



Annual Activity Report 2021

Annexes

Legal Service

Table of Contents

ANNEX 2:	Performance tables.....	4
ANNEX 3:	Draft annual accounts and financial reports.....	13
ANNEX 4:	Financial Scorecard.....	23
ANNEX 5:	Materiality criteria.....	25
ANNEX 6:	Relevant Control Systems for budget implementation (RCSs).....	26
ANNEX 7:	Specific annexes related to "Financial Management".....	31
ANNEX 8:	Specific annexes related to "Assessment of the effectiveness of the internal control systems".....	32
ANNEX 9:	Specific annexes related to "Control results" and "Assurance Reservations".....	34
ANNEX 10:	Reporting – Human resources, digital transformation and information management and sound environmental management.....	35
ANNEX 11:	Implementation through national or international public-sector bodies and bodies governed by private law with a public sector mission (if applicable).....	38
ANNEX 12:	EAMR of the Union Delegations (if applicable).....	39
ANNEX 13:	Decentralised agencies and/or EU Trust Funds (if applicable).....	40
ANNEX 14:	Reporting on the Recovery and Resilience Facility.....	41

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

I declare that in accordance with the Commission's communication on the internal control framework ⁽¹⁾, I have reported my advice and recommendations on the overall state of internal control in the Legal Service to the Director-General.

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

Brussels at March 22, 2022

Electronic signature in ARES

William O'Leary
Head of Unit HR, IT and Finance and RMIC

⁽¹⁾ C(2017)2373 of 19.04.2017.

ANNEX 2: Performance tables

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

Impact indicator 1: Image of the European Commission

Source of the data: [Standard Eurobarometer 95](#)

Baseline (2019)	Interim Milestone ⁽¹⁾ (2022)	Target (2024)	Latest known results (2021)
43% (EU 27)	increase	increase	45%

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

Impact indicator 2: Staff engagement index in the Commission

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

Baseline (2018)	Interim Milestone (2022)	Target (2024)	Latest known results (2021)
69% EC rate	increase	increase	72%
73% Legal Service rate	increase	increase	76%

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

Impact indicator 3: Percentage of female representation in the Commission

Source of the data: DG HR

Baseline (2019)	Interim Milestone (2022)	Target (2024)	Latest known results (2021)
40.5%	increase	>=50%	45%

This indicator gives the percentage of female representation at middle and senior management level in the European Commission.

Impact indicator 4: Environmental performance in the Commission

Source of the data: [ES_2021_Results_2020_Corporate_Summary \(europa.eu\) \(Page 17\)](#)

Baseline (2014)	Interim Milestone (2022)	Target (2024)	Latest known results (2020)
0.24 tonnes/ person of non-hazardous waste	-9.7	-26% or - 0.17 (tonnes / person)	-0.1

⁽¹⁾ In case of short- or medium-term objectives (all targets are set to be achieved in less than 3 years) the milestones column should be deleted from the table.

This indicator looks at percentage reductions compared to 2014 levels. It gives the weighted average for eight Commission sites participating in the Eco-Management and Audit Scheme (EMAS) on specific core parameters. The sites are Commission buildings in Brussels and Luxembourg, as well as JRC sites Geel (Belgium), Petten (the Netherlands), Seville (Spain), Karlsruhe (Germany), and Ispra (Italy), along with DG SANTE at Grange (Ireland).

General objective 6:		A push for European democracy	
Impact indicator 8:		Perceived independence of the national justice systems in the European Union	
Source of the data:		Flash Eurobarometer n° 489 Perceived independence of the national justice systems in the EU among the general public.	
Baseline (2019)	Interim Milestone (2022)	Target (2024)	Latest known results (2021)
56% (EU 2/28)	increase	increase	54%

This indicator measures the percentage of the general public that perceives the independence of national justice systems as very or fairly good.

1.1 Legal Advice

Specific objective 1:		Legal proposals for adoption by the Council and the Parliament are transparent and high quality to ensure full benefit of rules to the EU citizens.	
		<i>Administrative spending</i>	
Result indicator 1.1:		Reply rate to consultations to Commission DGs and Services	
Source of the data:		Decide, Secretariat General	
Baseline (2020)	Interim Milestone ⁽²⁾ (2022)	Target (2024)	Latest known results (2021)
93%	>92%	>92%	88%
Main outputs in 2021:			
Other important outputs			
Output	Indicator	Target	Latest known results (situation on 31/12/2021)
Reply to all Fast track consultations within deadline (normally 48hours)	Reply rate	100%	100%
Reply to Parliamentary questions within deadline	Reply rate	99%	99%

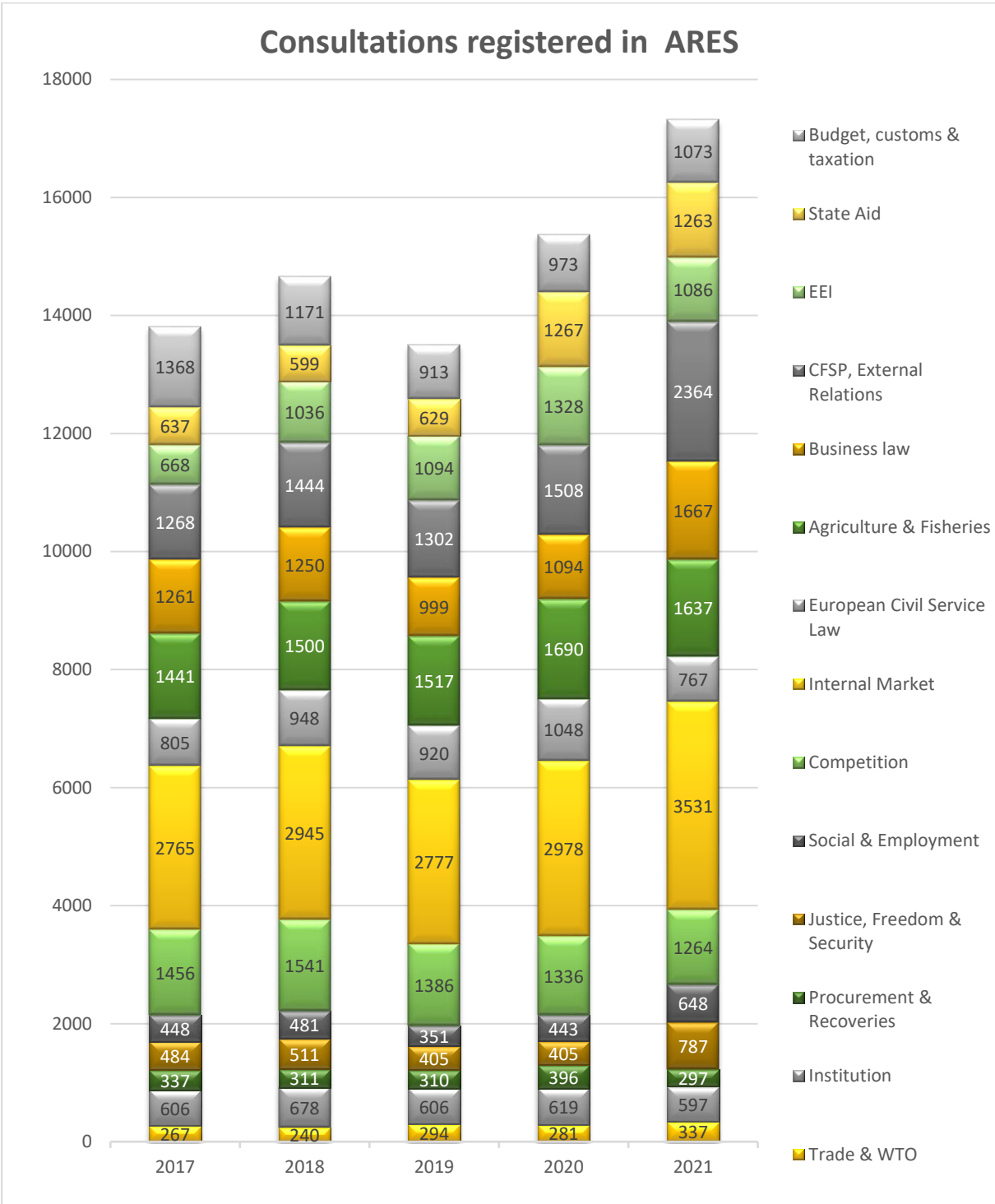
² The column should be deleted if only short-and medium term (less than 3 years) targets are set.

Table 1 below presents the evolution of the number of consultation requests per different category and their respective reply rate for 2021.

Number of consultations and reply rates						
	2017	2018	2019	2020	2021	
ARES	13.811	14.655	13.503	15.336	17.318	n/a
Decide	8.624	8.963	8.002	8.923	10.536	82%
Fast track	157	207	152	144	112	100%
Requests to Access to documents	250	225	275	209	205	100%
Requested number of documents (709	593	635	524	477	n/a
Parliamentary questions	7.365	6.264	4.400	6.853	5.681	99%
Petition	988	812	729	768	832	90%
Ombudsman	70	73	65	39	31	55%
Consolidated average reply rate	93%	91%	93%	93%	88%	

Since the onset of the COVID-19 pandemic, the number of Decide consultations has increased by 18% compared to 2020 and with a total of 32% compared to 2019.

Graph A below presents the evolution of the number of consultations registered in ARES and their attribution to the various teams.



Graph A: Evolution of consultations registered in ARES per year and legal team (Source: ARES)

The number of consultations received and registered in ARES increased by 13% compared to 2020, and an all-time high figure for the second year in a row with a total increase since 2019 of 28%.

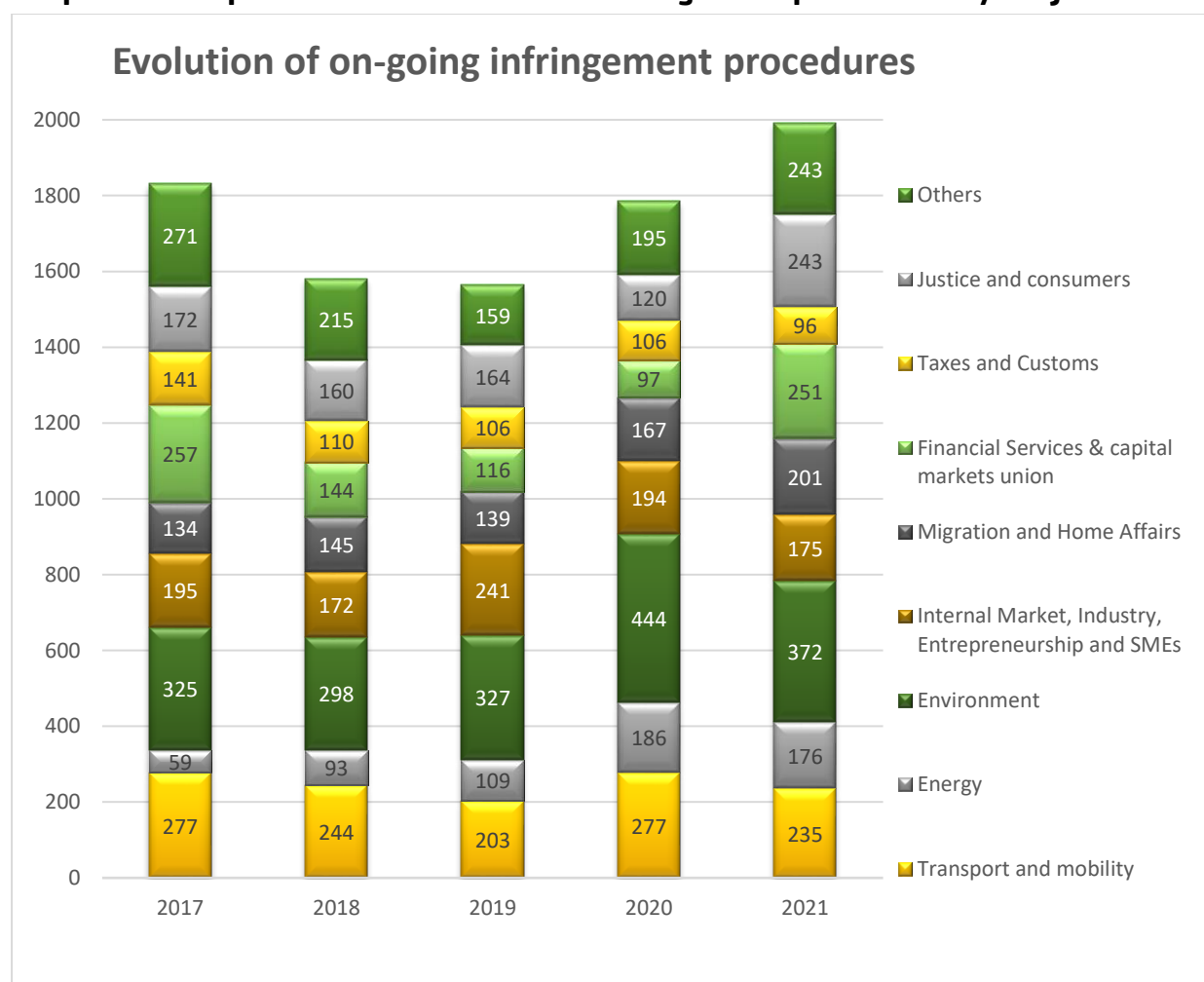
1.2 Infringements procedures (consultations)

Table 2 presents the evolution of Infringement procedures. Over the past two years, there is an increase of 33,5% for on-going infringement procedures.

Number of Infringement procedures managed by the Legal Service per year					
	2017	2018	2019	2020	2021
New	716	710	797	903	807
Closed	874	644	805	757	736
On-going	1.831	1.581	1.564	1.786	2.088

Table 2: Number of Infringement procedures (Source: NIF database)

Graph B below presents the evolution of infringement procedures by subject.



Graph B: Evolution of Infringement procedures (consultations) (Source: NIF database)

The number of on-going infringement consultations has increased by 17% compared to 2020, and an all-time high figure for the second year in a row with a total increase since 2019 of 32%.

Table 3 below presents the evolution of Infringement court cases over the past five years.

Number of Infringement court cases registered by the Legal Service per year					
	2017	2018	2019	2020	2021
New cases	37	58	34	16	19
Closed cases	27	53	35	33	23
Of which "Radiation"	9	21	9	3	3
On-going cases	48	58	57	40	36

Table 3: Number of Infringement court cases (Source: *THEMIS* database).


1.3 Quality of Legislation

Specific objective 1: Legal proposals for adoption by the Council and the Parliament are transparent and high quality to ensure full benefit of rules to the EU citizens.

Administrative spending

Result indicator 1.2: Contribution to ensure that draft legal proposals are of high linguistic quality when they are sent to the Council and European Parliament for adoption

Source of the data: Decide, Commission Agenda planning

Baseline (2020r)	Interim Milestone (2022)	Target (2024), annual target	Latest known results (2021)
All selected draft legal proposals to undergo legal revision	maintain	100%	2.243 legal acts selected and reviewed
All identified acts to be codified as of the Commission agenda planning 	maintain	100%	3 acts codified representing 100%

Main outputs in 2021:

Other important outputs

Output	Indicator	Target (2024)	Latest known results (situation on 31/12/2021)
Legal revisions in two or more official languages	Number of texts selected and reviewed	>100	112
Corrigenda texts	Number of texts selected and reviewed	>250	400

Table 4 below presents the evolution of the work performed by the LEG team over the past five years.

Number of legal texts dealt with by the Quality of Legislation team per year						
	2017	2018	2019	2020	2021	Target
Selected draft legal proposals from <i>Decide</i>	1.487	1.675	1.403	1695	1.843	1.800
% of total proposals in <i>Decide</i>	19%	21%	18%	19%	21%	-
Of which revised in >2 official languages	98	150	150	89	112	>100
Number of corrigenda	420	303	394	395	400	>250
Codified texts from the <i>Commission Agenda Planning</i>	6	4	3	5	3	3
Number of pages reviewed	32.000	61.000	38.000	40.816	50.762	38.000

Table 4: Number of texts revised (Sources: *Decide* and *Jurrev*)

1.4 Legal Representation

Specific objective 2:	Guarding the Treaties and defending the interests of the European Commission in courts, tribunals and other arbitration bodies to ensure full benefit of law for all EU citizens.		
	<i>Administrative spending</i>		
Result indicator 2.1:	Legal representation is timely and of high quality in order to defend the interests of the European Commission and the EU citizens		
Source of the data:	<i>Base Contentieux</i> , and <i>NAT</i> (Legal Service databases)		
Baseline (2020)	Interim Milestone ⁽³⁾ (2022)	Target (2024)	Latest known results (2021)
All written documents are files at the courts within deadline	Maintain at 100%	100%	100%
Presence by Legal Service staff in all court hearings in the Courts of the Union	Maintain at 100%	100%	100%
Legal representation in all national courts	Maintain at 100%	100%	100%

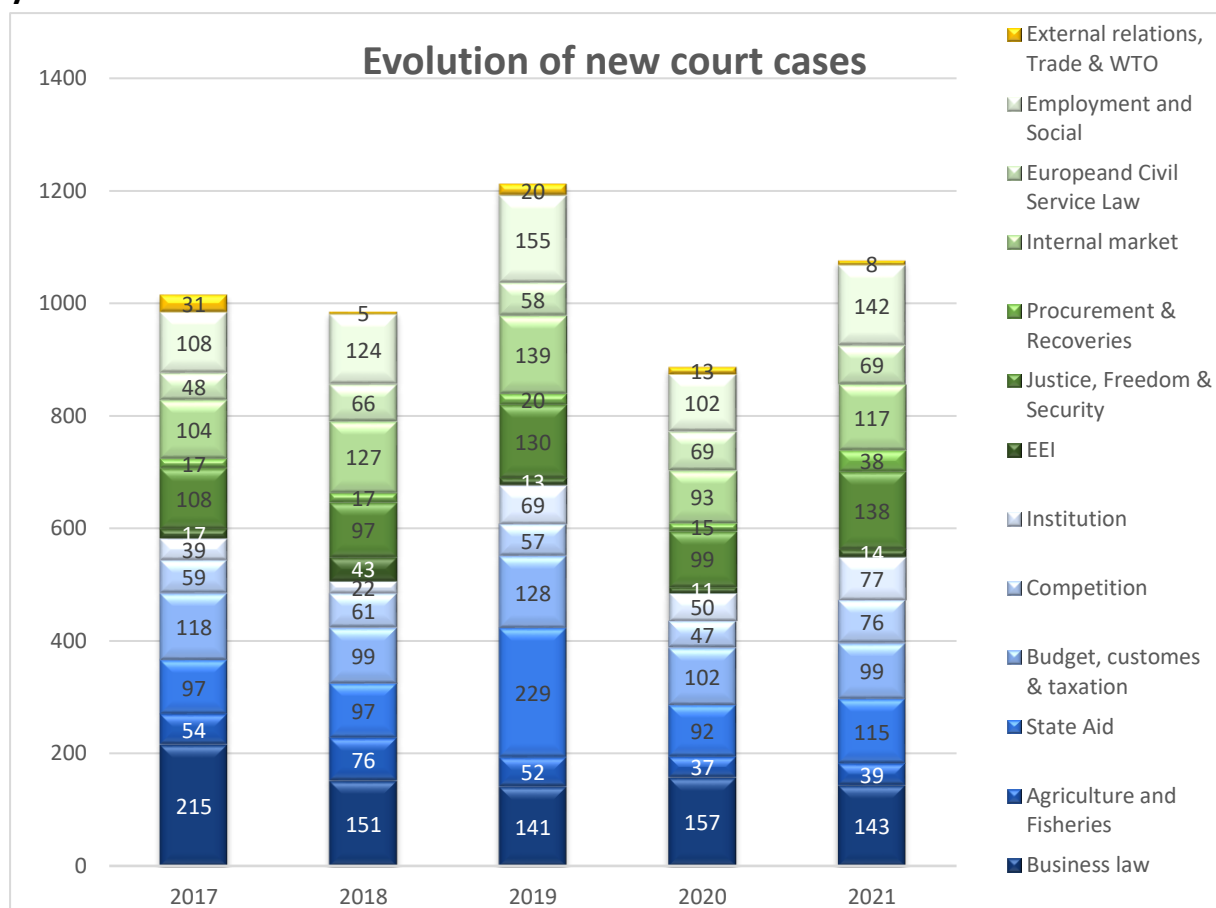
³ The column should be deleted if only short-and medium term (less than 3 years) targets are set.

Table 5 below presents the evolution of cases registered in the Union Courts over the past five years.

Number of registered cases in the Courts of the Union per year					
	2017	2018	2019	2020	2021
New cases registered at the Courts of the Union	1.224	1.140	1.465	1.098	1.244
No intervention by the Commission	209	155	254	211	165
New cases dealt with by the Legal Service	1.015	985	1.211	887	1.079
Closed cases	1.047	1.223	1.218	1.065	1.238
On-going cases	1.759	1.676	1.923	1.956	1.962

Table 5: Evolution of cases in the Courts of the Union (Source: *Base Contentieux* database)

Graph C: presents the number of cases attributed to the legal teams the past five years.



Graph C: Number of new Court cases before the European Court of Justice registered in the Legal Service (Source: *Base Contentieux* database)

Table 6 below presents the outcome of the closed cases in the Courts of the Union and the EFTA court over the past five years

Outcome of Court decisions per jurisdiction for 2021						
Jurisdiction	Won	Lost	Partly	<i>Non-applicable</i>	<i>No intervention</i>	<i>Total Court decisions</i>
Court of Justice	437	30	42	191	20	720
General court	223	46	9	64	176	518
EFTA	15	0	1	0	0	16
TOTAL	675	76	52	255	196	1.254

Table 6: Results of the proceedings before the Union Courts (Source: *Base Contentieux*).

Out of the 1.254 Court decisions, 1.238 were taken by the Union Courts and 16 by the EFTA court.

Non-applicable: These are cases registered at the Courts of the Union for which a decision has already been taken, for direct orders, for inadmissible cases and for cases where the Commission only gives advice.

No intervention: Cases in which the European Commission is not a party, but the European Council, the European Parliament or one of the European Agencies is.

1.5 Negotiation on the access to the European Convention of Human Rights

Specific objective 3:		Negotiations on the accession for the European Union to the European Convention on Human Rights (ECHR)	
		<i>Administrative spending</i>	
Result indicator:		Regular reporting on the progress on the negotiations to the Commissioners	
Source of the data:		Number of reports	
Baseline (2019)	Interim Milestone ⁽⁴⁾ (2022)	Target (2024)	Latest known results (2021)
Appointment of the Legal Service to negotiate the accession for the European Union to accede to the ECHR	Regular reports on the progress on the negotiations to the Council and European Parliament	Initiation of the ratification process	5 negotiation rounds held in 2021 which have been reported on.
Main outputs in 2021:			
Other important outputs			
Output	Indicator	Target	Latest known results (situation on 31/12/2021)
Regular communication on the progress in the negotiations to accede to the ECHR	Number of reports	>2 per year	The five negotiation rounds have been reported on

⁴ The column should be deleted if only short-and medium term (less than 3 years) targets are set.

ANNEX 3: Draft annual accounts and financial reports

Annex 3 Financial Reports - DG SJ - Financial Year 2021

Table 1 : Commitments

Table 2 : Payments

Table 3 : Commitments to be settled

Table 4 : Balance Sheet

Table 5 : Statement of Financial Performance

Table 5 Bis: Off Balance Sheet

Table 6 : Average Payment Times

Table 7 : Income

Table 8 : Recovery of undue Payments

Table 9 : Ageing Balance of Recovery Orders

Table 10 : Waivers of Recovery Orders

Table 11 : Negotiated Procedures

Table 12 : Summary of Procedures

Table 13 : Building Contracts

Table 14 : Contracts declared Secret

Table 15 : FPA duration exceeds 4 years

Additional comments

None

TABLE 1: OUTTURN ON COMMITMENT APPROPRIATIONS IN 2021 (in Mio €) for DG SJ					
			Commitment appropriations authorised	Commitments made	%
			1	2	3=2/1
Title 02 European Strategic Investments					
02	02 04	Digital Europe programme	0,10	0,10	100,00 %
Total Title 02			0,10	0,10	100,00 %
Title 07 Investing in People, Social Cohesion and Values					
07	07 20	Pilot projects, preparatory actions, prerogatives and other actions	0,10	0,10	100,00 %
Total Title 07			0,10	0,10	100,00 %
Title 20 Administrative expenditure of the European Commission					
20	20 02	Other staff and expenditure relating to persons	0,00	0,00	98,95 %
	20 03	Administrative Operating expenditure	2,54	2,31	90,94 %
	20 04	Information and communication technology related expenditure	0,26	0,26	99,99 %
Total Title 20			2,81	2,58	91,79 %
Total Excluding NGEU			3,00	2,77	92,33 %
Total DG SJ			3,00	2,77	92,33 %

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

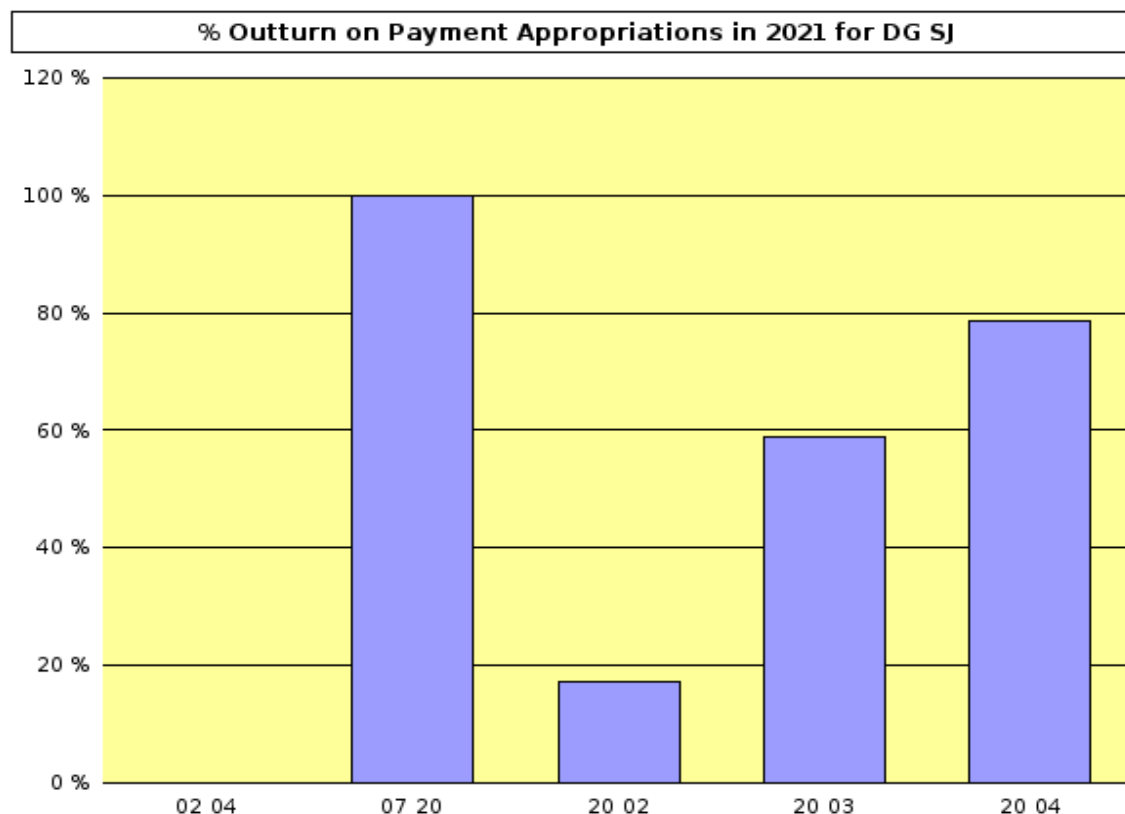


TABLE 2: OUTTURN ON PAYMENT APPROPRIATIONS in 2021 (in Mio €) for DG SJ					
			Payment appropriations authorised *	Payments made	%
			1	2	3=2/1
Title 02 European Strategic Investments					
02	02 04	Digital Europe programme	0,00	0,06	0,00 %
Total Title 02			0,00	0,06	0,00%
Title 07 Investing in People, Social Cohesion and Values					
07	07 20	Pilot projects, preparatory actions, prerogatives and other actions	0,09	0,09	100,00 %
Total Title 07			0,09	0,09	100,00%
Title 20 Administrative expenditure of the European Commission					
20	20 02	Other staff and expenditure relating to persons	0,01	0,00	17,22 %
	20 03	Administrative Operating expenditure	5,54	3,27	59,06 %
	20 04	Information and communication technology related expenditure	0,37	0,29	78,62 %
Total Title 20			5,92	3,56	60,22%
Total Excluding NGEU			6,01	3,71	61,76%
Total DG SJ			6,01	3,71	61,76 %

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

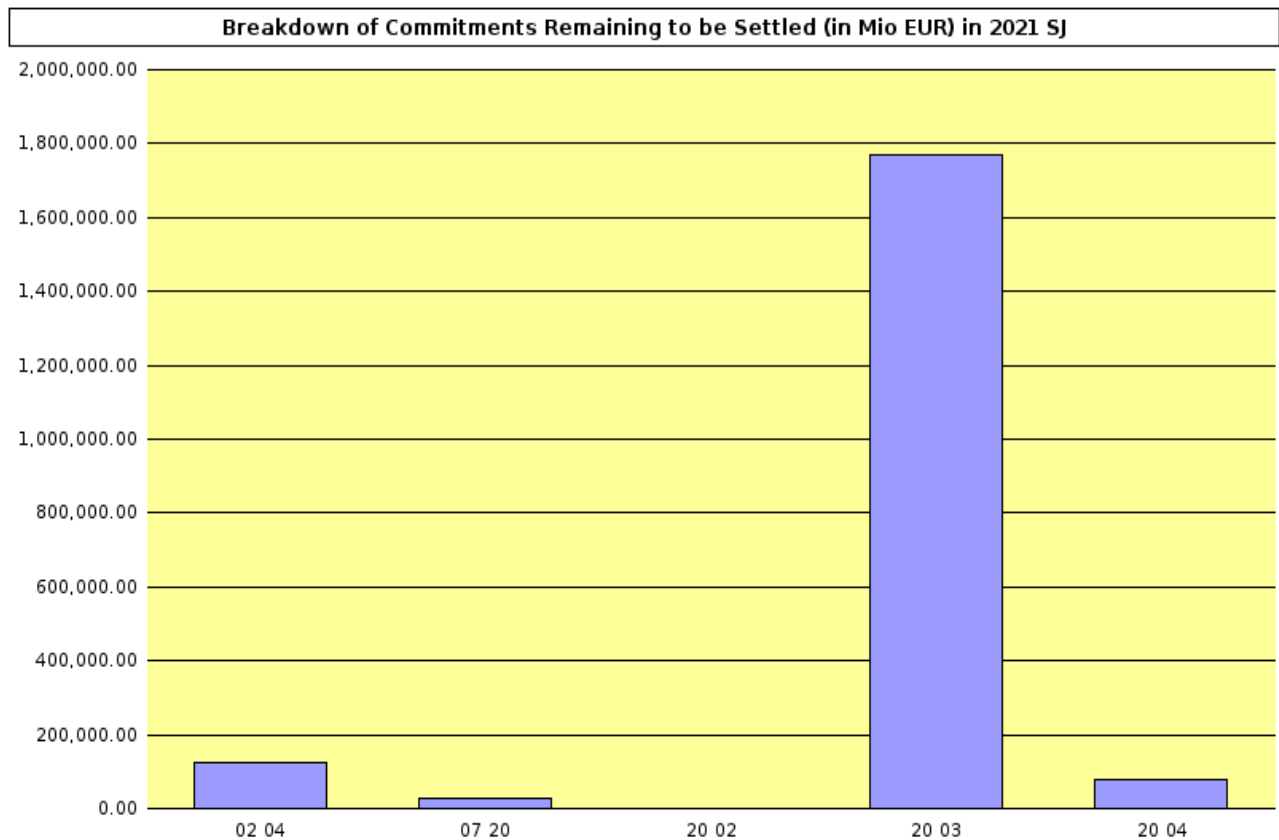


TABLE 3 : BREAKDOWN OF COMMITMENTS TO BE SETTLED AT 31/12/2021 (in Mio €) for DG SJ									
Chapter			Commitments to be settled				Commitments to be settled from financial years previous to 2020	Total of commitments to be settled at end of financial year 2021	Total of commitments to be settled at end of financial year 2020
			Commitments	Payments	RAL	% to be settled			
			1	2	3=1-2	4=1-2/1	5	6=3+5	7
02	02 04	Digital Europe programme	0,10	0,00	0,10	100,00%	0,02	0,12	0,08
Total Title 02			0,10	0,00	0,10	100,00%	0,02	0,12	0,08
TABLE 3 : BREAKDOWN OF COMMITMENTS TO BE SETTLED AT 31/12/2021 (in Mio €) for DG SJ									
Chapter			Commitments to be settled				Commitments to be settled from financial years previous to 2020	Total of commitments to be settled at end of financial year 2021	Total of commitments to be settled at end of financial year 2020
			Commitments	Payments	RAL	% to be settled			
			1	2	3=1-2	4=1-2/1	5	6=3+5	7
07	07 20	Pilot projects, preparatory actions, prerogatives and other actions	0,10	0,07	0,03	29,20%	0,00	0,03	0,03
Total Title 07			0,10	0,07	0,03	29,20%	0,00	0,03	0,03
TABLE 3 : BREAKDOWN OF COMMITMENTS TO BE SETTLED AT 31/12/2021 (in Mio €) for DG SJ									
Chapter			Commitments to be settled				Commitments to be settled from financial years previous to 2020	Total of commitments to be settled at end of financial year 2021	Total of commitments to be settled at end of financial year 2020
			Commitments	Payments	RAL	% to be settled			
			1	2	3=1-2	4=1-2/1	5	6=3+5	7
20	20 02	Other staff and expenditure relating to persons	0,00	0,00	0,00	58,60%	0,00	0,00	0,01
	20 03	Administrative Operating expenditure	2,31	0,54	1,77	76,49%	0,00	1,77	2,99
	20 04	Information and communication technology related expenditure	0,26	0,18	0,08	30,39%	0,00	0,08	0,11
Total Title 20			2,58	0,73	1,85	71,81%	0,00	1,85	3,11
Total Excluding NGEU			2,77	0,80	1,98	71,31%	0,02	2,00	3,22
Total for DG SJ			2,77247277	0,80	1,98	71,31 %	0,02	2,00	3,22

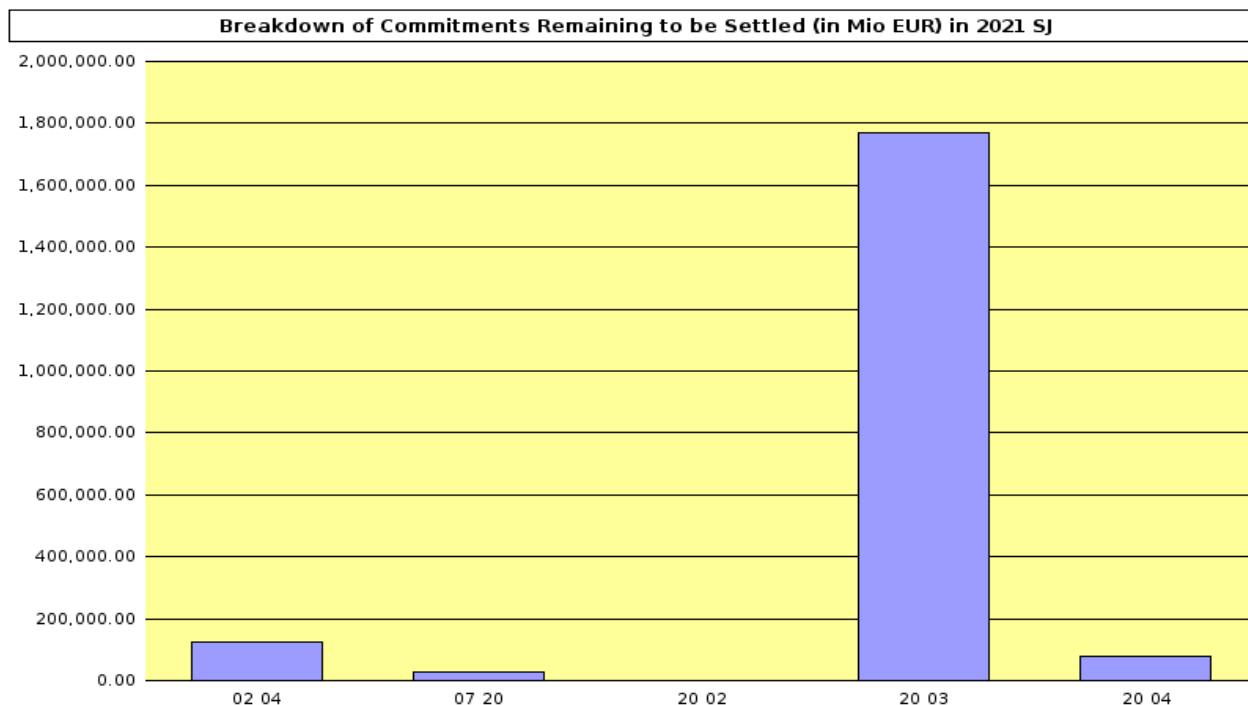


TABLE 4 : BALANCE SHEET for DG SJ		
BALANCE SHEET	2021	2020
A.II. CURRENT ASSETS	525665,86	614468,75
A.II.3. Curr Exch Receiv & Non-Ex Recoverables	525.665,86	614.468,75
ASSETS	525665,86	614468,75
P.II. CURRENT LIABILITIES	-3697749,21	-3839552,21
P.II.2. Current Provisions	-3.691.098,00	-3.832.901,00
P.II.4. Current Payables	-6.651,21	-6.651,21
P.II.5. Current Accrued Charges & Defrd Income	0,00	0,00
LIABILITIES	-3697749,21	-3839552,21
NET ASSETS (ASSETS less LIABILITIES)	-3172083,35	-3.225.083,46
P.III.2. Accumulated Surplus/Deficit	26.016.438,21	23103156,75
Non-allocated central (surplus)/deficit*	-22.844.354,86	-19878073,29
TOTAL DG SJ	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 for DG SJ		
STATEMENT OF FINANCIAL PERFORMANCE	2021	2020
II.1 REVENUES	-640797,67	-1053592,24
II.1.1. NON-EXCHANGE REVENUES	-483573,96	-692891,94
II.1.1.8. OTHER NON-EXCHANGE REVENUES	-483.573,96	-692.891,94
II.1.2. EXCHANGE REVENUES	-157223,71	-360700,3
II.1.2.2. OTHER EXCHANGE REVENUE	-157.223,71	-360.700,30
II.2. EXPENSES	4069169,9	3966873,7
II.2. EXPENSES	4069169,9	3966873,7
II.2.10.OTHER EXPENSES	3.944.142,62	3.870.975,35
II.2.2. EXP IMPLM BY COMMISS&EX.AGENC. (DM)	124.936,63	95.898,35
II.2.8. FINANCE COSTS	90,65	
STATEMENT OF FINANCIAL PERFORMANCE	3.428.372,23	2.913.281,46

TABLE 5bis : OFF BALANCE SHEET for DG SJ		
OFF BALANCE	2021	2020
OB.2. Contingent Liabilities	-5536647	-5749352
OB.2.7. CL Legal cases OTHER	-5.536.647,00	-5.749.352,00
OB.4. Balancing Accounts	5536647	5749352
OB.4. Balancing Accounts	5.536.647,00	5.749.352,00
OFF BALANCE	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 6: AVERAGE PAYMENT TIMES in 2021 for SJ

Legal Times									
Maximum Payment Time (Days)	Total Nbr of Payments	Nbr of Payments within Time Limit	Percentage	Average Payment Times (Days)	Nbr of Late Payments	Percentage	Average Payment Times (Days)	Late Payments Amount	Percentage
30	464	453	97,63%	10,3995585	11	2,37%	40	45936,54	1,%
60	4	4	100,00%	6,25				0	0%

Total Number of Payments	468	457	97,65%		11	2,35%		45936,54	1%
Average Net Payment Time	11,1			10,4			40,4		
Average Gross Payment Time	12,5			11,8			40,4		

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	38	18	3,85 %	468	332.425,15	8,93%	3.722.694,72

Late Interest paid in 2021

DG	GL Account	Description	Amount (Eur)
SJ	65010000	Interest expense on late payment of charges	90,65
			90,65

TABLE 7 : SITUATION ON REVENUE AND INCOME in 2021 for DG SJ

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	7=3-6
33 Other administrative revenue	141.479,49	614.468,75	755.948,24	123.939,95	106.342,43	230.282,38	525.665,86
Total DG SJ	141479,49	614468,75	755948,24	123939,95	106342,43	230282,38	525665,86

TABLE 8 : RECOVERY OF PAYMENTS in 2021 for DG SJ
(Number of Recovery Contexts and corresponding Transaction Amount)

Year of Origin (commitment)	Total undue payments recovered		Total transactions in recovery context (incl. non-qualified)		% Qualified/Total RC	
	Nbr	RO Amount	Nbr	RO Amount	Nbr	RO Amount
No Link			42	157331,26		
Sub-Total			42	157331,26		

EXPENSES BUDGET	Irregularity		OLAF Notified		Total undue payments recovered		Total transactions in recovery context (incl. non-qualified)		% Qualified/Total RC	
	Nbr	Amount	Nbr	Amount	Nbr	Amount	Nbr	Amount	Nbr	Amount
INCOME LINES IN INVOICES										
NON ELIGIBLE IN COST CLAIMS										
CREDIT NOTES	7	83538,79			7	83538,79	11	115.836,23	63,64%	72,12%
Sub-Total	7	83538,79			7	83538,79	11	115836,23	63,64%	72,12%
GRAND TOTAL	7	83538,79			7	83538,79	53	273167,49	13,21%	30,58%

TABLE 9: AGEING BALANCE OF RECOVERY ORDERS AT 01/01/2021 for DG SJ

	Number at 31/12/2021	Number at 01/01/2021	Evolution	Open Amount (Eur) at 31/12/2021	Open Amount (Eur) at 01/01/2021	Evolution
2001	2	2	0,00 %	14.873,61	14.873,61	0,00 %
2013	5	7	40,00 %	53.685,50	72.770,85	35,55 %
2014	6	6	0,00 %	44.177,50	44.177,50	0,00 %
2015	3	5	66,67 %	65.010,68	76.023,68	16,94 %
2016	13	13	0,00 %	117.887,31	117.887,31	0,00 %
2017	19	19	0,00 %	51.900,00	51.900,00	0,00 %
2018	9	10	11,11 %	100.481,10	115.735,40	15,18 %
2019	2	2	0,00 %	24.739,00	24.739,00	0,00 %
2020	2	8	300,00 %	35.371,62	96.361,40	172,43 %
2021	7		-100,00 %	17.539,54		-100,00 %
	68	72	5,88 %	525.665,86	614.468,75	16,89 %

TABLE 10 :Recovery Order Waivers >= 60 000 € in 2021 for DG SJ						
	Waiver Central Key	Linked RO Central Key	RO Accepted Amount (Eur)	LE Account Group	Commission Decision	Comments

Total DG SJ	
-------------	--

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

There are 3 waivers below 60 000 € for a total amount of -16,512.22

TABLE 11 : Negotiated Procedures in 2021 for DG SJ
--

Negotiated Procedure Legal base	Number of Procedures	Amount (€)
<i>Not applicable</i>		
Total		

TABLE 12 : Summary of Procedures in 2021 for DG SJ
--

Internal Procedures > € 60,000

Procedure Legal base	Number of Procedures	Amount (€)
Negotiated procedure without prior publication (Annex 1 - 11.1)	6	2.572.803,50
Total	6	2.572.803,50
Additional Comments: <i>No additional comments</i>		

TABLE 13 : BUILDING CONTRACTS in 2021 for DG SJ				
---	--	--	--	--

Legal Base	Procedure subject	Contract Number	Contractor Name	Contract Subject
<i>Not applicable</i>				

TABLE 14 : CONTRACTS DECLARED SECRET in 2021 for DG SJ				
Legal Base	LC Date	Contract Number	Contract Subject	Contracted Amount (€)
<i>Not applicable</i>				

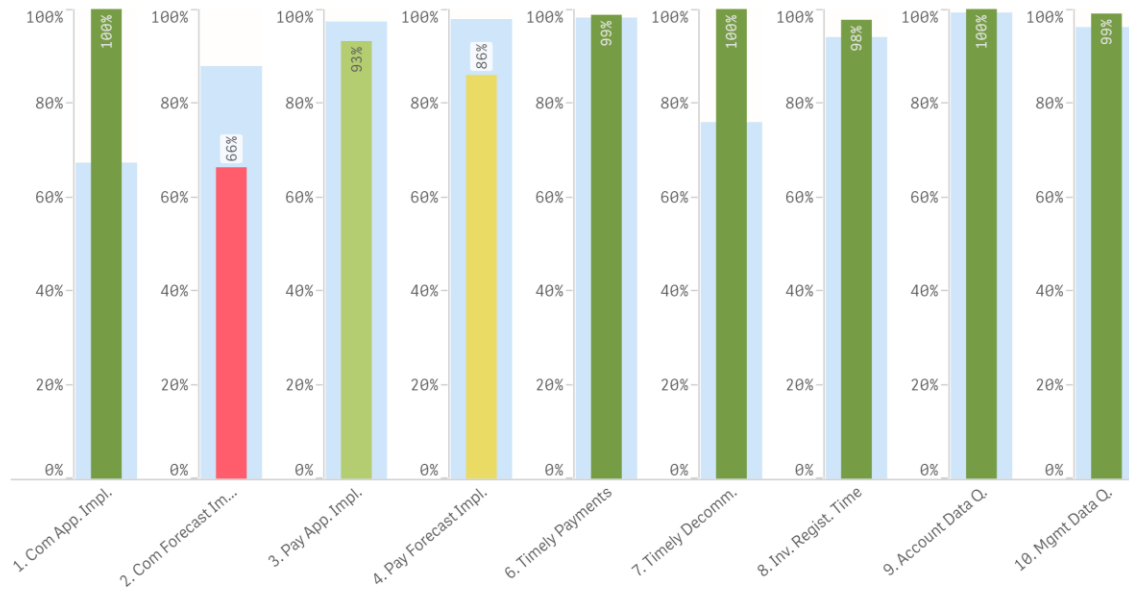
TABLE 15 : FPA duration exceeds 4 years - DG SJ
<i>Not applicable</i>

TABLE 16 : Commitments co-delegation type 3 in 2021 for DG SJ
<i>Not applicable</i>

ANNEX 4: Financial Scorecard

Comments to the Indicator Scores for 2021 can be found on next page.

SJ Indicator Scores 2021



For each indicator the light blue bar denotes the EC Score.

Indicator	Objective	Comment	SJ Score	EC Score
1. Commitment Appropriations Implementation	Ensure efficient use of commitment appropriations expiring at the end of Financial Year	Objective reached	100%	67%
2. Commitment Forecast Implementation	Ensure the cumulative alignment of the commitment implementation with the commitment forecast in a financial year	On November 17, 2021, the Legal Service decommitted an amount of 1.5 million €, which was utilised by DG Budg on December 17, 2021. The indicator should be 100% for 2021.	66%	88%
3. Payment Appropriations Implementation	Ensure efficient use of payment appropriations expiring at the end of Financial Year	Due to the specificities of the work of the Legal Service, it is not possible to plan the payments.	93%	97%
4. Payment Forecast Implementation	Ensure the cumulative alignment of the payment implementation with the payment forecast in a financial year	With reference to the comment made for indicator n°2. Commitment Forecast Implementation). The Payment Forecast Implementation should read 93%.	86%	98%
5. Global Commitment Absorption	Ensure efficient use of already earmarked commitment appropriations (at L1 level)	The indicator is not applicable for SJ in YEAR due to the lack of underlying transactions recorded by SJ in 2021.	-	98%
6. Timely Payments	Ensure efficient processing of payments within the legal deadlines	Objective reached	99%	98%
7. Timely Decommitments	Ensure efficient decommitment of outstanding RAL at the end of commitment life cycle	Objective reached	100%	76%
8. Invoice Registration Time	Monitor the accounting risk stemming from late registration of invoices in the central accounting system ABAC	Objective reached	98%	94%
9. Accounting Data Quality	Ensure the good data quality of ABAC transactions with the focus on fields having a primary impact on the accounts	Objective reached	100%	99%
10. Management Data Quality	Ensure the good data quality of ABAC transactions with the focus on fields having a primary impact on the management decisions	Objective reached	99%	96%

ANNEX 5: Materiality criteria

This annex provides a detailed explanation on how the AOD defined the materiality threshold as a basis for determining whether significant weaknesses should be subject to a formal reservation to his/her declaration.

Since 2019⁽⁵⁾, a 'de minimis' threshold for financial reservations has been introduced. Quantified AAR reservations related to residual error rates above the 2% materiality threshold, are deemed not substantial for segments representing less than 5% of a DG's total payments and with a financial impact below EUR 5 million. In such cases, quantified reservations are no longer needed.

In this sense, the Legal Service has selected as its materiality threshold 2% of annual payment consumption. For 2021, it is set at EUR 74.000 and complemented with a second threshold in its daily management, namely that transactions exceeding EUR 30.000 must be brought to the attention of the Director-General or his deputy for approval for approval.

Controls implemented by the Legal Service in its financial procedures are designed to detect and correct any errors which may occur.

Each year, the Legal Service estimates the financial exposure linked to lost court cases and other situations in which the Legal Service must pay the legal fees of the opposing party. The procedure for identifying and determining the amount to be provided for has been applied over many years.

The general approach is to be conservative in the assessment of the provision for lost court cases. The total exposure is split into a provision of the amount most likely to be paid (40%) with the remaining part being recorded as a contingent liability (60%).

The actual figures are compared with the estimates in order to improve the accuracy of the provision.

No errors, which occurred in 2021 were, by their nature or frequency, considered to be of significant or of material importance. Therefore, the Legal Service considers that it has an appropriate level of management and control systems in place.

⁽⁵⁾ Agreement of the Corporate Management Board of 30/4/2019.

ANNEX 6: Relevant Control Systems for budget implementation (RCSs)

The Legal Service has no program or policy spending, mainly only administrative expenditure. Close to 90% of total payments were for the administrative budget line for **Legal Advice, Litigation** and which is divided into two sub-categories:

- Procurement of legal expertise (68%)
- Costs paid to opposing parties for their legal costs (22%)

1. Procurement of legal expertise

Stage 1: Ex ante controls in the procurement of legal expertise

External legal expertise is mainly needed for representation in national court cases for which recognised national lawyers are required and occasionally for cases in the Union Courts where specialised legal expertise is needed. The work performed by the external lawyers covers a limited part of the Legal Service's work. Once determined that external legal expertise is required, potential external lawyers or legal experts are identified and a negotiated procedure is initiated. The Legal Service uses negotiated procedures without publication of a contract notice in the Official Journal according to Article 134 RAP.

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

Main risks It may happen (again) that...	Mitigating controls	Coverage, frequency and depth of controls	Cost-Effectiveness indicators (three E's)
<p>Risk of not obtaining value for money due to – sometimes - limited time available for the negotiation procedure.</p> <p>Risk of non-compliance with legality and regularity and criticism of choice of contract partner due to limited time available for the negotiation procedure</p>	<p>The purpose of the established authorisation chain is to ensure that proposed contracts with external providers will ensure value for money.</p> <p>Assessment of legal expertise of the external provider</p> <p>The Financial Cellule provides management with quarterly information about the contracts with external providers allowing for hierarchical control of awarded contracts.</p>	<p>100% of the specifications are verified at Director level (Head of Unit in the MAREC team).</p> <p>100% of the contracts above the financial threshold (for contracts with external lawyers: 20.000 € for Head of Unit and 30.000 € for Director) are reviewed at DDG/DG level based on risk and sensitivity.</p>	<p>Effectiveness: N° of contracts discontinued due to poor quality of service</p> <p>Efficiency Average cost per contract.</p> <p>Economy Estimation of cost of staff involved and the related contract values (if external expertise is used).</p>
<p>Due to time constraints, there may not be enough time to identify the most competent</p>	<p>Review of all contracts by the Financial Cellule, by the legal coordinator and approval by the Director and by the</p>	<p>100 % of contracts are controlled by the Financial Cellule before signature by the</p>	<p>Effectiveness N° of received complaints</p> <p>Efficiency</p>

<p>external provider</p> <p>The most economically advantageous offer is not selected due to the limitations in the negotiated procedure</p> <p>Damage to the Legal Service's reputation if conflict of interest is discovered.</p>	<p>Director General for contracts above EUR 30.000.</p> <p>Declaration on honour regarding exclusion criteria requested for all tenders >15.000 €.</p> <p>Frequent staff awareness on conflict of interest.</p>	<p>Director-General.</p> <p>Contracts below 20.000 € are signed by Head of Unit and below 30.000 € are signed by the Directors.</p> <p>Contracts above 30.000 € are signed by the Director-General</p>	<p>Average cost of a contracting procedure.</p> <p>Economy</p> <p>Estimation of costs involved</p>
<p>Poor or non-execution by the external provider due to lack of competence in the legal area</p> <p>The services provided for are not, totally or partially, provided in accordance with the requirements in the contract and/or the amounts paid exceed those due in accordance with the applicable contract</p>	<p>Close monitoring of the work executed by the staff in the teams</p> <p>The Financial Cellule keeps records on total consumption of each contract.</p>	<p>100% of contracts and invoices for the work executed by the external provider is monitored and controlled by the teams.</p> <p>100% of received invoices are controlled by the Financial Cellule. The <i>Conforme aux faits</i> is given by the agents in charge.</p>	<p>Effectiveness</p> <p>% error rate relating to contract management and payments.</p> <p>Efficiency</p> <p>Time-to-pay</p> <p>Late interest payments</p> <p>Economy</p> <p>Estimation of cost of staff involved.</p>

Stage 2: Ex post controls in the procurement of legal expertise

Main internal 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	Coverage, frequency and depth of controls	Cost-Effectiveness indicators (three E's)
<p>Poor or non-execution by the external provider due to lack of competence in the legal area</p> <p>The services provided for are not, totally or partially, provided in accordance with the requirements in the contract and/or the amounts paid exceed those due in accordance with the applicable contract</p>	<p>Close monitoring of the work executed by the staff in the teams</p> <p>The Financial Cellule keeps records on total consumption of each contract.</p>	<p>100% of contracts and invoices from external legal expertise are monitored and controlled by the teams</p> <p>Agents give <i>Conforme aux faits</i>. Director (HoU in MAREC) or DG if above ceiling amounts give the <i>Bon pour payer</i>.</p> <p>100% of invoices are controlled by the Financial Cellule.</p> <p>The depth depends on the risk criteria.</p>	<p>Effectiveness</p> <p>% error rate relating to contract management and payments.</p> <p>Efficiency</p> <p>Time-to-pay</p> <p>Late interest payments</p> <p>Economy</p> <p>Estimation of cost of staff involved.</p>
<p>An error or non-compliance with regulatory and contractual provisions,</p>	<p>Supervisory desk review of procurement and financial transactions</p>	<p>Sample test at least once a year to determine any errors or systemic problems or weaknesses</p>	<p>Effectiveness</p> <p>Amounts associated with errors detected (related to</p>

including technical specifications, or fraud is not prevented, detected or corrected by ex-ante control, prior to payment.	Ex-post publication of contracts awarded (and subsequent publication in the EU Financial Transparency System) Review of ex-post results Review of derogations and non-compliance events reported Quarterly review of the summary data of awarded contracts	in the procedures 100% of all contracts approved by a superior function and for contracts >EUR 30.000 approval by Director-General or the Deputy Director-General Quarterly report on contracts with external lawyers are reviewed by management 100% of all invoices reviewed by the Financial Cellule Review and assessment of potential derogations and non-compliance events during the year (100% covered).	fraud, irregularities and errors Efficiency: Costs of the ex post controls and supervisory measures with respect to the 'benefits' Average cost of an ex-post control Economy: Estimation of cost of staff involved
--	---	--	--

2. Compensation to opposing parties for their legal costs

Stage 1: Ex ante controls in compensations to opposing parties for their legal costs

The court may decide that the legal costs incurred by the opposing party should be compensated, fully or partly, by the Legal Service. By its nature, there is no procurement procedure preceding these payments. The obligation arises as a result of the court decision. Upon receipt of the cost claim from the opposing party, the Legal Service assesses the amount claimed. The claim is then either accepted, re-negotiated or the court is asked to determine the amount to be paid.

At year end, the Legal Service makes provisions for claimed cost compensations which have not yet been agreed on. This provision is based on historical experience. The difference between the claimed compensation amount and the provisioned amount is recorded as a contingent liability

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

Main risks It may happen (again) that...	Mitigating controls	Coverage, frequency and depth of controls	Cost-Effectiveness indicators (three E's)
<p>For individual claims and payments:</p> <p>Risk that the budget request will be sufficient to cover future payments to opposing parties for their legal fees</p> <p>Risk that the year-end closing provision will not be sufficiently conservative to cover future expenditure for compensation claims by opposing parties.</p>	<p>The database for litigation requires all closed court cases to be assessed to have a financial consequence. Based on this information, a yearly provision of expenditure to opposing parties is calculated (for the year end closure).</p> <p>Actual payments are compared with the estimates. The ratio is used for future budget requests.</p>	<p>100% of closed cases identified with a financial consequence are covered.</p> <p>Yearly assessment based on best estimate is compared with actual outcome.</p> <p>This procedure has, over the years, proved to provide estimates of good precision.</p>	<p>Effectiveness</p> <p>Assessment of precision by comparison of estimated with actual figures.</p> <p>Efficiency</p> <p>Estimated average cost per payment.</p> <p>Economy</p> <p>Estimation of cost of staff involved</p>
<p>For individual claims and payments:</p> <p>Acceptance of too high cost claims from opposing parties resulting in unnecessarily high expenditure for the Legal Service.</p>	<p>Analysis, assessment and discussion with the hierarchy in order to determine a reasonable amount for the opposing party's legal costs</p> <p>The DDG is informed of all claims >EUR 30.000 and a proposal to accept the amount or to negotiate it by the agent/Director</p>	<p>100% of claims are approved by the hierarchy, only thereafter is the invoice recorded and the payment procedure initiated.</p> <p>100% of invoices are controlled by the Financial Cellule</p>	<p>Effectiveness</p> <p>N° of control failures</p> <p>Efficiency</p> <p>Average cost per payment.</p> <p>Late interest payments</p> <p>Economy</p> <p>Estimation of cost of staff involved</p>
<p>Year-end closure:</p> <p>Risk that claims for payments to the opposing party are not identified for the year-end closure.</p>	<p>The data base for litigation requires the lawyer in charge to provide information about financial consequences and regular analysis is made to ensure that the information is up to date and disclosed according to the instructions</p>	<p>Yearly assessment at year-end closure.</p>	<p>Effectiveness</p> <p>Comparison of claimed amounts with paid amounts.</p> <p>Efficiency</p> <p>Average cost per payment</p> <p>Late interest payments</p> <p>Economy</p> <p>Estimation of cost of staff involved</p>

Stage 2: Ex post controls in the procurement of legal expertise

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

Main risks It may happen (again) that...	Mitigating controls	Coverage, frequency and depth of controls	Cost-Effectiveness indicators (three E's)
A claim is not identified and discussed with the hierarchy	Yearly review of all payments to opposing parties distributed to all Directors for review and approval.	<p>100% of all payments for opposing parties' legal costs are reviewed by the hierarchy</p> <p>100% of all payments for opposing parties' legal costs of more than EUR 30.000 are approved by the Deputy Director-General</p> <p>100% of all payments are reviewed by the Financial Cellule</p>	<p>Effectiveness</p> <p>Amounts associated with errors detected (related to fraud, irregularities and error) and in % over total checked.</p> <p>Efficiency</p> <p>Costs of the ex post controls and supervisory measures with respect to the 'benefits'.</p> <p>Economy</p> <p>Estimation of cost of staff involved</p>

ANNEX 7: Specific annexes related to "Financial Management"

The financial circuit in the Legal Service complies with baseline requirements.

In 2021,

- the expenditure for legal services, mission expenditure and issued recovery orders underwent ex-post controls to ensure completeness and correctness,
- the Legal Service signed 206 contracts or made amendments to existing contracts for legal services,
- made 442 payments for contracted legal services at an average amount of 5.700€
- made 37 payments to compensate opposing parties for their legal costs at an average amount of 20.300 €,
- through ex-ante controls in 'Legal advice and Litigation', a total amount of 81.600 € was detected and corrected,
- through ex-ante controls in 'Cost compensation to opposing parties' either by negotiations or by court decisions, the originally claimed amounts were reduced by 1.3 million €.

Estimated "cost of controls" at Commission level

Table 7 - Overview of the Legal Service' estimated cost of controls at Commission (EC) level:

SJ	Ex ante controls***			Ex post controls			Total	
	(a)	(b)	(c)	(d)	(e)	(f)	(g)	(h)
Relevant Control System (RCS) / Other as defined in Annex 6 of the AAR*	EC total costs	related payments Made	Ratio (%)** (a)/(b)	EC total costs	total value verified and/or audited	Ratio (%) (d)/(e)	EC total estimated cost of controls (a)+(d)	Ratio (%)** (g)/(b)
Legal Advice and Litigation	147.538,00 €	2.518.240,52 €	5,86%	62.440,00 €	2.518.240,52 €	2,48%	209.978,00 €	8,34%
Cost compensation to opposing parties	45.600,00 €	751.502,52 €	6,07%	22.800,00 €	751.502,52 €	3,03%	68.400,00 €	9,10%
Provision and contingent liabilities			0,00%	11.400,00 €	9.227.745,00 €	0,00%	11.400,00 €	0,00%
OVERALL total estimated cost of control at EC level for expenditure	193.138,00 €	3.269.743,04 €	5,91%	96.640,00 €	12.497.488,04 €	0,77%	289.778,00 €	8,86%

ANNEX 8: Specific annexes related to "Assessment of the effectiveness of the internal control systems"

Sound financial management

Financial management and internal control

Objective 2: The authorising officer by delegation has reasonable assurance that resources have been used in accordance with the principles of sound financial management, and that cost-effective controls are in place which give the necessary guarantees concerning the legality and regularity of underlying transactions.

Indicator 2.1: Estimated risk at closure
Source of data: Legal Service Annual Activity Report

Baseline (2019)	Target (2022)	Baseline (2021)
Estimated risk at closure <0.5%	<0.5%	<0.5%

Main outputs in 2021:

Description	Indicator	Target	Latest known results
Effective controls, Legal and regular transactions	Risk at payment	<2% of relevant expenditure	<2%
Efficient controls	Payment in time Replacing average payment time	>95% (>14 days)	98%
Economical controls	Overall estimated cost of control	<9% of funds managed	

Fraud risk management

Objective 3: The risk of fraud is minimised through the application of effective anti-fraud measures and the implementation of the Commission Anti-Fraud Strategy aimed at the prevention, detection and correction of fraud.

Indicator 2.1: Implementation of the actions included in the Legal Service' anti-fraud strategy over the whole strategic plan lifecycle (2020-2024)

Source of data: Legal Service Annual Activity Report, Legal Service anti-fraud strategy, reports from OLAF

Baseline (2019)	Target (2022)	Baseline (2021)
100 % of actions implemented in time	100%	100%

Main outputs in 2021:

Description	Indicator	Target	Latest known results
Assessment of reported breaches, updates of guidelines and instructions, and issuance of new guidelines and instructions	N° of meetings held by the working group for Ethics and Handling of Information	2 times per year	The deputy DG post in the Legal Service has been vacant since August, 1 2021, therefore only 1 meeting was held in 2021
Ensuring that the ethics rules are known by all staff in the Legal Service	Yearly confirmation of ethics awareness	>90%	90% at 31.12.2021
Improvement of fraud awareness in the Legal Service	Yearly publication of the Legal Service Anti-Fraud Strategy	>1 publication	Republication of the Legal Service anti-fraud structure and all legal teams instructed to discuss it in a weekly meeting
Contribution to Action 57 on the implementation of the CAFS	Legal advice provided	yes	Action 57 of the CAFS implementation plan was finalised during 2021.

ANNEX 9: Specific annexes related to "Control results" and "Assurance Reservations"

Estimated risk at payment and at closure

There were no erroneous payments made in 2021. The past 7 year there have been 2 erroneous payments at a total amount of 5.500 €. Both of these amounts have been recovered. The courts can decide that the Legal Service is entitled to recover its legal expenditure from the opposing party. Such recoveries are; by definition, not corrections.

Table 8: Estimated risk at payment and at closure

DG SJ	'payments made' (2021,MEUR)	minus new prefinancing [plus retentions made] (in 2021,MEUR)	plus cleared prefinancing [minus retentions released and deductions of expenditure made by MS] (in 2021,MEUR)	'relevant expenditure' (for 2021,MEUR)	Detected error rate or equivalent estimates	estimated risk at payment (2021,MEUR)	Adjusted Average Recoveries and Corrections (<i>adjusted</i> ARC, %)	estimated future corrections [and deductions] (for 2021,MEUR)	estimated risk at Closure (2021,MEUR)
-1	-2	-3	-4	-5	-6	-7	-8	-9	-10
Legal Advice, Litigation	3,27	0,00	0,00	3,27	0,50% - 0,50%	0,02 - 0,02	0,00% - 0,00%	0,00 - 0,00	0,02 - 0,02
Informatics expenditure	0,29	0,00	0,00	0,29	0,50% - 0,50%	0,00 - 0,00	0,00% - 0,00%	0,00 - 0,00	0,00 - 0,00
Other expenditure	0,15	0,00	0,00	0,15	0,50% - 0,50%	0,00 - 0,00	0,00% - 0,00%	0,00 - 0,00	0,00 - 0,00
DG total	3,71	0,00	0,00	3,71		0,02 - 0,02	0,00% - 0,00%	0,00 - 0,00	0,02 - 0,02
						Overall risk at payment in %	0,50% - 0,50%		Overall risk at closure in %
							(7) / (5)		(10) / (5)

Notes to the table 8

(1) Relevant Control Systems differentiated per relevant portfolio segments and at a level which is lower than the DG total

(2) Payments made or equivalent, e.g. expenditure registered in the Commission's accounting system, accepted expenditure. In any case, this means after the preventive (ex-ante) control measures have already been implemented earlier in the cycle.

In all cases of Co-Delegations (Internal Rules Article 3), "payments made" are reported by the Delegated DGs. For Cross-SubDelegations (Internal Rules Article 12), the reporting remains with the Delegating DGs.

(5) For low-risk types of expenditure, where there are indications that the equivalent error rate might be close to 'zero' (e.g. administrative expenditure, operating contributions to agencies), the rate which should be used is 0.5% as a conservative estimate, unless the DG has a more precise estimate based on evidence.

(8) The adjusted average recovery and corrections percentage is based on the 7 years historic Average of Recoveries and financial Corrections (ARC), which is the best available indication of the corrective capacity of the ex-post control systems implemented by the Legal Service over the past years.

ANNEX 10: Reporting – Human resources, digital transformation and information management and sound environmental management

Human Resources

Objective 1: The Legal Service employs a competent and engaged workforce and contributes to gender equality at all levels of management to effectively deliver on the Commission's priorities and core business.			
Indicator 1.1:		Number and percentage of first female appointments to middle management positions	
Source of data:		<u>SEC(2020)146</u>	
Baseline (2019)	Target (2022) + (2024)	Latest known results (2021)	
60% (3 out of 5)	+2 first female appointments	Zero – no new appointments of middle management in 2021.	
Main outputs in 2021:			
Description	Indicator	Target	Latest known results
Management training for female lawyers	Number of cycles of management training for female lawyers	>1 per year	No training offered due to constraints arising from the Covid pandemic
Appointments of deputies to Directors	Percentage of Directorates with an appointed deputy to the Director	100%	100%
Appointment of deputy Heads of Unit	Procedure for the appointments prepared by end of 2021	yes	100% of deputy Heads of Unit appointed
Objective 1: The Legal Service employs a competent and engaged workforce and contributes to gender equality at all levels of management to effectively deliver on the Commission's priorities and core business.			
Indicator 1.2:		Legal Service staff engagement index	
Source of data:		DG HR	
Baseline (2018)	Target (2024)	Latest known results (2021)	
73%	increase	76%	

Main outputs in 2021:

Description	Indicator	Target	Latest known results
Sharing knowledge by organising lunch time conferences	Number of lunch time conferences	>16	19 lunch time conferences published on MY SJ
Local HR strategy for the Legal Service based on the new corporate HR Strategy	Draft HR strategy prepared	Q4 2021	Finalisation of the Internal reform work in the Legal Service will allow for the completion of the local HR strategy in 2022.

Digital transformation and information management

Objective 4: The Legal Service is using innovative, trusted digital solutions for better policy-shaping, information management and administrative processes to forge a truly digitally transformed, user-focused and data-driven Commission.

Indicator 4.1: Degree of implementation of the digital solutions modernisation plan
Source of data: Figures shared with ITIT (15/10/2021)

Baseline (2018)	Target (2024)	Latest known results (2021)
10%	80%	60%

Indicator 4.1: Percentage of Legal Service 'key data assets' for which corporate principles for data governance have been implemented
Source of data: 4 key data assets (Follow-up litigation (ULM, RECO, Solon KM, JURREV))

Baseline (2018)	Target (2024)	Latest known results (2021)
20%	80%	30%

Indicator 4.1: Percentage of staff attending awareness raising activities on data protection compliance
Source of data: DG HR

Baseline (2018)	Target (2024)	Latest known results (2021)
25%	100% of staff	30%

Main outputs in 2021:

Description	Indicator	Target	Latest known results
Rewriting of the 3 modules Base Contentieux, Board, Templates of Unified Litigation Management	Front-end modules are put into production for use by the legal teams	100% of teams are using these new modules (front-end component)	Migration achieved

Description	Indicator	Target	Latest known results
DSMP (Digital Strategy Management Plan) recommendations for Ref2Lind for a wider availability of Ref2Link within the Commission	Implementation of recommendations	85% of recommendations are implemented	Integration with EU Login in 2021
A collaborative platform for the co-edition of Sensitive, Non-classified documents	The platform is available	The real-world suitability of the solution is being evaluated, especially in the context of the generalisation of M365	The pilot platform is currently in use in competition team. Transition to Teams/SP online under scrutiny.
All lawyers to take online EU training or to participate in an advanced seminar to ensure increased awareness and knowledge on data protection rules	% of lawyers undertaking training/participation in seminar	50% of all Legal Service lawyers by end of 2021	30% of Legal Service lawyers have undertaken training in data protection.

Sound environmental management

Objective 5: The Legal Service takes full account of its environmental impact in all its actions and actively promotes measures to reduce the related day-to-day impact of the administration and its work.

Indicator 5.1: Promoting active contribution to waste reduction by participating in various waste reduction campaigns and proposals for new ways of working which would decrease waste.

Source of data: DG HR and internal reports from the EMAS correspondent

Main outputs in 2021:

Description	Indicator	Target	Latest known results
Launch a call for interest to form a LS group on EMAS actions in the Legal Service	Number of meetings held to prepare an action plan for 2021	3	3
Reduce Waste presentations to Commission DGs, Services and Agencies	Number of presentations given	1	1
Bottle top collection	Number of bottle top collections in BERL (joint action with Sec Gen and the Cabinets)	1	None - due to limited number of staff in the office during the Covid pandemic

ANNEX 11: Implementation through national or international public-sector bodies and bodies governed by private law with a public sector mission (if applicable)

Not applicable in the Legal Service.

ANNEX 12: EAMR of the Union Delegations (if applicable)

Not applicable in the Legal Service.

ANNEX 13: Decentralised agencies and/or EU Trust Funds (if applicable)

Not applicable in the Legal Service.

ANNEX 14: Reporting on the Recovery and Resilience Facility

Not applicable in the Legal Service.