrella agreement")	adoption by the Commission	2016	Signature on 2 June 2016, conclusion on 2 December 2016 (entry into force on 1 February 2017)

Main expenditure outputs			
Description	Indicator	Target	
Specific objective 7.15 Common data protection rules within the EU in place		Related to spending programmes Rights, Equality and Citizenship	
Main outputs in 2016:			
Policy-related outputs			
Description	Indicator	Target date	Latest known result
Proposal for a General Data Protection Regulation	adoption by the co-legislators and publication in the EU OJ	2016	Adopted by co-legislators in 2016
Proposal for a Directive on protection of personal data processed by police and judicial authorities	adoption by the co-legislators and publication in the EU OJ	2016	Adopted by co-legislators in 2016
Main expenditure outputs			
Description	Indicator	Target	
Specific objective 7.16 A reduced gender pay gap		Related to spending programmes Rights, Equality and Citizenship	
Main outputs in 2016:			
Policy-related outputs			
Description	Indicator	Target date	Latest known result
Contributions to the Commission's Annual Growth Survey (AGS) and the definition of Country Specific Recommendations (CSR)	Contribution sent to JUST/03 in time for CSR and AGS	Q1 2016 (for CSR) Q4 2016 (AGS)	Q1 2016 (for CSR) Q4 2016 (AGS)
European Equal Pay Day	Press releases and media coverage	Q4 2016	Q4 2016
Main expenditure outputs			
Description	Indicator	Target	Latest known result
Mutual learning seminar addressed to Member-States on reducing the gender pay gap	N° of countries participating in the mutual learning exchange seminar	15	18

Specific objective 7.17 More equality between women and men in decision-making		Related to spending programmes Rights, Equality and Citizenship	
Main outputs in 2016:			
Policy-related outputs			
Description	Indicator	Target date	Latest known result
Directive on improving the gender balance on boards of listed companies	Adoption by the co-legislators	2016/2017	Not adopted as per February 2017
Regular update of the Commission database on women and men in decision making	Online periodical publication by the Commission	Throughout 2016	Throughout 2016
Main expenditure outputs			
Description	Indicator	Target	Latest known result
Mutual learning seminar addressed to Member-States on advancing women's participation in political decision making	N° of countries participating in the mutual learning exchange seminar	15 MS	18 MS
Specific objective 7.18 Increased availability of childcare services		Related to spending programmes Rights, Equality and Citizenship	
Main outputs in 2016:			
Policy-related outputs			
Description	Indicator	Target date	Latest known result
Annual report on equality between women and men AP reference: 2016/JUST/021	Adoption by the Commission	Q1 2016	Adopted in Q1 2016 SWD(2016)54
Contributions to the Commission's Annual Growth Survey (AGS) and the definition of Country Specific Recommendations (CSR)	Contribution sent to SG in time for CSR and AGS		Q1 2016 (for CSR) Q4 2016 (AGS)
Main expenditure outputs			
Description	Indicator	Target	
n/a			
Specific objective 7.19 Improved work-life balance for working parents and care-givers		Related to spending programmes Rights, Equality and Citizenship	
Main outputs in 2016:			
Policy-related outputs			

Description	Indicator	Target date	Latest known result
New start for working parents: package of new legislative/non-legislative initiatives relating to the work-life balance with aim to improve the women's participation to labour market, AP reference: 2015/JUST/012	Adoption by the Commission	Q4 2016	Not adopted yet. Planned for 1 st half 2017.
Annual report on equality between women and men AP reference: 2016/JUST/021	Adoption by the Commission	Q1 2016	Adopted in Q1 2016 SWD(2016)54
Main expenditure outputs			
Description	Indicator	Target	
n/a			
Relevant general objective 10: A Union of Democratic Change			
Specific objective 10.1 Enhanced EU citizens' democratic participation, including through cross-border information and facilitated participation in the EP elections, and increased legitimacy and accountability of EU decision-making, including by building on the concept of "lead candidates"		Related to spending programmes Rights, Equality and Citizenship	
Main outputs in 2016:			
Policy-related outputs			
Description	Indicator	Target date	Latest known result
Study on facilitating political participation focusing on possibilities of remote voting such as e-voting	Completion	2016	Procured Q1 2017, planned delivery end 2017.
Events organised with OSCE, the EP and the Committee of the regions to gather ideas and exchange best practices to boost democratic participation	events organised	End 2016	Two events organised 15 March 2016 Hearing jointly organised with the EP on EU Citizenship in practice: our common values, rights and democratic participation. 23 September 2016 CIVEX Conference on EU Citizenship "Promoting EU

			citizenship: rights, values and involvement" co-organised with CoR
Enforcement, including through infringement procedures, of the EU acquis on elections	Member States' compliance	Ongoing	Ongoing
Main expenditure outputs			
Description	Indicator	Target	
n/a			