



2019

Annual Activity Report

Annexes

DG CLIMATE ACTION

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ANNEX 1: Statement of the Resources Director

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

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

Date 30 March 2020

[SIGNED]

*Yvon Slingenberg
Director*

¹ C(2017)2373 of 19.04.2017.

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

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

A. Human Resources

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

Indicator 1a: Percentage of female representation in middle management

Source of data: Target for female representation in management functions in the European Commission for the years 2015-2019 adopted by the Commission on 15 July 2015 – SEC(2015)336.

Baseline (2015)	Target (2019)	Latest known results (2019)
33%	45%	33%

Indicator 1b: First appointments of female middle managers

Source of data: The aforementioned target was reviewed in the Commission Decision of 19 July 2017 (SEC(2017)359), whereby DG CLIMA was set a quantitative target of one first time appointment of female Heads of Unit

Baseline (2017)	Target (2019)	Latest known results (2019)
3	+1	+1

Indicator 2 (mandatory – data to be provided by DG HR): Percentage of staff who feel that the Commission cares about their well-being

Source of data: Commission staff survey 2018

Baseline (2014)	Target	Latest known results (2019)
45%	Not to fall below baseline (as satisfaction with the Commission covers more than the activities of DG CLIMA)	53%

Indicator 3 (mandatory – data to be provided by DG HR): Staff engagement index

Source of data: Commission staff survey 2018

Baseline (2014)	Target	Latest known results (2019)
73%	To improve participation rate in the staff survey and improve the % of satisfaction	75%

Main outputs in 2019:

Description	Indicator	Target	Latest known results
Preparation and	Approval of action	By end of June 2019	The Senior Management

implementation of a Development Plan as follow-up of 2018 Staff Satisfaction Survey	plan by Director General		has endorsed DG CLIMA Development Plan which has also been presented to staff and corporate services. Implementation started with several actions fully implemented
New L&D programme for DG CLIMA rolled out	Attendance rate of trainings by dedicated population	60% of dedicated population attended the trainings	Actions implemented: Organisation of various training sessions for DG CLIMA Colleagues with full attendance rate including 3 "Meet a Director" sessions. Development of 3 career paths
Wellbeing & fit@work activities in collaboration with AMC3	% of CLIMA staff who feels that the Commission cares about their wellbeing	Not to fall below the agreed threshold (i.e. 45%)	Results: 53% Actions implemented: Weekly Practice of Mindfulness Targeted sessions on work-life balance from EUSA catalogue dedicated to CLIMA Staff implementation of an internal policy for administrative and support staff
Internal Communication Actions · Further improvements of CLIMA intranet · 2019 programme of lunchtime conferences · Publication of the internal weekly newsletter · "Coffee with the	Number of visits to CLIMA Intranet Number of participants in lunchtime conferences Number of readers/openings of the newsletter	38,580 On average, 35 participants	56,000 visits (16/12/18 – 16/12/19) Average of 600 openings (in 10 latest issues)

Director General" initiative · Debriefing breakfasts · CLIMA internal videos	Number or participants at debriefing events	On average, 100 participants	
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B. Better Regulation

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

Indicator 1: Percentage of Impact assessments submitted by DG CLIMA to the Regulatory Scrutiny Board that received a favourable opinion on first submission.

Baseline (2015)	Interim Milestone (2016)	Target (2020)	Latest known results (2019)
0%	50%	75%	N/A (no impact assessment submitted in 2019)

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

Baseline (2015)	Interim Milestone (2016)	Target (2020)	Latest known results (2019)
40% (CCS, ETS, CO2 and cars, CO2 and vans)	70% (ESD, FQD, Cars labelling)	80% of DG CLIMA's acquis at that time	80%

Main outputs in 2019

Description	Indicator	Target date	Latest known results
Evaluation of the Ozone Regulation (PLAN/2017/927)	Positive opinion 1st presentation to Regulatory Scrutiny Board (RSB)	Q2 2019	Completed
Evaluation of the General Union Environment Action Programme to 2020 (7 th EAP) (PLAN/2017/1389)	Positive opinion 1st presentation to Regulatory Scrutiny Board (RSB)	Q1 2019	Completed

C. Information management

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

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

Source of data: *Hermes-Ares-Nomcom (HAN)*³⁴ statistics

Baseline (2014)	Target	Latest known results (2019)
0.85%	Maintain	0.29%

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

Source of data: *HAN* statistics

Baseline 2014	Target	Latest known results (2019)
95.26%	Maintain	89.37%

Indicator 3: Percentage of HAN files shared with other DGs

Source of data: *HAN* statistics

Baseline (2014)	Target	Latest known results (2019)
0.06%	Improve (keeping in mind that some CLIMA files cannot be shared due to sensitivity/security reasons)	76.96%

Main outputs in 2019:

Description	Indicator	Target	Latest known results
Simplification of processes and reduction of paper circulation through improved use of electronic workflows (e-Signatories)	Number of procedures implemented into e-Signatory workflows in ARES	Increase the number of e-Signatories by 15% compared to last year (baseline = 76%)	76.58%

Implementation of e-archiving (move away from paper filing towards digitalised documents registered in ARES)	Good quality electronic files, containing the right documents and with the correct category of the Common Retention list (to guarantee quick access to documents).	Keep number of unfiled documents stable or reduce (0.24%) Keep number of files without CRL category stable or reduce (= 0.1%)	0.29%
Review of existing ARES files to identify those that can be usefully shared with other DGs	Number of ARES files made accessible to other DGs. The baseline in 2018 is 38.2%.	Increase the number by 8% compared to previous year	76.96%
Proactive dissemination of up-to-date information on document management and information security, including through training	Training to units on adaptation to technical development, awareness programme and educational package on information value, availability, use and automated processing.	2 Training sessions on information security to DG Staff 2 Ares basics trainings for newcomers (mainly for new Administrators) Several ad-hoc coaching sessions for new Secretaries and Administrators	1 Training session organised end 2019 and 1 early 2020 following the decision on new SNC implementation rules in oct19 (special handling for DG CLIMA) 1 session following new Ares release – other sessions replaced by individual sessions to newcomers Individual coaching/training sessions on Ares organised for all new assistants and secretaries in

			the DG
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D. External communication

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

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

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

Source of data: Standard Eurobarometer [monitored by DG COMM].

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

Main outputs in 2019:

Output	Indicator	Target	Latest known results
EU Climate Action Web	Number of visits Number of unique visitors Number of page views 1 October 2017 – 30 September 2018	Maintain the current high level: i.e. 1.8m visits 1.4m unique visitors 3.4m page views 1 October 2016 – 30 September 2017	3.3 million visits (+55%) "Unique visitors" not available anymore since the introduction of the new web system 6.3 million page views (+68%) (1 January-31 December 2019)
EU Climate Action Facebook	Number of followers	Maintain the current high level, i.e. 94,716 followers (Dec 2018)	104,043 followers (Dec 2019)
EU Climate Action Twitter	Number of followers	Maintain the current high level, i.e. 41,360 followers	61,834 followers (+48%) (31 Dec 2019)

		(Dec 2018)	
Climate Diplomacy Weeks/Days in cooperation with EEAS	Number of events organised by Delegations Number of social media posts	Coordination with Delegations made by EEAS	See results reported by the EEAS
EU Open Day	Number of visitors to the event Number of visitors taking part in activities at the CLIMA stand	Coordination of event is managed by the Representation of the European Commission in Belgium	More than 10,000 visitors

Annual communication spending (based on estimated commitments):

Baseline (2018):	Target (2019):	Total amount spent	Total of FTEs working on external communication
€696,348	€820,000	€376,077 ²	6

¹ The major part of CLIMA's most costly communication contracts and productions in 2019 were committed at the end of 2018 and the use of 2019 funds was therefore low. Given the arrival of the new Commission end 2019, CLIMA did not commit unused funds end 2019, but will need to do this at the start of 2020.

ANNEX 3: Draft annual accounts and financial reports



AAR2019_CLIMA_an
nex3.pdf

"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"

Financial Overview

DG CLIMA's overall responsibilities for the budget "Climate Action"

DG CLIMA activities are associated with title 34 "Climate Action" of the budget of the European Commission, and coordinates and monitors its implementation. Title 34 contains expenditure related to:

- Administrative expenditure in the 'Climate Action' policy area
- Climate action at Union and international level

The expenditure related to officials and temporary staff in the "Climate Action" policy area is managed by PMO while the expenditure related to climate action at Union and international level represents the most important part, in quantitative terms.

The major part of the budget under title 34 (LIFE action grants) is implemented through a type I co-delegation³ to the Executive Agency EASME. An amount of EUR 21.2 million is implemented by DG CLIMA and it concerns procurement. A smaller part of the budget is implemented by other DGs under a type II co-delegation (details in table below)⁴. A small amount of the administrative expenditure is implemented (payments only) by PMO through a type III co-delegation.

DG CLIMA has entrusted parts of its budget to other DGs through:

- cross sub-delegations given (to DGs MOVE and FPI)
- co-delegations to EASME and DGs BUDG, DIGIT, GROW, ENER, ESTAT, JRC, COMM, EAC, ENV, OP and TAXUD. The co-delegation to EASME accounts for 89% of commitments made by other entrusted bodies and for 92% of payments made by other entrusted bodies.

The table below provides an overview of the budget implementation as of 31 December 2019. DG CLIMA managed directly 15% of its budget expressed in terms of commitments and 31% of it is budget expressed in terms of payments. The rest was transferred to other entrusted bodies, to be finally implemented by them.

Financial overview of operational expenditure title 34 "Climate Action"

Expenditure	Commitments (M Eur)			Payments (M Eur)		
	Total	Made by DG CLIMA	Made by entrusted bodies	Total	Made by DG CLIMA	Made by entrusted bodies
Support expenditure -- Environment and climate action (LIFE) – Sub-programme for climate action (34 01 04 01)	3,3	2,6	0,7	3,1	1,6	1,5
Reducing Union greenhouse gas emissions (34 02 01)	66,1	14,3	51,8	36,5	18,5	17,9
Increasing the resilience of the Union to climate change (34 02 02)	50,5	0,5	50,0	21,3	0,1	21,2
Better climate governance and	19,1	3,0	16,0	11,7	2,5	9,2

³ split of appropriations on the same budget line/powers of a given budget line are co-delegated between a number of AOD's, all at the same level

⁴ part of appropriations on a given budget line is co-delegated by a primary AOD to a secondary AOD for performance of certain administrative services

information at all levels (34 02 03)						
Contribution to multilateral and international climate agreements (34 02 04)	0,9	0,9		0,9	0,9	
European Solidarity Corps – Contribution from the LIFE sub-programme for climate action (34 02 05)	0,5		0,5	0,5		0,5
Pilot project – Study on life cycles of electric biofuel and traditionally fuelled vehicles (34 02 77 03)				0,2	0,2	
Pilot project – Carbon farming (34 02 77 05)						
TOTAL	140,3	21,2	119,0	74,2	23,8	50,3

The table that follows gives an overview of the commitments and payments made in year 2019 under the operational budget of title 34. The figures confirm that the main method of implementing the budget in DG CLIMA in 2019 is still direct management, as these represent 79.2% of the total amount of commitments made.

Financial overview of commitments in year 2019 under title 34 "Climate Action"

COMMITMENTS (M EUR)	Conventions	Financial Instruments	Grants	Procurement	Total
COMMITMENTS (M EUR)	0,86		111,08	28,34	140,28
PAYMENTS (M EUR)	0,9	10,0	45,8	17,5	74,1

DG CLIMA is also implementing parts of the budget of other DGs through delegations type II received from DGs DEVCO and NEAR.

Overview of funds implemented by DG CLIMA:

Fund Management Center	budget line	Committed (M EUR)		Paid (M EUR)	
DEVCO/CLIMA	21 02 07 01	L1	2,3	on C1	2,5
	21 02 07 01	L2	5,8	on RAL	4,3
	21 02 51 06			on RAL	0,2
NEAR/CLIMA	22 02 04 01	L1	2,0	on RAL	0,2

Budget coverage

The payments authorised and made in 2019 amount to €31.63 million. The majority of payments were implemented through procurement and financial instruments. The control strategies implemented are explained in the Internal Control Templates in Annex 5.

Overview of payments authorised in 2019:

Expenditure (M EUR)	ADMIN	CONVENTIONS	FIN. INSTR	GRANTS	PROCUREMENT	Support	Grand Total
Administrative expenditure (34 01 02 11)	0,47						0,47
LIFE support expenditure (34 01 04 01)						1,65	1,65
LIFE & Completion LIFE (34 02-01, -02, -03 -051)			10,00	0,10	11,01		21,11
Multilateral Climate Agreements (34 02 04)		0,86					0,86
Co-delegation DEVCO (21 02				6,59	0,53		7,12

07 01, 0,6)							
Pilot project/preparatory action 34 02 77 03)					0,18		0,18
Co-delegation NEAR (22 02 04 01)					0,25		0,25
Sub-total voted appropriations	0,47	0,86	10,00	6,69	11,97	1,65	31,63

ANNEX 4: Materiality criteria

Section 2.1 of this report sets out the main elements used to identify possible weaknesses in the internal control system. The significance/materiality of any weaknesses identified is assessed according to the following criteria:

1. Qualitative criteria

The qualitative criteria for assessing the significance of any weaknesses identified are:

- the nature and scope of the weakness
- the duration of the weakness
- the existence of compensatory measures
- the existence of effective corrective actions to correct the weaknesses
- the residual reputational, financial, operational and legal/regulatory risk

2. Quantitative criteria

"As from 2019⁵, a 'de minimis' threshold for financial reservations is introduced. Quantified AAR reservations related to residual error rates above the 2% materiality threshold, are deemed not substantial for segments representing less than 5% of a DG's total payments and with a financial impact below EUR 5 million. In such cases, quantified reservations are no longer needed."

Note: The method for estimating the amount at risk is explained in detail in section 2.

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

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

Procurement – direct management (ex-ante controls*)

Stage 1 – Planning – Preparation phase

Main Internal Control Objectives: Effectiveness, efficiency and economy. Compliance, legality and regularity.

Main Risks:	Mitigating Controls:	Coverage Frequency and depth of Controls:	Possible cost effectiveness indicators
The needs are not well defined and the decision to procure was inappropriate to meet the operational objectives	Validation by AOSD of the justification for launching a procurement process	100% of the forecast procurements (open procedures with prior notification) are justified in a note addressed to the AOSD	<p>Effectiveness: Number of projected tenders cancelled. Number of procedures where only one or no offers were received. Number of complaints received. Number of exceptions / non-compliance with FR registered.</p> <p>Efficiency: Average cost per tender</p> <p>Economy: Estimation of total cost of staff involved in the procurement process</p>
	Decisions are discussed at management meeting	All procurement procedures having significant impact on the objectives of the DG are discussed at a resources management meeting	
The best offers are not submitted due to the pure definition of tender specifications	Agreement between operational unit and financial unit on the final version of tender specs	100% of tender specifications are reviewed by the financial unit. The depth of controls may be determined by the amount and/or the significance / complexity of the file	
	Upstream control: Additional verification and responsible AOSD supervision	100% of tender specification are submitted for the approval of the AOSD.	
Undisclosed conflict of interest that could lead to information leakages before tender	Opening and evaluation committee members sign a declaration of absence of conflict of interests	100% of evaluation committee members sign a declaration of conflict of interest	
	Additional checks by the financial unit	100% of procurement files are checked by the financial unit	
	Red flags checked for every file	For all public procurement files red flags are checked	

*No ex-post controls are carried out in DG CLIMA

Procurement – direct management (ex-ante controls*)

Stage 2 – Evaluation – Award phase

Main Internal Control Objectives: Effectiveness, efficiency and economy. Compliance, legality and regularity. Fraud prevention and detection.

Main Risks:	Mitigating Controls:	Coverage Frequency and depth of Controls:	Possible cost effectiveness indicators
The most economically advantageous offer not being selected due to a biased inaccurate or unfair evaluation process	Existence of formal evaluation process – Opening and evaluation committee for tenders	100% of tenders are analysed. Depth: Check of all submitted documents	<p>Effectiveness: Number of tenders cancelled. Numbers of complaints received. Number of litigation cases. Number of tenders received non-favourable CPAC opinion. Number of tenders extended beyond the standstill period.</p> <p>Efficiency: Average cost per tender</p> <p>Economy: Estimation of total cost of staff involved in the procurement process</p>
	Opinion of consultative committee CPAC	CPAC opinion is provided for all tenders above EUR 500,000, for framework contracts and for randomly selected files	
	Tenderers are allowed to attend openings	For all open calls	
	Check of Early Detection Early Exclusion System (EDES) for all contractors	100% of tenders	
	Standstill period providing opportunity to unsuccessful tenderers to communicate their concerns on the decision	100% of tenders	
	The decision of the evaluation committee is documented	100% of tenders	
	Guidelines and templates to be used are accessible in the Intranet	Guidelines are constantly kept up to date and are easily accessible to all staff	

*No ex-post controls are carried out in DG CLIMA

Procurement – direct management (ex-ante controls*)

Stage 3 – Implementation phase

Main Internal Control Objectives: Ensure that the implementation of the contract is in compliance with the signed contract

Main Risks:	Mitigating Controls:	Coverage Frequency and depth of Controls:	Possible cost effectiveness indicators
<p>The products/services/ works foreseen are not (totally or partially) provided in accordance with the requirements of the signed contract</p> <p>The contractor fails to deliver</p> <p>The amounts paid exceeds the amounts due, (as those defined in the contract)</p>	Reinforced monitoring on deliverables submission timing	100% of contracts	<p>Effectiveness: Number of tenders cancelled. Numbers of complaints received. Number of litigation cases. Number of tenders received. Non-favourable CPAC opinion. Number of tenders extended beyond the standstill period.</p> <p>Efficiency: Average cost per tender</p> <p>Economy: Estimation of total cost of staff involved in the procurement process</p>
	Operational and financial checks in accordance with the financial circuits ("certified correct")	100% of payments Depth: The depth of controls depends on risk criteria	
	AOSD authorization for transactions	100% of payments are authorized by AOSD	
	Request for a bank guarantee (to cover pre financing payments)	100% of "risky" contracts	
	Non-performance contractual clauses	100% of contracts	
	Check for plagiarism – double funding for the same study / service	In suspicious / risky cases using appropriate IT tools	

*No ex-post controls are carried out in DG CLIMA

Grants – direct management (ex-ante controls*)

Stage 1 – Evaluation ranking and selection of proposals

Main Internal Control Objectives: Ensure that the most promising projects for meeting the policy objectives are among the proposals selected. Compliance, legality and regularity. Fraud prevention and detection.

Main Risks:	Mitigating Controls:	Coverage Frequency and depth of Controls:	Possible cost effectiveness indicators
<p>The evaluation, ranking and selection of proposals are not carried out in accordance with the established procedures, the policy objectives, and the eligibility, selection and award criteria.</p>	<p>Assignment of staff (operational officers) to evaluate proposals.</p>	<p>100% vetting of technical expertise and independence (conflicts of interest, nationality bias, ex-employer bias etc.).</p>	<p>Effectiveness: Number of proposals received over proposals expected. Number of proposals challenged.</p> <p>Efficiency: Average cost per proposal</p> <p>Economy: Estimation of total cost of staff involved in the grant management process</p>
	<p>Assessment of proposals by staff.</p>	<p>100% of proposals are evaluated.</p>	
	<p>Review by a mixed panel and hierarchical validation by the responsible AOSD of ranked list of proposals.</p>	<p>100% of ranked lists of proposals. Depth of review depends on risk factors.</p>	
	<p>Additional checks by the financial unit.</p>	<p>Prior to the evaluation of proposals, the financial unit is consulted.</p>	
	<p>Red flags checked.</p>	<p>For all proposals, red flags are checked.</p>	

*No ex-post controls are carried out in DG CLIMA

Grants – direct management (ex-ante controls*)

Stage 2 – Grant awarding phase

Main Internal Control Objectives: Effectiveness, efficiency and economy. Compliance, legality and regularity. Fraud prevention and detection.

Main Risks:	Mitigating Controls:	Coverage Frequency and depth of Controls:	Possible cost effectiveness indicators
<p>The description of the actions in the grant agreement includes tasks, which do not contribute to the objectives set.</p> <p>The budget foreseen overestimates the costs necessary to carry out the action.</p> <p>The beneficiary lacks operational and/or co-financing capacity to carry out the action.</p> <p>Procedures do not comply with the regulatory framework.</p>	<p>Assignment of staff (operational officers) to review and negotiate the grant agreements with Beneficiaries. Hierarchical validation of proposed adjustments.</p>	<p>100% of the selected proposals are scrutinized</p>	<p>Effectiveness: Amount of proposed costs rejected</p> <p>Efficiency: Time to grant</p> <p>Economy: Estimation of total cost of staff involved in the grant management process</p>
	<p>In depth financial verification, especially of the budget figures by the financial unit.</p>	<p>100% of the selected proposals are scrutinized by the financial unit</p>	
	<p>Signature of the grant agreement by the AOSD.</p>	<p>100% of grant agreements</p>	

*No ex-post controls are carried out in DG CLIMA

Grants – direct management (ex-ante controls *)

Stage 3 – Implementation phase

Main Internal Control Objectives: Ensure that the operational results (deliverables) from the projects are of good value and are in accordance with the signed grant agreement. Ensure that the related financial operations comply with the regulatory and contractual provisions.

Main Risks:	Mitigating Controls:	Coverage Frequency and depth of Controls:	Possible cost effectiveness indicators
<p>The products/services/ works foreseen are not (totally or partially) provided in accordance with the requirements of the signed grant agreement</p> <p>The contractor fails to deliver</p> <p>The amounts paid exceed the amounts due, (as those defined in the grant agreement)</p> <p>Ineligible costs paid</p>	Reinforced monitoring on deliverables and reports, submission timing	100% of grant agreements are controlled	<p>Effectiveness: Rejected costs as a percentage of total costs claimed</p> <p>Efficiency: Time to pay</p> <p>Economy: Estimation of total cost of staff involved in the grant management process</p>
	Operational and financial checks in accordance with the financial circuits	100% of payments. Operational and financial checks in accordance with financial circuits. Technical reports have to be approved by the operational unit before the payment. Depth: The depth of controls depends on risk criteria	
	AOSD authorization for transactions	100% of payments are authorized by AOSD	
	Non-performance contractual clauses	100% of grant agreements	
	Check for plagiarism – double funding for the same study / service	In suspicious / risky cases using appropriate IT tools	

*No ex-post controls are carried out in DG CLIMA

Financial Instruments - Indirect management (Ex-ante controls*)

Stage 1 Establishment or prolongation of the mandate to the entrusted entity

Main Internal Control Objectives: Ensure that the legal framework for the management of the relevant funds is fully compliant with the regulatory framework. Ensure that the management of the funds is delegated to an appropriate entity (best value for public money, economy, efficiency) and that there is no conflict of interest.

Main risks	Mitigating controls	Coverage frequency and depth of controls	Possible control indicators
<p>The actions supported through the Financial Instrument do not adequately reflect the policy objectives (no compliance with Fin. Reg. art. 140 and instrument specific objectives)</p> <p>The entrusted International Financial Institution does not have the experience to ensure effective implementation of this type of Financial Instrument</p> <p>Financial Institutions are not selected based on an open, transparent, justified on objective grounds procedure, or there are conflicts of interests in the selection process.</p>	<p>Ex-ante evaluation of the International Financial Institution – Hierarchical validation by AOSD</p>	<p>100% of cases. Depth: Checklist includes a list of the requirements of the regulatory provisions to be complied with.</p>	<p>Effectiveness: Number of litigation cases. Number of European Court of Auditors requirements. Number of control failures.</p> <p>Economy Estimation of the cost of staff involved in the management of the financial instruments.</p>
	<p>Ex-post monitoring. Lessons learned from previous assignments and suggestions before any prolongation.</p>	<p>100% of cases. Depth: Study of reports by the International Financial Institution, of the summary of audits and controls carried out, of independent audit opinions, of the ex-post audit policy, the anti-fraud strategy, the procurement and accounting policy (pillar assessment) etc.; all to be taken into account before the prolongation.</p>	

*No ex-post controls are carried out in DG CLIMA

Financial Instruments - Indirect management (Ex-ante controls*)

Stage 2 Ex-ante assessment of the entrusted entity's financial and control framework

Main Internal Control Objectives: Ensure that the entrusted entity is fully prepared to start/continue implementing the delegated funds autonomously.

Main risks	Mitigating controls	Coverage frequency and depth of controls	Possible control indicators
<p>The financial and control framework deployed by the entrusted entity is not fully mature to assure the management of funds in accordance with the regulatory provisions</p> <p>The design of the accounting and reporting arrangements of the entrusted entity does not ensure sufficient transparency</p> <p>The investment strategy and the risk profile of the financial institution or Final Recipient is not clearly defined</p>	<p>Ex-ante evaluation of the International Financial Institution or Final Recipient– Prior eligibility confirmation of the Designated Service involved, for every entrusted entity - Hierarchical validation by AOSD</p> <p>Ensure the provision of justification and prior consent of the Designated Service for any deviation from the signed agreement with the entrusted entity</p>	<p>100% of cases. Depth: May be determined after considering the type and nature of the entrusted entity and/or the value of the budget concerned</p> <p>100% of cases. Depth: Study of reports by the entrusted entity, of the summary of audits and controls carried out, of independent audit opinions etc., all to be taken into account before the prolongation</p>	<p>Economy Estimation of the cost of staff involved in the management of the financial instruments</p>

*No ex-post controls are carried out in DG CLIMA

Financial Instruments - Indirect management (Ex-ante controls*)

Stage 3 Operations - monitoring supervision reporting

Main Internal Control Objectives: Ensure that the Commission is fully and timely informed of any relevant management issues encountered by the entrusted entity in order to possibly mitigate any potential financial and/or reputational impact. Ensure that the Commission fully assesses the management situation of the entrusted entity before any payment or decision to suspend / interrupt the contribution.

Main risks	Mitigating controls	Coverage frequency and depth of controls	Possible control indicators
<p>The Designated Service is not timely informed of relevant management issues encountered by the entrusted entity and does not timely react upon notified issues. It may also pay the contribution to the entity without being informed on problematic issues. This may reflect negatively on the Commission's governance reputation.</p> <p>The Financial Institutions, fail to produce a number of operations significant to give conclusive results.</p> <p>Internal controls weaknesses irregularities errors and fraud are not detected/corrected by the entrusted entities.</p>	<p>Delegation Act/Contribution agreement specifying the control, accounting, audit, publication etc. related requirements</p>	<p>100% of signed agreements</p>	<p>Effectiveness: Quality of reports. Relevance of the reported data. European Court of Auditors and Internal Audit Service findings. Amount of unused budget recovered/suspended.</p> <p>Efficiency: Cost benefit ratios. Average cost per entrusted entity. Ratio of cost over amount delegated. Time to pay.</p> <p>Economy Estimation of the cost of staff involved in the management of the financial instruments. Asset management fees.</p>
	<p>Monitoring/supervision of the entrusted entity, review of reporting control results and management audit reports</p>	<p>100% of entities involved are monitored/supervised on a regular basis. In case of operational/financial issues measures are reinforced. Depth: This depends on the mandate, and on the type of the entity. It also depends on risk criteria such as past experience with the entity, complexity or lack of experience in the area of financed actions or the management modalities.</p>	
	<p>Management review of the supervision results. Ex-ante in depth operational and financial verification. Validation of any payment or recovery by the AOSD, and if deemed appropriate suspension or interruption of payments.</p>	<p>100% of payments. Depth: This depends on the mandate, and on the type of the entity. If needed suspension or interruption of payments or even application of an exit strategy.</p>	

*No ex-post controls are carried out in DG CLIMA

ANNEX 6: Implementation through national or international public-sector bodies and bodies governed by private law with a public sector mission (not applicable)

ANNEX 7: EAMR of the Union Delegations (not applicable)

ANNEX 8: Decentralised agencies and/or EU Trust Funds (not applicable)

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



Annex9_CLIMA
STUDIES.xls

ANNEX 10: Specific annexes related to "Financial Management"

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

Relevant Control System related to Procurement							
Ex-ante controls			Ex-post controls			Total**	
EC total costs (in EUR)	funds managed (in EUR)*	Ratio (%)*: <i>Total ex-ante control cost in EUR ÷ funds managed in EUR</i>	EC total costs (in EUR)	total value verified and/or audited (in EUR)	Ratio (%): <i>Total ex-post control cost in EUR ÷ total value verified and/or audited in EUR</i>	EC total estimated cost of controls (in EUR)	Ratio (%)*: <i>Total cost of controls ÷ funds managed</i>
At financial unit level (FTE) AD (CPAC 0.4 FTE/yr) AST (Fin Init 2FTE/yr) AST (Fin Ver 0.5FTE/yr) AST (Anti-fraud 0.05 FTE/yr) AST (Accounting 0.1 FTE/yr) At operational Unit Level AD (AOSD 0.05 FTE/yr) AD (Oper Init 1.5 FTE/yr) AD (Oper Ver 0.2 FTE/yr) AD (CPAC 0.1 FTE/yr) AST (Fin Init 1 FTE/yr) Total Cost: 783,835	11,965,551	6.6%	0	0	N/A	783,835	6.6%
Relevant Control System related to Grants							
Ex-ante controls			Ex-post controls			Total**	
EC total cost (in EUR)	funds managed (in EUR)*	Ratio (%)*: <i>Total ex-ante control cost in EUR ÷ funds managed in</i>	EC total costs (in EUR)	total value verified and/or audited (in EUR)	Ratio (%): <i>Total ex-post control cost in EUR ÷ total value verified and/or</i>	EC total estimated cost of controls (in	Ratio (%)*: <i>Total cost of controls ÷ funds managed</i>

		EUR			audited in EUR	EUR)	
At financial unit level (FTE) AD (Fin Ver 0.1 FTE/yr) AST (Fin Init 0.8 FTE/yr) AST (Anti-fraud 0.05 FTE/yr) AST (Accounting 0.01 FTE/yr) At operational Unit Level AD (AOSD 0.03 FTE/yr) AD (Oper Init 1 FTE/yr) AD (Oper Ver 0.1 FTE/yr) Total Cost: 304,291	6,694,609	4.5%	0	0	N/A	304,291	4.5%
Relevant Control System related to Indirect Management							
Ex-ante controls			Ex-post controls			Total**	
EC total costs (in EUR)	funds managed (in EUR)*	Ratio (%)*: <i>Total ex-ante control cost in EUR ÷ funds managed in EUR</i>	EC total costs (in EUR)	total value verified and/or audited (in EUR)	Ratio (%): <i>Total ex-post control cost in EUR ÷ total value verified and/or audited in EUR</i>	EC total estimated cost of controls (in EUR)	Ratio (%)*: <i>Total cost of controls ÷ funds managed</i>
At financial unit level (FTE) AST (Fin Init 0.2 FTE/yr) AST (Fin Ver 0.01 FTE/yr) AST (Accounting 0.1 FTE/yr) At operational Unit Level AD (AOSD 0.01 FTE/yr) AD (Oper Init 0.5 FTE/yr) AD (Oper Ver 0.01 FTE/yr) Total Cost: 122,782	10,000,000	1.2%	0	0	N/A	122,782	1.2%
OVERALL estimated cost of control at EC level							

Ex-ante controls			Ex-post controls			Total**	
EC total cost (in EUR)	funds managed (in EUR)*	Ratio (%)*: <i>Total ex-ante control cost in EUR ÷ funds managed in EUR</i>	EC total costs (in EUR)	total value verified and/or audited (in EUR)	Ratio (%): <i>Total ex-post control cost in EUR ÷ total value verified and/or audited in EUR</i>	EC total estimated cost of controls (in EUR)	Ratio (%)*: <i>Total cost of controls ÷ funds managed</i>
1,210,908	28,660,160	4.2%	0	0	N/A	28,660,160	4.2%

* ratio possibly "Not Applicable (N/A)" if a RCS specifically covers an Internal Control Objective such as safeguarding sensitive information, reliable accounting/reporting, etc.

** any 'holistic' control elements (e.g. with 'combined' ex-ante & ex-post characteristics) can be mentioned in the total column (without being in either one of the ex-ante or ex-post columns), provided that a footnote clarifies this (their nature + their cost). *Example: MS system audits in shared management.*

ANNEX 11: Specific annexes related to "Assessment of the effectiveness of the internal control systems" (not applicable)

ANNEX 12: Performance tables

General objective 1: A resilient energy Union with a forward-looking climate policy			
Impact indicator: Level of greenhouse gas emissions (CSI/010/011)			
Source of the data: European Commission and European Environment Agency (EEA) ⁶			
Baseline (2013)	Target (2020)		Latest known results (2018)
80.2	At least 20% reduction (index ≤80)		77
Impact indicator: Greenhouse gas emissions intensity of the economy (reduction of emissions/growth of GDP)			
Source of the data: EEA and ECFIN (Ameco)			
Baseline (1990)	Interim Milestone (2014)	Target (2020) (2050) ⁷	Latest known results (2018)
Index=100	53	As low as possible, further decrease	48
All new initiatives / significant evaluations from the Commission Work Programme			
Output description	Indicator	Target	Latest known results (situation on 31/12/2019)
Reflection paper 'Towards a sustainable Europe by 2030, on innovation the follow-up to the UN Sustainable Development Goals, including on the Paris Agreement on Climate Change'	Adoption by the Commission	Q1 2019	Completed in Q1 2019
Towards a new institutional framework for our energy and climate policy by 2025: options for enhanced qualified majority voting	Adoption by the Commission	Q1 2019	Completed in Q3 2019

⁶ The data related to the level of GHG emissions is reported by Member States under the Governance Regulation (2018/1999) to the European Environment Agency (EEA). The annual assessment of progress made by the EU as a whole in meeting the climate and energy targets is based on data from the previous year. This explains why most of CLIMA impact and result indicators refer to the year 2018 (with a few exceptions where a justification is provided in a footnote).

⁷ (2020) - Europe 2020 target + (2050) - Decarbonisation of the economy is one of the 5 dimensions of the Energy Union Strategy - Roadmap for moving to a competitive low carbon economy in 2050 aiming for a reduction of GHG gases by 80-95 by 2050 - Paris' global climate deal aiming for minus 40-70% by 2050

and for a possible reform of the Euratom Treaty			
Important items from work programmes/financing decisions/operational programmes⁸			
Output description	Indicator	Target	Latest known results (situation on 31/12/2019)
1 procurement contract	1 contract signed	31 December 2019	1 contract signed
Other important outputs			
Output description	Indicator	Target	Latest known results (situation on 31/12/2019)
Evaluation of the General Union Environment Action Programme to 2020 (7th EAP) (PLAN/2017/1389)	Publication of the evaluation Staff Working Document (SWD)	Q2 2019	Evaluation SWD published in Q2 2019
Specific objective 1: Ensuring further development and ensuring a well-functioning EU carbon market, via the EU ETS, towards further reduction of GHG emissions by energy power and heat generation installations, by energy-intensive industries and by domestic aviation			Related to spending programme(s) LIFE Regulation
Result indicator: Level of greenhouse gas emissions captured in the EU ETS managed by DG CLIMA			
Source of data: Annual Climate Action progress report (European Commission + EEA)			
Baseline (2005)	Interim Milestone (2020)	Target ((2030) 2030 Climate and Energy package – Council Conclusions October 2014	Latest known results (2018)
Index = 100	79 (-21%)	57 (-43%)	71 (-29%)
Important items from work programmes/financing decisions/operational programmes⁹			
Output description	Indicator	Target	Latest known results (situation on

⁸ For a complete listing of expenditure-related outputs please refer to the Programme Statements published together with the [Draft Budget for 2019](#).

⁹ For a complete listing of expenditure-related outputs please refer to the Programme Statements published together with the [Draft Budget for 2019](#).

			31/12/2019)
16 procurement contracts	16 contracts signed	31 December 2019	16 contracts signed
Other important outputs			
Output description	Indicator	Target	Latest known results (situation on 31/12/2019)
Amendment of the EU ETS Auctioning Regulation (PLAN/2017/1715)	Adoption by the Commission	Q4 2019	Adopted in Q3 2019
Revising the rules for free allocation in the EU Emissions Trading System (PLAN/2017/1527)	Adoption by the Commission	Q1 2019	Adopted in Q4 2019
Carbon Market report	Adoption by the Commission	Q4 2019	Adopted in Q4 2019
<p>Specific objective 2: A fair and operational framework for MS at first towards a reduction of 10% GHG emissions by 2020 and 30% by 2030 compared to 2005 in the non-ETS sectors in the EU (agriculture, forestry, land use, buildings, transport, waste) (= EU Effort Sharing Regulation, LULUCF Regulation, use of Fluorinated-gases and consumption of Ozone Depleting Substances)</p> <p>Related to spending programme(s) LIFE Regulation</p>			
<p>Result indicator: Level of greenhouse gas emissions (non EU ETS sectors)</p> <p>Source of data: Annual Climate Action progress report (European Commission + EEA)</p>			
Baseline (2005)	Interim Milestone (2020)	Target (2030) 2030 Climate and Energy package – Council Conclusions October 2014 and Decision No 406/2009/EC of 23 April 2009 on the effort of Member States to reduce their GHG emissions up to 2020 (Effort Sharing Decision or ESD)	Latest known results (2018)

2,947.990 Mt CO ₂ eq. emitted Index=100	90 (-10%)	70 (-30%)	89 (-11%)
Result indicator: Montreal protocol: EU consumption of Ozone Depleting Substances (hydrochlorofluorocarbons or HCFCs + methyl bromide) Source of data: EEA report			
Baseline (2005)	Interim Milestone (please introduce as many columns as the number of milestones) (2020)		Target (2040)
Zero net consumption of ODS controlled by the Montreal Protocol	Ban on all imports, exports and production of ozone depleting substances (except for feedstock use, process agent use and certain critical uses in equipment and uses laboratories)		Ban on all critical uses in new equipment and ban on process agent uses
			81% reduction of HCFCs imports ^(*) as compared to 2006 97% reduction of HCFCs exports ^(*) as compared to 2006 92% reduction of HCFCs production ^(*) as compared to 2006 (*) in metric tonnes
Result indicator: Level of F-gas emissions (mainly hydrofluorocarbons or HFCs) Source of data: Annual Climate Action Progress Report (European Commission + EEA)			
Baseline (2014)	Interim Milestone		Target (2030) Regulation (EU) N° 517/2014 of 16 April 2014 on fluorinated greenhouse gases
	(2020)	(2025)	Latest known results (2017) ¹⁰
123.9 ¹¹ Mt CO ₂ eq. emitted Index= 100	85(-15%)	55(-45%)	33.33 (-66.6%) 97(-3%)

¹⁰ 2017 is the latest data available. Data for 2018 will be provided by the EEA around May 2020.

¹¹ In DG CLIMA Strategic plan 2016-2020, the baseline for the year 2014 amounted to 112.4 MT CO₂ eq. emitted. This figure was updated in order to take into account latest estimates as provided by the EEA.

Result indicator¹²: EU consumption of HFC (“EU HFC phase-down”). Amount of HFCs that can be placed on the EU market is annually capped to a limited HFC quota.

Source of data: EEA report

Baseline (Average 2009-2012)	Interim Milestones (% of baseline)	Target (2030) (% of baseline)	Latest known results (2018)
Quota allocation in 2015 = 183.1 MtCO ₂ equivalent (=100%)	2016-17: 93% 2018-20: 63% 2021-23: 45% 2024-26: 31% 2027-29: 24% n.b.: from 2017 onwards, the milestones also include HFCs imported inside refrigeration and air conditioning equipment	21%	55%

Important items from work programmes/financing decisions/operational programmes¹³

Output description	Indicator	Target	Latest known results (situation on 31/12/2019)
10 procurement contracts	10 contracts signed	31 December 2019	10 contracts signed

Other important outputs

Output description	Indicator	Target	Latest known results (situation on 31/12/2019)
Evaluation of the Ozone Regulation (PLAN/2017/927)	Publication of the Evaluation Staff Working Document (SWD)	Q2 2019	Evaluation SWD published in Q4 2019
Commission	Adoption by the	Q4 2019	Adopted in Q4

¹² This indicator is a new result indicator added in the AAR 2018 in order to reflect latest policy developments. The F-gas Regulation entered into force in 2015, capping the amount of HFCs that can be placed on the EU market annually to a limited HFC quota, which is being progressively reduced ('EU HFC phase-down').

¹³ For a complete listing of expenditure-related outputs please refer to the Programme Statements published together with the [Draft Budget for 2019](#).

Implementing Decision on "Member States" 2017 emissions under the Effort Sharing Decision (PLAN/2017/1702)	Commission		2019
LULUCF: Technical assessment of Member States National Forestry Accounting Plans	Revision of 28 Member State plans Synthesis report to the Expert Group	Q4 2019	Completed in Q2 2019
Specific objective 3: Further decarbonisation of the transport sector in the EU through development and implementation of harmonised policies (in cooperation with other DGs like DG MOVE, GROW,...)			
Result indicator: Average CO ₂ emissions from new cars			
Source of data: Annual Climate Action progress Report (European Commission + EEA)			
Baseline (2009)	Interim Milestone (2015)	Target (2020) Cars Regulation 443/2009	Latest known results (2018)
145.7g/km	130g/km	95g/km	120.4g/km
Result indicator: Average CO ₂ emissions from new cars (light commercial vehicles)			
Source of data: Annual Climate Action progress Report (European Commission + EEA)			
Baseline (2009)	Interim Milestone (2017)	Target (2020) Vans Regulation 510/2011	Latest known results (2018)
180.2g/km	175g/km	147g/km	158.1g/km
Delivery on legislative proposals pending with the legislator			
Output description	Indicator	Target	Latest known results (situation on 31/12/2019)
CO ₂ standards for heavy-duty vehicles COM(2018) 284 final	Adoption by the co-legislators	May 2019	Adopted on 20 June 2019
CO ₂ standards for cars and vans COM(2017) 676 final	Adoption by the co-legislators	May 2019	Adopted on 17 April 2019
Important items from work programmes/financing decisions/operational programmes¹⁴			

¹⁴ For a complete listing of expenditure-related outputs please refer to the Programme Statements published together with the [Draft Budget for 2019](#).

Output description	Indicator	Target	Latest known results (situation on 31/12/2019)
Revision of the Shipping MRV Regulation (PLAN/2017/993)	Adoption by the Commission	Q1 2019	Adopted in Q1 2019
14 procurement contracts	14 contracts signed	31 December 2019	10 contracts signed ¹⁵
Other important outputs			
Output description	Indicator	Target	Latest known results (situation on 31/12/2019)
Commission Delegated Directive introducing lifecycle greenhouse gas intensity default values (2016/CLIMA/022)	Adoption by the Commission	Q1 2019	Planned adoption date in Q4 2020 ¹⁶
Report on greenhouse gas intensity of fuel and energy, and quality of petrol and diesel fuel (PLAN/2018/3459)	Adoption by the Commission	Q2 2019	Adopted in Q4 2019
Specific objective 4: Increased resilience of EU society against the effects of climate change via effective support to MS respecting the subsidiarity principle (adaptation)		Related to spending programme(s) LIFE Regulation + EU Budget	
Result indicator: Number of national adaptation strategies adopted by MS			
Source of data: Annual Climate Action Progress Report (European Commission + EEA)			

¹⁵ Four contracts were cancelled or postponed :

- One contract was postponed to 2020 because a set of prerequisite information was not yet available;
- Three contracts were merged;
- One contract was postponed until further notice following the new political priorities in the context of the European Green Deal.

¹⁶ This act has been postponed to match timing as specified in Directive (EU) 2018/2001 of 11 December 2018 on the promotion of the use of energy from renewable sources, Art.28, 5.

Baseline (2013)	Target ((2017)) Communication Adaptation Strategy of 2013)		Latest known results (2019)
13	28		26 ¹⁷
Result indicator: Number of communes signing up to the new integrated Covenant of the Mayors			
Source of data: Covenant of the Mayors website			
Baseline (2015)	Target (2020)		Latest known results (2019)
6,300	Steady increase		10,005
Important items from work programmes/financing decisions/operational programmes¹⁸			
Output description	Indicator	Target	Latest known results (situation on 31/12/2019)
5 procurement contracts	5 contracts signed	31 December 2019	5 contracts signed
Other important outputs			
Output description	Indicator	Target	Latest known results (situation on 31/12/2019)
European Climate Change Adaptation conference	Successful conference	May 2019	Completed in May 2019
Specific objective 5: Optimisation and sound and efficient management of financial incentives to support the innovation-based shift towards a low carbon and climate-resilient EU economy (through the EU budget and the (ETS) funds) (in cooperation with all DGs)			
Related to spending programme(s) LIFE Regulation + EU Budget			
Result indicator: Attributable climate improvements of the LIFE programme (attributable reduction in greenhouse gas emission and/or an increased climate change resilience)			
Source of data: Programme Statement LIFE programme (grants + financial instruments)			
Baseline	Interim Milestone	Target	Latest known

¹⁷ Croatia and Bulgaria are still working on their national adaptation strategies.

¹⁸ For a complete listing of expenditure-related outputs please refer to the Programme Statements published together with the [Draft Budget for 2019](#).

(2013)	(2017)	((2020) Programme Statement LIFE programme)	results (2018)
No data	80% of ongoing/finalised projects progress towards climate improvements	≥ 80% of ongoing projects progress towards/ of finalised projects achieved climate improvements	96%
Result indicator: Reduction of tons of GHG emissions attributable to the projects of the LIFE programme Source of data: Programme Statement LIFE			
Baseline (2013)	Interim Milestone (2017)	Target (2020) Programme Statement LIFE programme)	Latest known results (2018)
No data	Relative reduction in tons of GHGs per project of at least 20% compared to project baseline.	Relative reduction in tons of GHGs per project of at least 20% compared to project baseline.	72%
Result indicator: Increased climate resilience attributable to the projects in the LIFE programme Source of data: Programme Statement LIFE			
Baseline (2013)	Interim Milestone (2017)	Target (2020) Programme Statement LIFE programme)	Latest known results (2018)
No data	Increased climate resilience due to LIFE-funded projects in vulnerable areas as identified in the EU adaptation strategy	Increased climate resilience due to LIFE-funded projects in vulnerable areas as identified in the EU adaptation strategy	69% (Percentage of the projects for climate adaptation promoting best practice solutions)
Result indicator: Level of climate mainstreaming (=integration of the climate dimension) in the EU budget Source of data: MFF mid-term review COM(2016) 603			
Baseline (2013)	Target (2020) COM Communication Average for the period 2014-2020		Latest known results Average for the period 2014-2019:

6-7% indicative	20%	19.7%	
Result indicator ¹⁹ : Reduction of CO ₂ emissions (Tons of CO ₂ /year) as a result of investments supported by the PF4EE instrument			
Source of data : Private Finance for Energy Efficiency (PF4EE), Operational report 2019			
Baseline (2016)	Target	Latest known results (2019)	
3,245 Tons of CO ₂ /year	Steady increase	24 615 Tons of CO ₂ /year	
Result indicator : Residual error rate (RER) in LIFE(+) programme (below 2% of amount spent) (KPI)			
Source of data : Annual Activity Report DG CLIMA (internal assessment)			
Baseline (2014)	Target (2020)	Latest known results (2019)	
0.144%	Below 2%	0.8%	
Important items from work programmes/financing decisions/operational programmes ²⁰			
Output description	Indicator	Target	Latest known results (situation on 31/12/2019)
30 Traditional Action grants supporting mitigation/adaptation plans, promotion of innovation, resilience to climate change, supporting implementation of EU law	30 grant agreements (GA) signed	Mid-2019	31 Grant Agreements signed
3 Integrated projects (IP) to improve the climate knowledge base	3 IPs signed	Mid-2019	3 IPCs signed
2 Technical assistance (TA) project supporting MS	2 TA projects signed	Mid-2019	2 TACs signed
30 Operating grants supporting NGO's	30 specific grant agreements	Q1 2019	34 SGA signed (addressing

¹⁹ This result indicator was added to the AAR 2018 following a recommendation from the Internal Audit Service (IAS) to include performance information related to the PF4EE in DG CLIMA internal and external reporting (i.e. AAR).

²⁰ For a complete listing of expenditure-related outputs please refer to the Programme Statements published together with the [Draft Budget for 2019](#).

	signed (SGA)		Climate Change and Environmental topics)
6 Financial agreements under the financial instruments	6 operations signed	31 December 2019	3 operations signed ²¹
2 procurement contracts	2 contracts signed	31 December 2019	2 procurement contracts signed
Other important outputs			
Output description	Indicator	Target	Latest known results (situation on 31/12/2019)
Establishment of the Innovation Fund (PLAN/2017/916)	Adoption by the Commission	Q1 2019	Adopted in Q1 2019
Commission Decision on the Modernisation Fund (PLAN/2018/2383)	Vote on the Implementing Act in the Climate Change Committee	Q4 2019	First draft of the Implementing Act presented to Member States ²² .
Specific objective 6: Implementation of the Energy Union Strategy towards an enhanced climate and energy governance mechanism including streamlined reporting and planning post-2020 (coordination with DG ENER) Related to spending programme(s)			
Result indicator: Adoption of national climate and energy plans (NECPs) by MS to contribute to the EU's post-2020 goals			
Source of data: State of the Energy Union progress report			
Baseline (2015)	Interim Milestone (year)	Target ((2020) 2030 Climate and Energy package – Council Conclusions October 2014)	Latest known results (2019)
0		28 drafts by 1 Jan 2018; final by 1	EC issued recommendatio

²¹ Two operations signed under the Private Finance for Energy Efficiency (PF4EE) and one operation signed under the Natural Capital Finance Facility (NCFF).

²² Adoption postponed to Q2 2020 because more internal and external consultations were conducted following the heterogeneous positions of beneficiary Member States and because of the new political cycle.

		Jan 2019	ns on all 28 NECPs
All new initiatives / significant evaluations from the Commission Work Programme			
Output description	Indicator	Target	Latest known results (situation on 31/12/2019)
4 th State of the Energy Union report	Adoption by the Commission	Q1 2019	Adopted in Q2 2019
Important items from work programmes/financing decisions/operational programmes²³			
Output description	Indicator	Target	Latest known results (situation on 31/12/2019)
1 procurement contract	1 contract signed	31 December 2019	1 procurement contract signed
Delegated act on Union inventory system, global warming potentials and internationally agreed guidelines to be used in reporting (PLAN/2018/3723)	Adoption by the Commission	Q3 2019	Adoption planned in Q2 2020 ²⁴
Implementing act on climate information reported under Energy Union Governance (PLAN/2018/3720)	Adoption by the Commission	Q3 2019	Adoption planned in Q2 2020 ²⁵
Climate Action Progress Report (PLAN/2018/3428)	Adoption by the Commission	Q4 2019	Adopted in Q4 2019
Specific objective 7: Ambitious contribution to effective international negotiations (including bilateral cooperation and climate diplomacy) on climate (UNFCCC, Kyoto, Paris, ICAO, IMO) and ozone layer (Montreal) related matters (in		Related to spending programme(s)	

²³ For a complete listing of expenditure-related outputs please refer to the Programme Statements published together with the [Draft Budget for 2019](#)

²⁴ Postponed because further analysis was needed to assess the impact of changing from the IPCC 4th Assessment report to the 5th Assessment report

²¹ Postponed because further analysis was needed to assess the impact of changing from the IPCC 4th Assessment report to the 5th Assessment report

cooperation with other DGs and the EEAS

Result indicator: Participation in multilateral climate negotiations upon signature

Source of data: EU report – Council decisions

Baseline (2010)	Interim Milestone	Target (2020) depending on progress made (see page 11: Montreal, IMO, ICAO tbd)	Latest known results (2019)
	(2016)		
5 conventions signed	6 (including Paris)	tbc	6

Important items from work programmes/financing decisions/operational programmes²⁶

Output description	Indicator	Target	Latest known results (situation on 31/12/2019)
Suscription to 5 international conventions (UNFCCC, International transaction log (ITL), Kyoto, Vienna and Montreal protocols)	5 annual fee payments to the respective secretariats	Q2 2019	Completed in Q2 2019
Regional workshop with Member States to prepare for ICAO CORSIA	Organisation of 2 regional workshops	Q3 2019	Not completed ²⁷
Participation to the UN Secretary-General Climate Summit	Participation in the summit and meetings with stakeholders and high officials	Q3 2019	Completed in Q3 2019
Preparations of COP25	Participation in the event Meetings with high officials and stakeholders	Q4 2019	Completed in Q4 2019
3 procurement contracts	3 contracts signed	31 December 2019	3 contracts signed

Assessment of the quality of the data of performance tables

²⁶ For a complete listing of expenditure-related outputs please refer to the Programme Statements published together with the [Draft Budget for 2019](#).

²⁷ Workshops were not organised as ICAO organised a regional seminar in Helsinki covering these topics, the information was also disseminated within the Aviation Task Force and other fora.

All DG CLIMA indicators contained in the performance tables are considered reliable since they come from internationally recognised sources or are subject to a well-established and documented data quality process.