



2016

Annual Activity Report Annexes

Publications Office of
the European Union



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ANNEXES

ANNEX 1: Statement of the Resources Director

I declare that in accordance with the Commission's communication on clarification of the responsibilities of the key actors in the domain of internal audit and internal control in the Commission ⁽¹⁾, I have reported my advice and recommendations to the Director-General on the overall state of internal control in the DG.

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

Luxembourg, 31 March 2017

(signed)

Eva BEŇOVÁ

⁽¹⁾ Communication to the Commission: Clarification of the responsibilities of the key actors in the domain of internal audit and internal control in the Commission; SEC(2003)59 of 21.01.2003.

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

Human resource management

| Objective (mandatory): The DG deploys effectively its resources in support of the delivery of the Commission's priorities and core business, has a competent and engaged workforce, which is driven by an effective and gender-balanced management and which can deploy its full potential within supportive and healthy working conditions | | | |
|---|---|----------------------------------|----------------------------------|
| Indicator 1 (mandatory): Percentage of female representation in middle management | | | |
| Source of data: Publications Office, Unit R1 | | | |
| Baseline 2015 | Target 2019 | Latest known results 2016 | |
| 37.5 % | 40 % <i>Target for each Directorate-General adopted by the Commission on 15 July 2015 – SEC(2015)336</i> | 35.29 % | |
| Indicator 2 (mandatory): Percentage of staff who feel that the Commission cares about their well-being | | | |
| Source of data: Commission staff survey | | | |
| Baseline 2014 | Target 2019 | Latest known results 2016 | |
| 29.5 % | 50 % <i>To recover the level of 2013 staff survey</i> | 40 % | |
| Indicator 3 (mandatory): Staff engagement index | | | |
| Source of data: Commission staff survey | | | |
| Baseline 2014 | Target 2020 | Latest known results 2016 | |
| 62 % | 70 % <i>To recover the level of 2013 staff survey</i> | 69 % | |
| Main outputs in 2016 | | | |
| Description | Indicator | Target 2016 | Latest known results 2016 |
| Optimum occupation of permanent posts | Average occupancy rate of permanent posts | > 95 % | 98.2 % |
| Management of budget for training | Percentage of budget resources devoted to technical and specialised training | > 50 % | 65.45 % |
| New organisation chart | New organisation chart in place by end of 2016 | Done by end of 2016 | Postponed to 2017 |

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 (mandatory): Percentage of registered documents that are not filed (ratio) | | | |
| Source of data: Hermes-Ares-Nomcom (HAN) statistics | | | |
| Baseline 2015 | Target | | Latest known results 2016 |
| 1.08 % | ≤ Baseline | | 0.13 % |
| Indicator 2 (mandatory): Percentage of HAN files readable/accessible by all units in the Publications Office | | | |
| Source of data: HAN statistics | | | |
| Baseline 2015 | Target | | Latest known results 2016 |
| 97.90 % | ≥ Baseline* * It may depend on the nature of the file | | 97.87 % |
| Indicator 3 (mandatory): Percentage of HAN files shared with other DGs | | | |
| Source of data: HAN statistics | | | |
| Baseline 2015 | Target | | Latest known results 2016 |
| 0.10 % | 4 % | | 0.10 % |
| Main outputs in 2016 | | | |
| Description | Indicator | Target 2016 | Latest known results 2016 |
| Filing of documents | Percentage of registered documents that are not filed | ≤ Baseline (1.08 %) | 0.13 % |
| Sharing of information | Percentage of HAN files readable/accessible by all units in the Publications Office | ≥ Baseline (97.90 %) | 97.87 % |
| Produce and propose reports and documents to management | Percentage of documents forwarded to the Management Committee within the time-limit | 100 % | 100 % |
| | Reports and documents within deadlines set | 100 % | 100 % |

ANNEX 3: Draft annual accounts and financial reports

Annex 3 Financial Reports – Publications Office – 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 5bis: 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

Annex 3 is reproduced 'as is' from accounting documents supplied by European Commission's Directorate-General for Budget. Not all information supplied can be fully checked by the Publications Office. However, the main comments identified are detailed below.

Tables 8 and 9

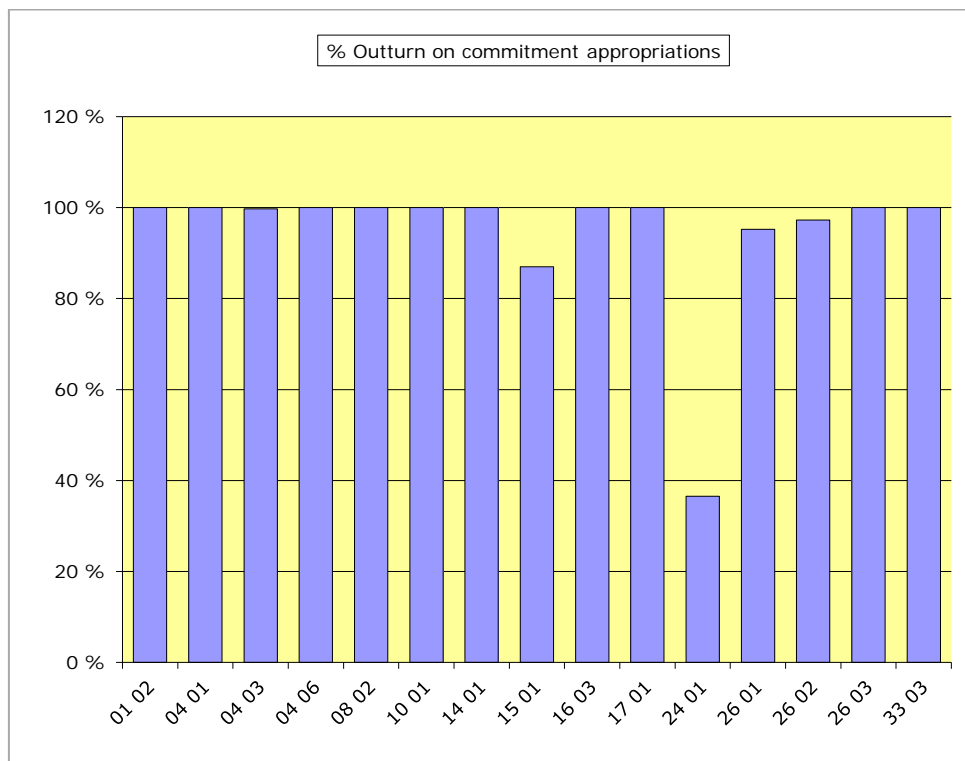
It should be noted that, in the recovery context report (Table 8), most of the recovery orders issued by the Office concern services provided in accordance with Article 21(3)(e) of the Financial Regulation, therefore they are not to be considered as errors.

As far as Table 9 is concerned, it should be noted that none of the open recovery orders was due at year end.

| TABLE 1: OUTTURN ON COMMITMENT APPROPRIATIONS IN 2016 (in Mio EUR) | | | | | |
|---|-------|--|--------------------------------------|------------------|-------|
| | | | Commitment appropriations authorised | Commitments made | % |
| | | | 1 | 2 | 3=2/1 |
| Title 01 Economic and financial affairs | | | | | |
| 01 | 01 02 | Economic and monetary union | 0.08 | 0.08 | 100 % |
| Total Title 01 | | | 0.08 | 0.08 | 100 % |
| Title 04 Employment, social affairs and inclusion | | | | | |
| 04 | 04 01 | Administrative expenditure of the Employment, social affairs and inclusion policy area | 0.02 | 0.02 | 100 % |
| | 04 03 | Employment, Social Affairs and Inclusion | 0.23 | 0.23 | 100 % |
| | 04 06 | Fund for European Aid to the Most Deprived | 0.02 | 0.02 | 100 % |
| Total Title 04 | | | 0.27 | 0.27 | 100 % |
| Title 08 Research and innovation | | | | | |
| 08 | 08 02 | Horizon 2020 – Research | 5.00 | 5.00 | 100 % |
| Total Title 08 | | | 5.00 | 5.00 | 100 % |
| Title 10 Direct research | | | | | |
| 10 | 10 01 | Administrative expenditure of the Direct research policy area | 0.38 | 0.38 | 100 % |
| Total Title 10 | | | 0.38 | 0.38 | 100 % |
| Title 14 Taxation and customs union | | | | | |
| 14 | 14 01 | Administrative expenditure of the Taxation and customs union policy area | 0.04 | 0.04 | 100 % |
| Total Title 14 | | | 0.04 | 0.04 | 100 % |
| Title 15 Education and culture | | | | | |
| 15 | 15 01 | Administrative expenditure of the Education and culture policy area | 0.33 | 0.29 | 87 % |
| Total Title 15 | | | 0.33 | 0.29 | 87 % |
| Title 16 Communication | | | | | |
| 16 | 16 03 | Communication actions | 2.04 | 2.04 | 100 % |
| Total Title 16 | | | 2.04 | 2.04 | 100 % |
| Title 17 Health and food safety | | | | | |
| 17 | 17 01 | Administrative expenditure of the Health and food safety policy area | 0.03 | 0.03 | 100 % |
| Total Title 17 | | | 0.03 | 0.03 | 100 % |
| Title 24 Fight against fraud | | | | | |
| 24 | 24 01 | Administrative expenditure of the Fight against fraud policy area | 0.01 | 0.00 | 37 % |
| Total Title 24 | | | 0.01 | 0.00 | 37 % |
| Title 26 Commission's administration | | | | | |
| 26 | 26 01 | Administrative expenditure of the Commission's administration policy area | 94.86 | 90.35 | 95 % |
| | 26 02 | Multimedia production | 7.76 | 7.55 | 97 % |
| | 26 03 | Services to public administrations, businesses and citizens | 0.75 | 0.75 | 100 % |
| Total Title 26 | | | 103.37 | 98.65 | 95 % |

| Title 33 Justice and consumers | | | | | |
|--------------------------------|-------|---------|--------|--------|-------|
| 33 | 33 03 | Justice | 0.09 | 0.09 | 100 % |
| Total Title 33 | | | 0.09 | 0.09 | 100 % |
| Total DG OP | | | 111.64 | 106.86 | 96 % |

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

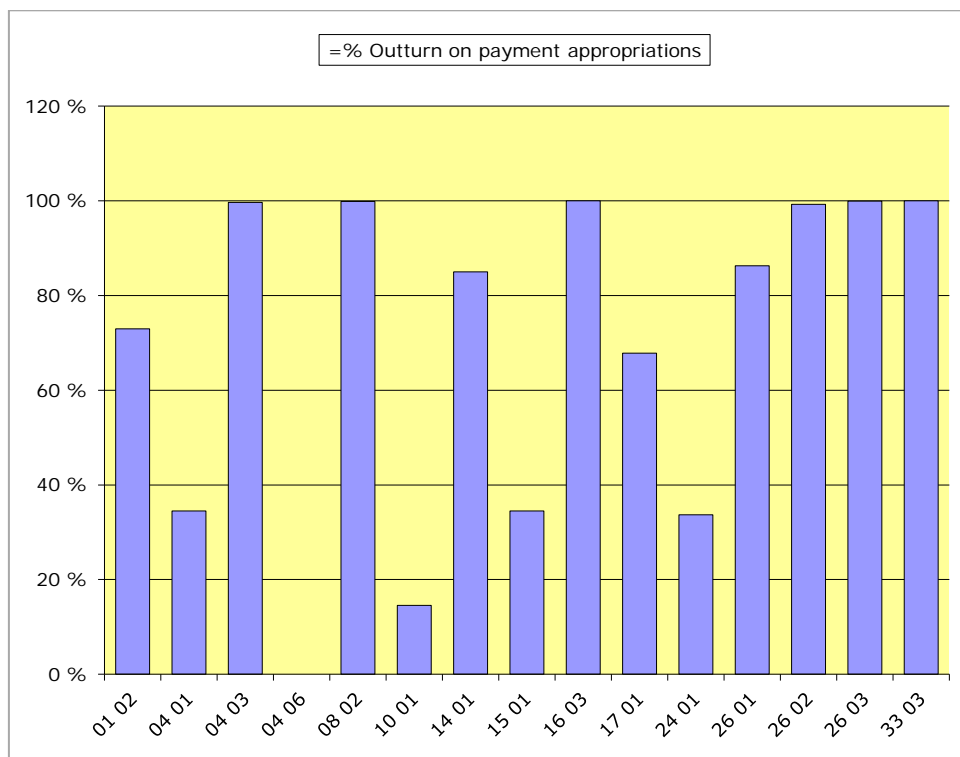


Note: The figures are those related to the provisional accounts and not yet audited by the Court of Auditors.

| TABLE 2: OUTTURN ON PAYMENT APPROPRIATIONS IN 2016 (in Mio EUR) | | | | | |
|---|-------|--|-------------------------------------|---------------|-------|
| Chapter | | | Payment appropriations authorised * | Payments made | % |
| | | | 1 | 2 | 3=2/1 |
| Title 01 Economic and financial affairs | | | | | |
| 01 | 01 02 | Economic and monetary union | 0.08 | 0.05 | 73 % |
| Total Title 01 | | | 0.08 | 0.05 | 73 % |
| Title 04 Employment, social affairs and inclusion | | | | | |
| 04 | 04 01 | Administrative expenditure of the Employment, social affairs and inclusion policy area | 0.02 | 0.01 | 35 % |
| | 04 03 | Employment, Social Affairs and Inclusion | 0.15 | 0.15 | 100 % |
| Total Title 04 | | | 0.18 | 0.16 | 91 % |
| Title 05 Agriculture and rural development | | | | | |
| 05 | 05 08 | | 0.04 | 0.04 | 98 % |
| Total Title 05 | | | 0.04 | 0.04 | 98 % |
| Title 08 Research and innovation | | | | | |
| 08 | 08 02 | Horizon 2020 – Research | 4.78 | 4.77 | 100 % |
| Total Title 08 | | | 4.78 | 4.77 | 100 % |
| Title 10 Direct research | | | | | |
| 10 | 10 01 | Administrative expenditure of the Direct research policy area | 0.38 | 0.06 | 15 % |
| Total Title 10 | | | 0.38 | 0.06 | 15 % |
| Title 14 Taxation and customs union | | | | | |
| 14 | 14 01 | Administrative expenditure of the Taxation and customs union policy area | 0.05 | 0.04 | 85 % |
| Total Title 14 | | | 0.05 | 0.04 | 85 % |
| Title 15 Education and culture | | | | | |
| 15 | 15 01 | Administrative expenditure of the Education and culture policy area | 0.56 | 0.19 | 34 % |
| Total Title 15 | | | 0.56 | 0.19 | 34 % |
| Title 16 Communication | | | | | |
| 16 | 16 03 | Communication actions | 1.35 | 1.35 | 100 % |
| Total Title 16 | | | 1.35 | 1.35 | 100 % |
| Title 17 Health and food safety | | | | | |
| 17 | 17 01 | Administrative expenditure of the Health and food safety policy area | 0.03 | 0.02 | 68 % |
| | 17 03 | | 0.00 | 0.00 | 100 % |
| | 17 04 | | 0.05 | 0.05 | 100 % |
| Total Title 17 | | | 0.07 | 0.06 | 89 % |
| Title 24 Fight against fraud | | | | | |
| 24 | 24 01 | Administrative expenditure of the Fight against fraud policy area | 0.01 | 0.00 | 34 % |
| Total Title 24 | | | 0.01 | 0.00 | 34 % |

| Title 26 Commission's administration | | | | | |
|--------------------------------------|-------|---|--------|--------|-------|
| 26 | 26 01 | Administrative expenditure of the Commission's administration policy area | 106.44 | 91.80 | 86 % |
| | 26 02 | Multimedia production | 7.66 | 7.60 | 99 % |
| | 26 03 | Services to public administrations, businesses and citizens | 0.82 | 0.82 | 100 % |
| Total Title 26 | | | 114.93 | 100.22 | 87 % |
| Title 33 Justice and consumers | | | | | |
| 33 | 33 03 | Justice | 0.02 | 0.02 | 100 % |
| Total Title 33 | | | 0.02 | 0.02 | 100 % |
| Total DG OP | | | 122.44 | 106.98 | 87 % |

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).



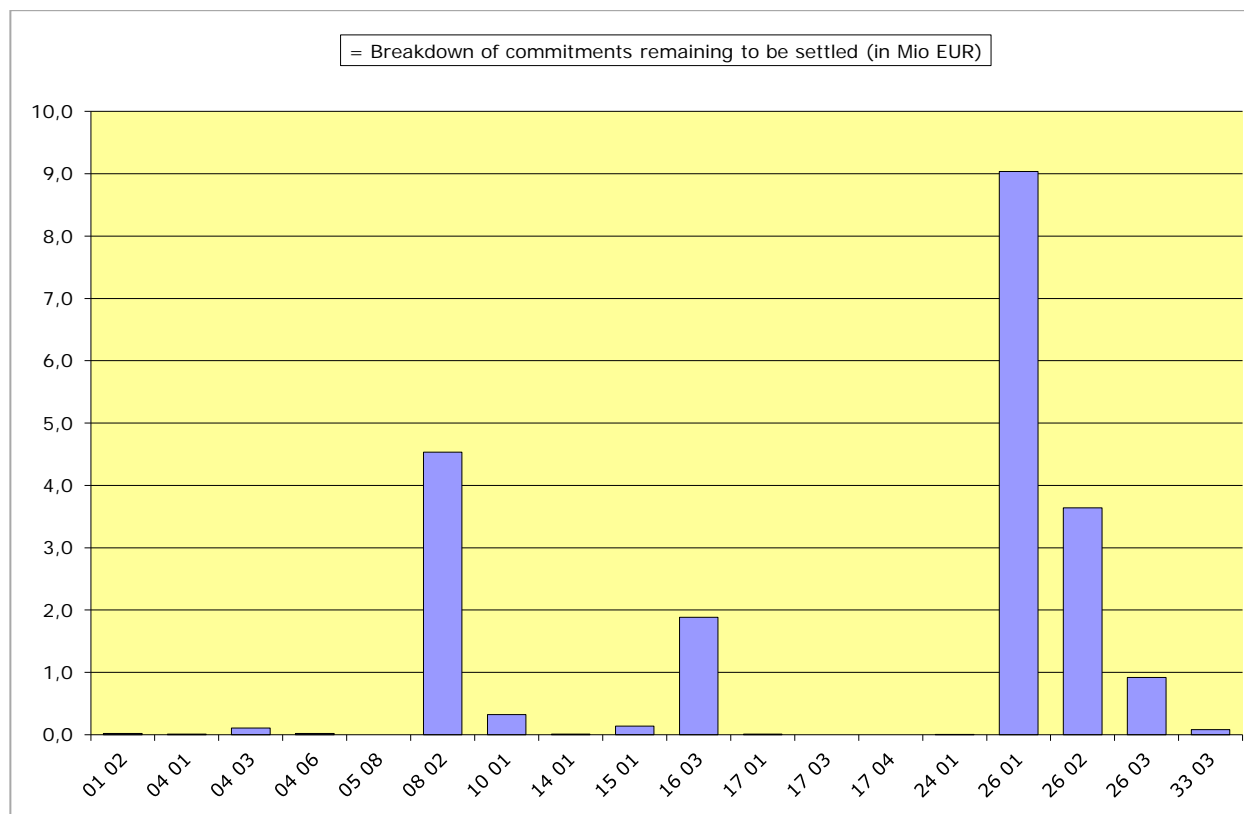
Note: The figures are those related to the provisional accounts and not yet audited by the Court of Auditors.

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

| | | | 2016 Commitments to be settled | | | | Commitments to be settled from financial years previous to 2016 | Total of commitments to be settled at end of financial year 2016 (including corrections) | Total of commitments to be settled at end of financial year 2015 (including corrections) |
|---|-------|--|--------------------------------|---------------|----------|-----------------|---|--|--|
| Chapter | | | Commitments 2016 | Payments 2016 | RAL 2016 | % to be settled | | | |
| | | | 1 | 2 | 3=1-2 | 4=1-2/1 | 5 | 6=3+5 | 7 |
| Title 01: Economic and financial affairs | | | | | | | | | |
| 01 | 01 02 | Economic and monetary union | 0.08 | 0.05 | 0.02 | 27.03 % | 0.00 | 0.02 | 0.00 |
| Total Title 01 | | | 0.08 | 0.05 | 0.02 | 27.03 % | 0.00 | 0.02 | 0.00 |
| Title 04: Employment, social affairs and inclusion | | | | | | | | | |
| 04 | 04 01 | Administrative expenditure of the Employment, social affairs and inclusion policy area | 0.02 | 0.01 | 0.01 | 60.45 % | 0.00 | 0.01 | 0.00 |
| | 04 03 | Employment, Social Affairs and Inclusion | 0.23 | 0.12 | 0.11 | 47.27 % | 0.00 | 0.11 | 0.08 |
| | 04 06 | Fund for European Aid to the Most Deprived | 0.02 | 0.00 | 0.02 | 100.00 % | 0.00 | 0.02 | 0.00 |
| Total Title 04 | | | 0.27 | 0.13 | 0.14 | 52.15 % | 0.00 | 0.14 | 0.08 |
| Title 05: Agriculture and rural development | | | | | | | | | |
| 05 | 05 08 | | 0.00 | 0.00 | 0.00 | 0.00 % | 0.00 | 0.00 | 0.04 |
| Total Title 05 | | | 0.00 | 0.00 | 0.00 | 0.00 % | 0.00 | 0.00 | 0.04 |
| Title 08: Research and innovation | | | | | | | | | |
| 08 | 08 02 | Horizon 2020 – Research | 5.00 | 1.07 | 3.93 | 78.54 % | 0.60 | 4.53 | 4.32 |
| Total Title 08 | | | 5.00 | 1.07 | 3.93 | 78.54 % | 0.60 | 4.53 | 4.32 |
| Title 10: Direct research | | | | | | | | | |
| 10 | 10 01 | Administrative expenditure of the Direct research policy area | 0.38 | 0.06 | 0.32 | 85.42 % | 0.00 | 0.32 | 0.00 |
| Total Title 10 | | | 0.38 | 0.06 | 0.32 | 85.42 % | 0.00 | 0.32 | 0.00 |

| Title 14: Taxation and customs union | | | | | | | | | |
|---------------------------------------|-------|---|-------|-------|-------|---------|------|-------|-------|
| 14 | 14 01 | Administrative expenditure of the Taxation and customs union policy area | 0.04 | 0.03 | 0.01 | 19.09 % | 0.00 | 0.01 | 0.01 |
| Total Title 14 | | | 0.04 | 0.03 | 0.01 | 19.09 % | 0.00 | 0.01 | 0.01 |
| Title 15: Education and culture | | | | | | | | | |
| 15 | 15 01 | Administrative expenditure of the Education and culture policy area | 0.29 | 0.15 | 0.14 | 48.26 % | 0.00 | 0.14 | 0.27 |
| Total Title 15 | | | 0.29 | 0.15 | 0.14 | 48.26 % | 0.00 | 0.14 | 0.27 |
| Title 16: Communication | | | | | | | | | |
| 16 | 16 03 | Communication actions | 2.04 | 0.55 | 1.49 | 72.97 % | 0.39 | 1.88 | 1.22 |
| Total Title 16 | | | 2.04 | 0.55 | 1.49 | 72.97 % | 0.39 | 1.88 | 1.22 |
| Title 17: Health and food safety | | | | | | | | | |
| 17 | 17 01 | Administrative expenditure of the Health and food safety policy area | 0.03 | 0.02 | 0.01 | 32.21 % | 0.00 | 0.01 | 0.00 |
| | 17 03 | | 0.00 | 0.00 | 0.00 | 0.00 % | 0.00 | 0.00 | 0.00 |
| | 17 04 | | 0.00 | 0.00 | 0.00 | 0.00 % | 0.00 | 0.00 | 0.05 |
| Total Title 17 | | | 0.03 | 0.02 | 0.01 | 32.21 % | 0.00 | 0.01 | 0.05 |
| Title 24: Fight against fraud | | | | | | | | | |
| 24 | 24 01 | Administrative expenditure of the Fight against fraud policy area | 0.00 | 0.00 | 0.00 | 7.66 % | 0.00 | 0.00 | 0.00 |
| Total Title 24 | | | 0.00 | 0.00 | 0.00 | 7.66 % | 0.00 | 0.00 | 0.00 |
| Title 26: Commission's administration | | | | | | | | | |
| 26 | 26 01 | Administrative expenditure of the Commission's administration policy area | 90.35 | 81.31 | 9.03 | 10.00 % | 0.00 | 9.03 | 11.58 |
| | 26 02 | Multimedia production | 7.55 | 3.93 | 3.62 | 47.93 % | 0.02 | 3.64 | 3.78 |
| | 26 03 | Services to public administrations, businesses and citizens | 0.75 | 0.12 | 0.63 | 83.58 % | 0.29 | 0.92 | 1.00 |
| Total Title 26 | | | 98.65 | 85.37 | 13.28 | 13.46 % | 0.31 | 13.59 | 16.36 |

| Title 33: Justice and consumers | | | | | | | | | |
|---------------------------------|-------|---------|--------|-------|-------|---------|------|-------|-------|
| 33 | 33 03 | Justice | 0.09 | 0.01 | 0.08 | 89.73 % | 0.00 | 0.08 | 0.01 |
| Total Title 33 | | | 0.09 | 0.01 | 0.08 | 89.73 % | 0.00 | 0.08 | 0.01 |
| Total DG OP | | | 106.86 | 87.44 | 19.42 | 18.17 % | 1.31 | 20.73 | 22.37 |



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

TABLE 4: BALANCE SHEET

| BALANCE SHEET | 2016 | 2015 |
|--|-----------------------|------------------------|
| A.I. NON CURRENT ASSETS | 8 090 344.38 | 9 699 376.34 |
| A.I.1. Intangible assets | 2 988 385.56 | 4 392 099.91 |
| A.I.2. Property, plant and equipment | 5 101 958.82 | 5 307 276.43 |
| A.II. CURRENT ASSETS | 7 795 110.48 | 8 694 502.78 |
| A.II.3. Current exchange receivables & non-exchange recoverables | 36 747.17 | 950 831.98 |
| A.II.4. Inventories | 7 742 401.79 | 7 705 387.12 |
| A.II.6. Cash and cash equivalents | 15 961.52 | 38 283.68 |
| ASSETS | 15 885 454.86 | 18 393 879.12 |
| P.I. NON CURRENT LIABILITIES | - 2 179 838.13 | - 1 875 924.94 |
| P.I.2. Non-current provisions | - 121 142.26 | - 121 142.26 |
| P.I.3. Non-current financial liabilities | - 2 058 695.87 | - 1 754 782.68 |
| P.II. CURRENT LIABILITIES | - 1 173 371.64 | - 10 482 402.13 |
| P.II.3. Current financial liabilities | - 1 076 303.74 | - 603 926.42 |
| P.II.4. Current payables | - 97 067.90 | - 352 092.72 |
| P.II.5. Current accrued charges & deferred income | 0.00 | - 9 526 382.99 |
| LIABILITIES | - 3 353 209.77 | - 12 358 327.07 |
| NET ASSETS (ASSETS less LIABILITIES) | 12 532 245.09 | 6 035 552.05 |
| P.III.2. Accumulated surplus/deficit | 102 678 236.38 | 64 160 292.37 |
| Non-allocated central (surplus)/deficit* | - 115 210 481.47 | - 70 195 844.42 |
| TOTAL | 0.00 | 0.00 |

Note: The accounting situation presented in the balance sheet and statement of financial performance does not include the accruals and deferrals calculated centrally by the services of the Accounting Officer.

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

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

TABLE 5: STATEMENT OF FINANCIAL PERFORMANCE

| STATEMENT OF FINANCIAL PERFORMANCE | 2016 | 2015 |
|---|----------------------|----------------------|
| II.1 REVENUES | – 14 595 572.54 | – 22 148 158.77 |
| II.1.1. NON-EXCHANGE REVENUES | – 37 097.17 | – 41 312.23 |
| II.1.1.6. OTHER NON-EXCHANGE REVENUES | – 37 097.17 | – 41 312.23 |
| II.1.2. EXCHANGE REVENUES | – 14 558 475.37 | – 22 106 846.54 |
| II.1.2.1. FINANCIAL INCOME | 729.45 | 629.78 |
| II.1.2.2. OTHER EXCHANGE REVENUE | – 14 559 204.82 | – 22 107 476.32 |
| II.2. EXPENSES | 46 747 495.26 | 60 477 045.98 |
| II.2. EXPENSES | 46 747 495.26 | 60 477 045.98 |
| II.2.10. OTHER EXPENSES | 32 957 572.52 | 41 488 070.56 |
| II.2.2. EXP IMPLM BY COMMISS&EX.AGENC. (DM) | 14 288 687.12 | 19 754 762.55 |
| II.2.6. STAFF AND PENSION COSTS | -547 311.96 | – 840 893.55 |
| II.2.8. FINANCE COSTS | 48 547.58 | 75 106.42 |
| STATEMENT OF FINANCIAL PERFORMANCE | 32 151 922.72 | 38 328 887.21 |

Note: The accounting situation presented in the balance sheet and statement of financial performance does not include the accruals and deferrals calculated centrally by the services of the Accounting Officer.

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

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

TABLE 5bis: OFF BALANCE SHEET

| OFF BALANCE | 2016 | 2015 |
|---|----------------|-----------------|
| OB.1. Contingent assets | 2 555 025.00 | 2 205 025.00 |
| GR for performance | 2 555 025.00 | 2 205 025.00 |
| OB.1.4. CA Other | 0.00 | 0.00 |
| OB.2. Contingent liabilities | - 141 555.48 | - 141 555.48 |
| OB.2.7. CL Amounts relating to legal cases | - 141 555.48 | - 141 555.48 |
| OB.3. Other Significant disclosures | - 300 176.12 | - 16 823 750.64 |
| OB.3.2. Commitments against appropriations not yet consumed | 0.00 | - 16 663 135.28 |
| OB.3.5. Operating lease commitments | - 300 176.12 | - 160 615.36 |
| OB.4. Balancing accounts | - 2 113 293.40 | 14 760 281.12 |
| OB.4. Balancing accounts | - 2 113 293.40 | 14 760 281.12 |
| OFF BALANCE | 0.00 | 0.00 |

Note: The accounting situation presented in the balance sheet and statement of financial performance does not include the accruals and deferrals calculated centrally by the services of the Accounting Officer.

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

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

TABLE 6: AVERAGE PAYMENT TIMES FOR 2016

| Legal times | | | | | | | |
|-----------------------------|--------------------------|--------------------------------------|------------|------------------------------|-------------------------|------------|------------------------------|
| Maximum payment time (days) | Total number of payments | Number of payments within time limit | Percentage | Average payment times (days) | Number of late payments | Percentage | Average payment times (days) |
| 30 | 3 973 | 3 971 | 99.95 % | 11.13 | 2 | 0.05 % | 35.5 |
| 60 | 50 | 50 | 100.00 % | 14 | | | |

| | | | | | | | |
|----------------------------|-------|-------|---------|-------|---|--------|------|
| Total number of payments | 4 023 | 4 021 | 99.95 % | | 2 | 0.05 % | |
| Average net payment time | 11.17 | | | 11.16 | | | 35.5 |
| Average gross payment time | 11.42 | | | 11.38 | | | 81 |

| Target times | | | | |
|----------------------------|--------------------------|---------------------------------------|------------|------------------------------|
| Target payment time (days) | Total number of payments | Number of payments within target time | Percentage | Average payment times (days) |
| 30 | 244 | 244 | 100.00 % | 12.56 |

| | | | | |
|----------------------------|-------|-----|----------|-------|
| Total number of payments | 244 | 244 | 100.00 % | |
| Average net payment time | 12.56 | | | 12.56 |
| Average gross payment time | 12.71 | | | 12.71 |

| 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 | 21 | 47 | 1.17 % | 4 023 | 439 831.45 | 0.85 % | 52 044 648.53 |

| DG | GL Account | Description | Amount (EUR) |
|----|------------|-------------|--------------|
| | | | |
| | | | |

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

TABLE 7: SITUATION ON REVENUE AND INCOME IN 2016

| Chapter | Revenue and income recognized | | | Revenue and income cashed from | | | Outstanding balance | |
|--------------------|--|----------------------|-------------------|--------------------------------|----------------------|-------------------|----------------------|------------------|
| | Current year RO | Carried over RO | Total | Current Year RO | Carried over RO | Total | | |
| | 1 | 2 | 3=1+2 | 4 | 5 | 6=4+5 | | |
| 50 | PROCEEDS FROM THE SALE OF MOVABLE AND IMMOVABLE PROPERTY | 26 302.44 | 0.00 | 26 302.44 | 26 302.44 | 0.00 | 26 302.44 | 0.00 |
| 55 | REVENUE FROM THE PROCEEDS OF SERVICES SUPPLIED AND WORK CARRIED OUT | 10 453 215.52 | 74 289.34 | 10 527 504.86 | 10 453 215.52 | 74 289.34 | 10 527 504.86 | 0.00 |
| 57 | OTHER CONTRIBUTIONS AND REFUNDS IN CONNECTION WITH THE ADMINISTRATIVE OPERATION OF THE INSTITUTION | 27 872.72 | 0.00 | 27 872.72 | 27 872.72 | 0.00 | 27 872.72 | 0.00 |
| 61 | REPAYMENT OF MISCELLANEOUS EXPENDITURE | 5 845.93 | 0.00 | 5 845.93 | 5 845.93 | 0.00 | 5 845.93 | 0.00 |
| 66 | OTHER CONTRIBUTIONS AND REFUNDS | 2 728 124.69 | 77 724.22 | 2 805 848.91 | 2 677 529.76 | 77 724.22 | 2 755 253.98 | 50 594.93 |
| 90 | MISCELLANEOUS REVENUE | 0.00 | 14 300.00 | 14 300.00 | 0.00 | 14 300.00 | 14 300.00 | 0.00 |
| Total DG OP | | 13 241 361.30 | 166 313.56 | 13 407 674.86 | 13 190 766.37 | 166 313.56 | 13 357 079.93 | 50 594.93 |

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

TABLE 8: RECOVERY OF PAYMENTS
(Number of recovery contexts and corresponding transaction amount)

| Year of Origin (commitment) | Total undue payments recovered | | Total transactions in recovery context (including non-qualified) | | % Qualified/Total RC | |
|--------------------------------|--------------------------------|--------|--|----------------------|----------------------|--------|
| | Nr | Amount | Nr | Amount | Nr | Amount |
| 2015 | | | 334 | 1 186 108.74 | | |
| 2016 | | | 538 | 2 905 745.96 | | |
| No Link | | | 17 | 8 323 250.00 | | |
| Sub-total | | | 889 | 12 415 104.70 | | |

| EXPENSES BUDGET | Error | | Irregularity | | OLAF Notified | | Total undue payments recovered | | Total transactions in recovery context (including non-qualified) | | % Qualified/Total RC | |
|-----------------------------|-----------|------------------|--------------|--------|---------------|--------|--------------------------------|------------------|--|---------------------|----------------------|---------------|
| | Nr | Amount | Nr | Amount | Nr | Amount | Nr | Amount | Nr | Amount | Nr | Amount |
| INCOME LINES IN INVOICES | | | | | | | | | 17 | 29 513.49 | | |
| NON ELIGIBLE IN COST CLAIMS | | | | | | | | | | | | |
| CREDIT NOTES | 11 | 18 642.93 | | | | | 11 | 18 642.93 | 199 | 1 331 276.22 | 5.53 % | 1.40 % |
| Sub-total | 11 | 18 642.93 | | | | | 11 | 18 642.93 | 216 | 1 360 789.71 | 5.09 % | 1.37 % |

| | | | | | | | | | | | | |
|--------------------|-----------|------------------|--|--|--|--|-----------|------------------|--------------|----------------------|---------------|---------------|
| GRAND TOTAL | 11 | 18 642.93 | | | | | 11 | 18 642.93 | 1 105 | 13 775 894.41 | 1.00 % | 0.13 % |
|--------------------|-----------|------------------|--|--|--|--|-----------|------------------|--------------|----------------------|---------------|---------------|

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

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

| | Number at 1/01/2016 | Number at 31/12/2016 | Evolution | Open amount (EUR) at 1/01/2016 | Open amount (EUR) at 31/12/2016 | Evolution |
|------|--------------------------------|---------------------------------|------------------|---|--|------------------|
| 2015 | 17 | | - 100.00 % | 166 358.62 | | - 100.00 % |
| 2016 | | 3 | | | 50 594.93 | |
| | 17 | 3 | - 82.35 % | 166 358.62 ⁽¹⁾ | 50 594.93 | - 69.59 % |

⁽¹⁾ The difference of EUR 45.06 compared to the amount in Table 7, column 3 (166 313.56) is due to a negative recovery order . The amount of recovery orders carried over is EUR 166 313.56.

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

| 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 |
| | | | | | |

| | |
|-----------------|--|
| Total DG | |
|-----------------|--|

| | |
|-----------------------------|--|
| Number of RO waivers | |
|-----------------------------|--|

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

TABLE 11: CENSUS OF NEGOTIATED PROCEDURES IN 2016**Procurement > EUR 60 000**

| Negotiated procedure Legal base | Number of procedures | Amount (EUR) |
|--|-----------------------------|---------------------|
| Article 134(1)(b) | 1 | 381 803.00 |
| Article 134(1)(e) | 1 | 1 831 699.98 |
| Total | 2 | 2 213 502.98 |

TABLE 12: SUMMARY OF PROCEDURES EXCLUDING BUILDING CONTRACTS

| Internal procedures > EUR 60 000 | | | |
|--|--|--------------|----------------------|
| Procedure Type | | Count | Amount (EUR) |
| Internal procedures > EUR 60 000 | Exceptional negotiated procedure without publication of a contract notice (Article 134 RAP) | 2 | 2 213 502.98 |
| | Negotiated procedure with at least five candidates below Directive thresholds (Article 136a RAP) | 1 | 133 496.00 |
| | Open procedure [Article 104(1)(a) FR] | 14 | 28 870 315.85 |
| | Open procedure [Article 127(2) RAP] | 1 | 6 909 323.00 |
| | Restricted procedure [Article 127(2) RAP] | 1 | 1 387 554.00 |
| Total | | 19 | 39 514 191.83 |

TABLE 13: BUILDING CONTRACTS

| | |
|-----------------------------------|--|
| Total number of contracts: | |
| Total amount: | |

| Legal base | Contract number | Contractor name | Description | Amount (EUR) |
|-------------------|------------------------|------------------------|--------------------|---------------------|
| | | | | |

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 (EUR) |
|------------|-----------------|-----------------|------------------|-------------|--------------|
| | | | | | |

No data to be reported

ANNEX 4: Materiality criteria

1. Quantitative weaknesses [significant occurrence of errors in the underlying transactions (legality and regularity)]

The threshold of 2 % of authorised payments used by the European Commission and the European Court of Auditors is applied.

2. Qualitative weaknesses

Even if a potential financial loss is not material under this quantitative criterion or where the financial impact cannot be quantified with reasonable assurance, the error may still be significant in the light of qualitative criteria.

Such weaknesses may be:

- significant control system weaknesses;
- insufficient audit coverage and/or inadequate information from internal control systems;
- critical issues reported by the European Court of Auditors, the IAS or OLAF;
- significant reputational events.

The Office decides on materiality in particular taking into account:

- the reputational risk for the institutions;
- whether the error persists for a longer period (this period is assessed based on the nature of the error); and
- whether mitigating controls or corrective actions can be taken.

However, no significant errors of this type, no significant control system weaknesses or significant reputational events were identified in 2016.

3. Critical issues reported by the European Court of Auditors, the IAS and OLAF

No critical issues were reported.

The risk which resulted in the very important recommendations of the IAS and the observations of the Court of Auditors has no impact on the declaration of assurance.

No issues were reported by OLAF.

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

Direct management

Stage 1: Procurement

Main control objectives: ensure procurement procedures do not lead to incorrect attribution of contracts

| 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 |
|--|--|--|--|--|
| Irregularities or errors in the procurement procedure may lead to incorrect attribution of contracts. | <p>Each contract above the open procedure threshold (at the moment EUR 130 000) is subject to an evaluation before launching the procurement procedure.</p> <p>The authorising officer by subdelegation decides on the attribution of contract based on the opinion of the CAM ⁽²⁾.</p> <p>Composition of evaluation committees is subject to strict rules.</p> | <p>Semi-annual checks of availability of evaluations.</p> <p>Monitoring CAM opinions.</p> <p>Monitoring by the Call for Tenders, Contracts and Copyright Unit.</p> | <p>Costs are estimated by determining the full-time staff equivalent dealing with monitoring and control of procurement procedures.</p> <p>Benefits are qualitative and their main effect is of a preventive nature.</p> | <p>Percentage of evaluations available for launched procedures.</p> <p>Number of opinions given by the CAM.</p> <p>Percentage of contract amount used for control of procurement procedures.</p> |
| Irregularities or errors during implementation of contracts may lead to erroneous deliveries being accepted. | <p>Control of financial transactions, in particular operational verification.</p> <p>Application of liquidated damages.</p> | <p>See control of financial transactions.</p> <p>Number of liquidated damages applied.</p> | <p>These controls are part of transactional controls under the control objectives in stage 2: commitments and payments.</p> | <p>Number of cases where liquidated damages or other penalties were applied.</p> |

⁽²⁾ Comité des achats et des marchés (CAM).

Stage 2: Commitments and payments

Main control objectives: ensure commitments and payments are regular and legal

| 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 |
|---|--|--|--|---|
| Improper application or non-application of contract conditions may lead to unjustified payments. | Overrides of contract conditions and deviations from procedures are registered in the Register of exceptions which is analysed semi-annually. | All exceptions registered are analysed. | Cost is time spent on analysing register of exceptions. Benefits are qualitative and their main effect is of a preventive nature. | Number and value of exceptions in relation to the total number and value of financial transactions. |
| Deviation from contract conditions may lead to undue advantages. | Overrides of contract conditions and deviations from procedures are registered in the Register of exceptions which is analysed semi-annually. | All exceptions registered are analysed. | Cost is time spent on analysing register of exceptions. Benefits are qualitative and their main effect is of a preventive nature. | Number of penalty and other contract condition overrides in the exception register. |
| Errors in preparing and processing budgetary commitments may lead to irregularities or illegal commitments. | Operational and financial verification. Every year until March the financial control performs: — sample based second level ex-ante controls of commitments on advance appropriations and commitments, — sample based ex-post controls of commitments not subject to second level ex-ante controls. Exemption from second level ex-ante controls is based on these results. | All transactions are subject to first level verification. The sample size of ex-post and second level ex-ante controls is expressed in percentage of the number and value of all transactions in the controlled period. | Cost is full-time staff equivalent spent on verification and financial control. Benefits are qualitative and their main effect is of a preventive nature. The Office also considers the difference between: — amounts affected by errors as identified, and — amounts affected by errors without controls being in place (according to a hypothetical error rate). | Coverage of financial control. Error rate. Cost of controls in percentage of transaction value. Cost of control per transaction. |
| Errors during the preparation and processing of payments may lead to irregularities or illegal payments. | Operational and financial verification. Financial control performs ex-post controls. | All transactions are subject to first level verification. The sample size of ex-post and second level ex-ante controls is expressed in percentage of the number and value of all transactions in the controlled period. | Cost is full-time staff equivalent spent on verification and financial control. Benefits are qualitative and their main effect is of a preventive nature. The Office also considers the difference between: — amounts affected by errors as identified, and — amounts affected by errors without controls being in place (according to a hypothetical error rate). | Coverage of financial control. Error rate. Cost of controls in percentage of transaction value. Cost of control per transaction. |

Stage 3: Other financial transactions

Main control objectives: ensure transfers and writes-off are regular and legal

| 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 requests for transfer of appropriations may be illegal or irregular due to improper preparation or mistakes during preparation. | Financial control checks all requests for transfer. | 100 % | Cost is full time staff equivalent devoted to controls. Benefits are qualitative and their main effect is of a preventive nature. Occasional corrections may be undertaken due to financial control observations. | Number of requests checked. Transfer requests in error. Cost of controls in percentage of transaction value. Cost of control per transaction. |

Main control objectives: protection 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 |
|---|---|--|---|---|
| A write-off request may be illegal or irregular due to improper preparation or mistakes during preparation. | Financial control checks all write-off requests. A write-off committee (or its president) in Luxembourg has to approve all requests. | 100 % | Cost is full-time staff equivalent devoted to controls. Benefits are qualitative and their main effect is of a preventive nature. Occasional corrections may be undertaken due to financial control observations. | Number of requests checked. Number of errors detected. |

Revenues

Stage 1: Advance recovery orders

Main control objectives: ensure that recovery orders are correctly established for all services rendered

| 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 |
|--|---|---|---|--|
| Data in recovery orders established are not correct. | <p>Operational and financial verification and monitoring by the head of the budget cell.</p> <p>Every year until March the financial control performs:</p> <ul style="list-style-type: none"> — sample based second level ex-ante controls of recovery orders, — sample based ex-post controls of recovery orders not subject to second level ex-ante controls. | <p>All transactions are subject to first level verification.</p> <p>The sample size of ex-post and second level ex-ante controls is expressed in percentage of the number and value of all transactions in the controlled period.</p> | <p>Cost is full-time staff equivalent spent on verification and financial control.</p> <p>Benefits are qualitative and their main effect is of a preventive nature.</p> | <p>Coverage of financial control.</p> <p>Error rate.</p> <p>Cost of controls in percentage of transaction value.</p> <p>Cost of control per transaction.</p> |
| Final settlement contains errors. | <p>IT systems are in place to provide data for the establishment of the settlement.</p> <p>Clients are continuously informed of the costs and can check the correctness.</p> <p>In case of additional recovery orders: operational and financial verification and monitoring by the head of the budget cell.</p> <p>Every year until March the financial control performs:</p> <ul style="list-style-type: none"> — sample based second level ex-ante controls of recovery orders, — sample based ex-post controls of recovery orders not subject to second level ex-ante controls. | <p>All transactions are subject to first level verification.</p> <p>The sample size of ex-post and second level ex-ante controls is expressed in percentage of the number and value of all transactions in the controlled period.</p> | <p>Cost is full-time staff equivalent spent on verification and financial control.</p> <p>Benefits are qualitative and their main effect is of a preventive nature.</p> | <p>Coverage of financial control.</p> <p>Error rate.</p> <p>Cost of controls in percentage of transaction value.</p> <p>Cost of control per transaction.</p> |

Stage 2: Periodic recovery orders (after services were rendered)

Main control objectives: ensure that recovery orders are correctly established for all services rendered

| 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>Recovery orders are not established for services rendered for other DGs, institutions or bodies.</p> | <p>IT systems are in place to enable follow-up of establishment of recovery orders for all services where needed.</p> <p>The heads of the budget cells follow the establishment of recovery orders for all services where needed.</p> <p>In case of advance recovery orders, there is a summary settlement at the end of the year.</p> | <p>All transactions are subject to first level verification.</p> <p>Monitoring and analysing exceptions.</p> | <p>Cost is full-time staff equivalent spent on verification and financial control.</p> <p>Benefits are qualitative and their main effect is of a preventive nature.</p> | <p>Cases of recovery orders established late in the exception register.</p> |
| <p>Data in recovery orders established are not correct</p> | <p>A monthly statement is sent to the clients who have two weeks to check and react.</p> <p>Operational and financial verification.</p> <p>Every year until March the financial control performs:</p> <ul style="list-style-type: none"> — sample based second level ex-ante controls of commitments on advance appropriations and commitments, — sample based ex-post controls of commitments not subject to second level ex-ante controls. | <p>All transactions are subject to first level verification.</p> <p>The sample size of ex-post and second level ex-ante controls is expressed in percentage of the number and value of all transactions in the controlled period.</p> | <p>Cost is full-time staff equivalent spent on verification and financial control.</p> <p>Benefits are qualitative and their main effect is of a preventive nature.</p> | <p>Coverage of financial control.</p> <p>Error rate.</p> <p>Cost of controls in percentage of transaction value.</p> <p>Cost of control per transaction.</p> |

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

Not applicable to the Publications Office.

ANNEX 7: EAMR of the Union Delegations

Not applicable to the Publications Office.

ANNEX 8: Decentralised agencies

Not applicable to the Publications Office.

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

| No used in Annex 3 MP2016 | Title | Reason ¹ | Scope ² | Type ³ | Associated DGs | Costs (EUR) | Comments ⁴ | Reference ⁵ |
|---|---|---------------------|--|-------------------|----------------|-------------|-----------------------------------|--------------------------------|
| I. Evaluations finalised or cancelled in 2016 | | | | | | | | |
| | <i>a. Evaluations finalised in 2016</i> | none | | | | | | |
| | <i>b. Evaluations cancelled in 2016</i> | none | | | | | | |
| II. Other studies finalised or cancelled in 2016 | | | | | | | | |
| | <i>a. Other studies finalised in 2016</i> | | | | | | | |
| 1 | Computing services – Maintenance and software development of the Common Integrated Budget Application (CIBA) system | O | Alternatives, risks, changes in the approach for the new contract | E | – | External: 0 | Production tool for the EU budget | Ares(2016)1343806 – 17/03/2016 |
| 2 | Premedia, prepress and printing services; production of audiovisual publications | O | Needs of the author services, change in procedures and approach, alternatives, risks, for the production of general publications | E | – | External: 0 | Production of publications | Ares(2016)6284947 – 07/11/2016 |
| | <i>b. Other studies cancelled in 2016</i> | none | | | | | | |
| <p>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).</p> <p>² Specify what programme/regulatory measure/initiative/policy area etc. has been covered.</p> <p>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 the Comments.</p> <p>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 need to be explained in this column.</p> <p>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.</p> | | | | | | | | |

ANNEX 10: Specific annexes related to Financial Management

Financial management and internal control (performance tables of Section 2.1)

Overarching objective: The Authorising Officer by Delegation should have reasonable assurance that resources have been used in accordance with the principles of sound financial management, and that the control procedures put in place give the necessary guarantees concerning the legality and regularity of the underlying transactions including prevention, detection, correction and follow-up of fraud and irregularities

Objective 1 (mandatory): Effective and reliable internal control system giving the necessary guarantees concerning the legality and the regularity of the underlying transactions

Indicator 1 (mandatory): Estimated residual error rate

Source of data: Publications Office, Internal Control and Evaluation Unit

| Baseline 2014 | Target | Latest known results 2016 |
|---------------|---|---------------------------|
| < 1 % | < 2 % (*) (*) The target error rate is the materiality limit | 0.026 % |

Indicator 2 (mandatory): Estimated overall amount at risk for the year for the entire budget under the DGs responsibility

Source of data: Publications Office, Internal Control and Evaluation Unit

| Baseline 2014 | Target | Latest known results 2016 |
|---------------|--------|---------------------------|
| < EUR 100 000 | None | EUR 27 800 |

Indicator 3 (mandatory): Estimated future corrections

Source of data: Publications Office, Internal control and Evaluation Unit

| Baseline 2014 | Target | Latest known results 2016 |
|--------------------|--------------------|---------------------------|
| Not applicable (*) | Not applicable (*) | Not applicable (*) |

(*) The Office does not implement programmes where the performance of ex-post controls of external entities would give rise to recoveries in subsequent years. Furthermore, the Office's error rate is low and thus the corrective capacity is insignificant.

Main outputs in 2016

| Description | Indicator | Target 2016 | Latest known results 2016 |
|------------------------|--|-------------|---------------------------|
| Procurement management | Negative opinions from CAM (Comité des achats et des marchés) | 0 | 0 |
| | Win-Loss ratio in court proceedings following an action filed against the Office in procurement or contractual field | 100 % / NA | NA |

Objective 2 (mandatory): Effective and reliable internal control system in line with sound financial management

Indicator 1 (mandatory): Conclusion reached on cost effectiveness of controls

Source of data: Publications Office, Internal Control and Evaluation Unit

| Baseline 2013 | Target | Latest known results 2016 |
|---------------|--------|---------------------------|
| Yes | Yes | Yes |

Indicator 2 (mandatory): Percentage of budget execution (commitments) with respect to final budgets

Source of data: Publications Office, Finance Unit

| Baseline 2014 | Target | Latest known results 2016 |
|---------------|------------|---------------------------|
| > 99 % | ≥ Baseline | 99.7 % |

Main outputs in 2016

| Description | Indicator | Target 2016 | Latest known results 2016 |
|-----------------------------|--|-------------|---|
| Ex-ante controls | Coverage of second level ex-ante controls in percentage of transactions executed during control period | 40 % / 25 % | 41 % (commitments) – 35.7 % (recovery orders) |
| Ex-post controls | Coverage of ex-post controls in percentage of transactions | 15 % | 18.1 % |
| Evaluation | Percentage of contracts above EUR 1 million analysed or evaluated | 100 % | 100 % |
| Process payment of invoices | Percentage of invoices paid on time | > 99 % | 99.95 % |
| | Time to pay | <15 days | 11.17 days |

Objective 3 (mandatory): Minimisation of the risk of fraud through application of effective anti-fraud measures, integrated in all activities of the DG, based on the DG's anti-fraud strategy (AFS) aimed at the prevention, detection and reparation of fraud

Indicator 1 (mandatory – information available in DG's AFS): Updated anti-fraud strategy of the Publications Office elaborated on the basis of the methodology provided by OLAF

Source of data: Publications Office, Internal Control and Evaluation Unit

| Baseline | Interim Milestone | Target | Latest known results 2016 |
|------------|-------------------|----------------------|---------------------------|
| 31/01/2014 | Update 31/09/2016 | Update every 3 years | Updated |

Main outputs in 2016

| Description | Indicator | Target 2016 | Latest known results 2016 |
|--|--|-------------------|---------------------------|
| Anti-fraud strategy | Updated anti-fraud strategy of the Publications Office elaborated on the basis of the methodology provided by OLAF | Update 31/09/2016 | Updated |
| Analysis of the register of exceptions | Number of penalty and other contract condition overrides in the register of exceptions | < 20 | 4 |

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

Not applicable.

ANNEX 12: Performance tables

Results towards the achievement of general and specific objectives of the Publications Office (performance tables of Section 1)

General objective 11: To help achieve the overall political objectives, the Commission will effectively and efficiently manage and safeguard assets and resources, and attract and develop the best talents

Specific objective 11.1: Automated workflows for more dynamic ways of producing and publishing legal content are optimised and implemented

Non programme-based

Result indicator: Percentage of Official Journal issues produced without delay in 23 or 24 language versions

Source of data: Publications Office, Unit B1

| Baseline | Interim Milestone | | Target 2020 | Latest known results 2016 |
|----------|-------------------|-------|-------------|---------------------------|
| | 2016 | 2018 | | |
| 2005 | 2016 | 2018 | | |
| 99 % | 100 % | 100 % | 100 % | 100 % |

Completed evaluations:

Computing services – Maintenance and software development of the CIBA system – Alternatives, risks, changes in the approach for the new contract, 2016. The conclusions drawn from the evaluation were used in the preparation of the new contract for CIBA.

Result indicator: Percentage of case-law document-by-document produced without delay

Source of data: Publications Office, Unit B1

| Baseline | Interim Milestone | | Target 2020 | Latest known results 2016 |
|-----------------|-------------------|-------|-------------|--|
| | 2016 | 2018 | | |
| (not available) | 2016 | 2018 | | |
| New indicator | 100 % | 100 % | 100 % | N/A This indicator has not been measured yet because the complete document-by-document production cycle was postponed to 1 November due to the request of the author service for additional functionalities |

Main outputs in 2016

Policy-related outputs

| Description | Indicator | Target 2016 | Latest known results 2016 |
|---|--|-------------|--|
| Production of the Official Journal L&C* * Including subseries LI | Average global price per page | < EUR 3 | 2.43 |
| Automation of the workflows | Percentage of manuscripts for which IMMC files are received from author services | 35 % | 28.35 % The result was impacted by the delayed IMMC implementation by author services, and the non-availability of the IMMC-builder |

Specific objective 11.2: Collaborative production services, optimised for multichannel dissemination, are provided to all EU institutions, agencies and bodies

Non programme-based

Result indicator: Satisfaction rate (quality of output, price, respect of deadlines, quality of service)

Source of data: Publications Office, Unit B2, Survey carried out on a regular basis with author services

| Baseline (not available) | Interim Milestone | | Target 2020 | Latest known results 2016 |
|-----------------------------|-------------------|------|-------------|---------------------------|
| | 2016 | 2018 | | |
| New indicator | 80 % | 85 % | 90 % | 90 % |

Completed evaluations:

Premedia, prepress and printing services; production of audiovisual publications – Needs of the author services, changes in procedures and approach, alternatives, risks for the production of general publications, 2016. The conclusions drawn from the evaluations are being used in the preparation of the new contract for the production of general publications.

Result indicator: Number of digital publications

Source of data: Publications Office, Unit B2

| Baseline (not available) | Interim Milestone | | Target 2020 | Latest known results 2016 |
|-----------------------------|-------------------|-------|-------------|---------------------------|
| | 2016 | 2018 | | |
| New indicator | 5 000 | 4 000 | 3 000 | 5 539 |

Main outputs in 2016

Policy-related outputs

| Description | Indicator | Target 2016 | Latest known results 2016 |
|---|---|-------------|---------------------------|
| Management of the production | Percentage of unsatisfied clients for production of general publications (survey with all author services having produced with the Publications Office) | ≤ 10% | 4 % |
| | Number of titles produced by the Publications Office with at least one digital output | 5 000 | 5 539 |
| Collaborative production services | Number of titles produced using a collaborative platform with author services | 1 000 | 1 538 |
| Production of the Supplement to the Official Journal in accordance with the directives in force | Average cost per notice | < EUR 14 | EUR 12.06 |

Specific objective 11.3: **Structuring of data [content (IFC) and metadata (IMMC)] is facilitated through synergies in tools and formats on the interinstitutional level**

Non programme-based

Result indicator: Number of document types (each taking into account several example documents) covered by the Interinstitutional Formats Committee's (IFC) Common Vocabulary for the semantic structuring of the documents' content

Source of data: Publications Office, Unit A1

| Baseline (not available) | Interim Milestone | | Target 2020 | Latest known results 2016 |
|-----------------------------|-------------------|------|-------------|---------------------------|
| | 2016 | 2018 | | |
| New indicator | 1 | 8 | 20 | 1 |

Result indicator: Percentage of data related to legislation (content and metadata) that has been exchanged in structured format

Source of data: Publications Office, Unit A2

| Baseline (not available) | Interim Milestone | | Target 2020 | Latest known results 2016 |
|-----------------------------|-------------------|------|-------------|--|
| | 2016 | 2018 | | |
| New indicator | 50 % | 80 % | 98 % | <p>94 % (for metadata) 0 % (for content)</p> <p>With respect to metadata, the year-end result for 2016 refers to exchanges based on the IMMC protocol (i.e. metadata in structured format) in the scope of the legislative procedure where the Office has been involved in the exchange, either as sender or as receiver</p> <p>With respect to content, the year-end result for 2016 refers to exchanges based on IFC standards [logic and semantic for the structuring of content (CoV) and the exchange model standard (CEM)]. A first CoV standard has been approved in December 2016. A first CEM standard is scheduled for 2017. Hence the result for 2016 is zero</p> |

Main outputs in 2016

Policy-related outputs

| Description | Indicator | Target 2016 | Latest known results 2016 |
|---|---|-------------|--|
| Synergies in structuring of data (metadata) on the interinstitutional level | Number of example documents (corresponding to the first document type) covered by the Interinstitutional Formats Committee's (IFC) Common Vocabulary for the semantic structuring of the documents' content | 3 | 1 Version 1.0 of the Common Vocabulary was only adopted by the Office's Management Committee on 2 December. An example for the second document type directive has already been selected |
| Extension of publishing chains based on IMMC | Number of new publishing chains based on IMMC exchange that have been put into production | 3 | 6 |

Result indicator: Extensibility of the archive (number of new types of information that have been integrated in the archive)

Source of data: Publications Office, Unit A2

| Baseline (not available) | Interim Milestone | | Target 2020 | Latest known results 2016 |
|-----------------------------|-------------------|------|-------------|--|
| | 2016 | 2018 | | |
| New indicator | + 2 | + 2 | + 2 | 0 The migration from the existing electronic archive (EUDOR V2) to the new long-term preservation service (EUDOR V3) started later than expected due to implementation delays of the new service by the external contractor. Before this migration is completed, it is not appropriate to extend the coverage of the electronic archive |

Result indicator: Accessibility (percentage of the information available in the archive that is accessible)

Source of data: Publications Office, Unit A2

| Baseline (not available) | Interim Milestone | | Target 2020 | Latest known results 2016 |
|-----------------------------|-------------------|-------|-------------|---------------------------|
| | 2016 | 2018 | | |
| New indicator | 100 % | 100 % | 100 % | 100 % |

Result indicator: Coverage (percentage of completeness of the archive regarding the entire collection of the Official Journal of the European Union and all other mandatory publications)

Source of data: Publications Office, Unit A2

| Baseline (not available) | Interim Milestone | | Target 2020 | Latest known results 2016 |
|-----------------------------|-------------------|---------|-------------|---------------------------|
| | 2016 | 2018 | | |
| New indicator | 99 % | 99.90 % | 100 % | > 99 % |

Main outputs in 2016

Policy-related outputs

| Description | Indicator | Target 2016 | Latest known results 2016 |
|---|--|-------------|--|
| Reliability of the long-term digital preservation service | Long-term digital archive system (EUDOR) – availability of the service (hardware, network, IT systems) | ≥ 99% | 97.29 % In spring 2016 there was a technical problem of the current archiving system EUDOR V2. An unexpected down-time was experienced because it took longer than expected to receive the parts necessary to repair the system |

Specific objective 11.5: EU authentic information is easily accessible online and its discoverability is enhanced

Non programme-based

Result indicator: Number of visits to EUR-Lex website

Source of data: Publications Office, Unit C2

| Baseline 2007 | Interim Milestone | | Target 2020 | Latest known results 2016 |
|------------------|-------------------|------------|-------------|---------------------------|
| | 2016 | 2018 | | |
| 67.3 million | 70 million | 72 million | 74 million | 76.4 million |

Result indicator: Number of visits to TED website

Source of data: Publications Office, Unit C2

| Baseline 2007 | Interim Milestone | | Target 2020 | Latest known results 2016 |
|------------------|-------------------|------------|-------------|---------------------------|
| | 2016 | 2018 | | |
| 9.2 million | 13 million | 14 million | 15 million | 16.5 million |

Result indicator: Number of individual metadata records exported to third parties

Source of data: Publications Office, Unit C4

| Baseline (not available) | Interim Milestone | | Target 2020 | Latest known results 2016 |
|-----------------------------|-------------------|---------|-------------|--|
| | 2016 | 2018 | | |
| New indicator | 120 000 | 150 000 | 180 000 | 232 599 This was the first year for producing this figure and the result reflects the reality more accurately |

Main outputs in 2016

Policy-related outputs

| Description | Indicator | Target 2016 | Latest known results 2016 |
|---|--|-------------|--|
| Online access to law | Percentage of Official Journals published as authentic on the EUR-Lex website | 100 % | 100 % |
| Consolidation of legal acts | Number of new consolidated versions of legal acts produced | 1 900 | 1 987 |
| Smooth production of the Summaries of EU legislation | Number of drafted / redrafted and updated summaries loaded in CELLAR and available for EUR-Lex | 400 | 502 |
| Complete and improve the collections of legal documents | Legal documents: number of notices available in EUR-Lex | 960 000 | 966 888 |
| Access to public procurement notices | Percentage of tender notices published in the OJ S within the official deadlines | 99 % | 99.84 % |
| | Number of documentary units (notices) loaded on TED website during the year | 478 000 | 466 898 The number of public procurement notices received was less than mechanically forecast |

Specific objective 11.6: **The various collections of EU content are available through a single point of access based on commonly agreed standards**

Non programme-based

Result indicator: Completeness of collections that are available for access and reuse (through the common repository, CELLAR)

Source of data: Publications Office, Unit A2

| Baseline 2015 | Interim Milestone | | Target 2020 | Latest known results 2016 |
|------------------|-------------------|----------|-------------|---------------------------|
| | 2016 | 2018 | | |
| ≥ 99.9 % | ≥ 99.9 % | ≥ 99.9 % | ≥ 99.9 % | ≥ 99.9 % |

Result indicator: Number of visits to OP Portal (including EU Bookshop)

Source of data: Publications Office, Unit C1

| Baseline (not available) | Interim Milestone | | Target 2020 | Latest known results 2016 |
|-----------------------------|-------------------|-------------|-------------|---|
| | 2016 | 2018 | | |
| New indicator | 2.8 million | 3.8 million | 5 million | 2.95 million The total number of visits, including from sections and subsites like EU Whoiswho, Interinstitutional style guide, EuroVoc and Metadata Registry, reached 6.6 million |

Main outputs in 2016

Policy-related outputs

| Description | Indicator | Target 2016 | Latest known results 2016 |
|--|--|-------------|---|
| Completeness of collections | Number of resources available in CELLAR in comparison of the number of resources which are expected to be available in CELLAR | ≥ 99.9 % | ≥ 99.9 % |
| Identification, cataloguing and archiving of publications | General publications: number of notices (works) available in CELLAR (*) (*) A notice (work) covers all linguistic versions and available formats for a given title in CELLAR | 90 000 | 78 029 The actual result depends on the number of publications. The treatment of the backlog of general publications has been successfully achieved by the end of 2016 |
| To ensure transparency in the field of EU-commissioned studies | Number of studies available for public consultation on EU Bookshop | 7 000 | 8 013 |

Specific objective 11.7: **The Office is the information hub for policy makers, market actors and civil society as regards the dissemination and reuse of public EU data**
Content-linking from various sources is enabled through synergies and interoperability with other EU institutions, agencies and bodies

Non programme-based

Result indicator: Number of visits to EU Open Data Portal

Source of data: Publications Office, Unit C1

| Baseline 2014 | Interim Milestone | | Target 2020 | Latest known results 2016 |
|------------------|-------------------|--------------|-------------|---------------------------|
| | 2016 | 2018 | | |
| 309 187 | 0.6 million | 0.75 million | 1 million | 0.8 million |

Result indicator: Number of visits to CORDIS website

Source of data: Publications Office, Unit C3

| Baseline 2014 | Interim Milestone | | Target 2020 | Latest known results 2016 |
|------------------|-------------------|-------------|-------------|---------------------------|
| | 2016 | 2018 | | |
| 3.3 million | 3.9 million | 4.2 million | 4.4 million | 4.58 million |

Result indicator: CORDIS user satisfaction rate (percentage of neutral and positive opinions expressed in the annual user survey)

Source of data: Publications Office, Unit C3

| Baseline 2015 | Interim Milestone | | Target 2020 | Latest known results 2016 |
|------------------|-------------------|--------|-------------|---------------------------|
| | 2016 | 2018 | | |
| 88.7% | 88.8 % | 88.9 % | 89 % | 89.09 % |

Result indicator: Reuse of CELLAR data (number of direct external accesses)

Source of data: Publications Office, Unit A2

| Baseline (not available) | Interim Milestone | | Target 2020 | Latest known results 2016 |
|-----------------------------|-------------------|-------------|--------------|---|
| | 2016 | 2018 | | |
| New indicator | > 6 million | > 9 million | > 10 million | 8 million (on average per working day) |

Result indicator: Number of Member States having implemented ELI in their system

Source of data: Publications Office, Unit B1

| Baseline (not available) | Interim Milestone | | Target 2020 | Latest known results 2016 |
|-----------------------------|-------------------|------|-------------|---------------------------|
| | 2016 | 2018 | | |
| New indicator | 8 | 10 | 12 | 10 |

Main outputs in 2016

Policy-related outputs

| Description | Indicator | Target 2016 | Latest known results 2016 |
|---|---|-------------|---------------------------|
| Increase the number of available EU datasets | Number of datasets on EU Open Data Portal | 8 500 | 9 255 |
| Dissemination of research results | Number of Horizon 2020 research reports available | 1 400 | 1 611 |
| Accessibility of data for access and reuse | Common Repository (CELLAR) – availability of the service (hardware, network, IT systems) | > 99 % | > 99 % |
| Participate in the implementation of the reuse policy | Percentage of requests related to copyrights and/or reuse answered within a deadline of 15 working days | 80 % | 93.44 % |