



2019

Annual Activity Report

Annexes

EUROSTAT



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

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."

Luxembourg, 31 March 2020

(e-signed)

Luc Briol
Acting Director in charge of Risk Management and Internal Control

¹ C(2017)2373 of 19.04.2017.

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

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 1: Percentage of female representation in middle management		
Source of data: DG HR		
Baseline 2015: 52,9%	Target 2019: 50%	Latest known results (01/01/2020): 59 %
Indicator 2: Percentage of staff who feel that the Commission cares about their well-being		
Source of data: Commission staff survey		
Baseline 2014: 41.7%	Target 2020: 50%	Latest known results: 2018: 61 %
Indicator 3: Staff engagement index		
Source of data: Commission staff survey		
Baseline 2014: 70%	Target 2020: at least 60%	Latest known results: 2018: 70 %
Indicator 4: Efficient organisation fully adapted to business needs: percentage of staff on temporary allocations		
Source of data: Eurostat HR Plan 2015-2017		
Baseline 2014: 7-8%	Target 2020: Maintain the share of staff on temporary allocations to 7-8%	Latest known results (31/12/2019): 5 posts (= 0.83 % of establishment posts)

Eurostat achieved its target of 5 first female appointments in middle management positions by November 2019: 3 women were appointed on head of unit posts in 2019. At the end of 2019, 55% of middle management positions in Eurostat were occupied by women, thus exceeding the 2019 target of 50%.

Due to the fact that in the 2017 Staff Opinion Survey, Eurostat's results were less high for the survey questions relating to aspects of the working environment (mobility and career progression), senior management (communication flows and physical presence) and working methods (collaboration and communication, change and innovation), discussion groups were put in place in 2019 with the aim to engage members of staff in the co-design of the follow-up to improvement actions. All grades and directorates were represented in these discussion groups. The results of the groups' work were discussed by Eurostat's senior management in September and many of the suggestions fed into the Eurostat Development Plan: improvement actions proposed were prioritised on the basis of an assessment of their expected impact and their ease of implementation.

The plan provides for:

- an improved communication on available opportunities and individualised career support services,
- the promotion of a more active, open and regular communication between senior managers and staff,
- an enhanced information flow to provide staff with additional practical information about their area of work and cross-unit issues and
- an improved innovation in the production and dissemination of European Statistics.

In 2019, Eurostat carried out a review based on the planned work programme for 2020, estat_aar_2019_annexes_final Page 4 of 66

with the objective to continuing focussing on the main activities and to optimising the use of resources.

Main outputs in 2019:			
Output	Indicator	Target	Latest known results (end 2019)
An efficient organisation and optimal use of HR	A screening of HR allocation within the DG is carried out aiming at establishing the best use of HR to fulfil the mission and priorities of the DG	Annual screening	Done
A more equally balanced middle management (in terms of gender)	Female first time appointments to management position, out of the 9 expected vacancies, by end 2019	5 by end 2019	Done
Fit, integrated and productive staff	Wellbeing (physical and social) activities provided to Eurostat staff in Eurostat premises	18 types of activities provided every week	Done
An established HR strategy, aligned to the priorities of the DG, comprising work force planning, staff development and learning and development	Strategy approved by senior management	By end of 2018	Postponed to 2020 once the new senior management team is fully established. Instead, a screening of HR allocations within ESTAT was carried out in 2019
Action plan as follow-up of the Commission staff opinion survey 2018	Approval of action plan by Director-General	By end of Q2 2019	Results and action plan presented to Directors Meeting in October 2019

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 EUROSTAT to the Regulatory Scrutiny Board that received a favourable opinion on first submission.			
Source of data: EUROSTAT (coordinated by EUROSTAT Unit A2 and if needed confirmed by SG Unit C.1)			
Baseline 2015	Interim Milestone 2016	Target 2020	2019
0%	Positive trend compared to DG's 2015 situation.	Positive trend compared to DG's 2017 situation.	No IA 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.			
Explanation: Better Regulation principles foresee that regulatory acquis is evaluated at regular intervals. As evaluations help to identify any burdens, implementation problems, and the extent to which objectives have been achieved, the availability of performance feedback is a prerequisite to introduce corrective measures allowing the acquis to stay fit for purpose.			
Relevance of Indicator 2: The application of better regulation practices would progressively lead to the stock of legislative acquis covered by regular evaluations to increase.			
Source of data: EUROSTAT (coordinated by EUROSTAT Unit A2 based in particular on REFIT reporting)			
Baseline 2015	Interim Milestone 2016	Target 2020	2019
20%	Positive trend compared to baseline	Positive trend compared to interim milestone	31.5 %

The main planned output linked to the Better Regulation objective in the Strategic Plan was the report on the "Evaluation of the European Fishery Statistics" which was concluded in November 2019 (SWD(2019) 425). The evaluation of European Fishery Statistics (EFS) conducted in 2018-2019 included a wide range of consultation activities such as a public consultation, an expert questionnaire, in-depth stakeholder interviews, a workshop with Member States and other actions.

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) statistics			
Baseline 2015	Target 2020	2019	
1,17%	0%	Latest known results: 0.61%	
Indicator 2: Percentage of HAN files readable/accessible by all units in the DG			
Source of data: HAN statistics			
Baseline 2015	Target 2016	2019	
43,70%	50%	Latest known results: 1.8%	
Indicator 3: Percentage of HAN files shared with other DGs			
Source of data: HAN statistics			
Baseline 2015	Target 2016	2019	
0,15%	0.17%	Latest known results: 52%	

- Indicator 1: Percentage decreased compared to 2018 as a result of corrective and/or proactive actions taken by the document management section in 2019. Among them: controls, monthly notification sheet sent to Directors for follow up together with training and information sessions provided on regular basis at different levels. Emphasis can also be placed on the successful filing process at the end of 2019. The number of registered but not filed documents is very low.
- Indicator 2: Overall, better understanding of high quality document management has contributed to increasing the specifications of the files. Since 1 October 2019, Eurostat has opened by default the visibility of files at Commission level, except for financial files. Therefore, the visibility at DG level is not in use anymore. Financial files remain the most significant part of Eurostat's files, with restricted visibility. The ratio of files visible at Commission level should increase in the future, since the restriction can now be applied to the documents contained in the files and not to the file itself.
- Indicator 3: The number of files visible to other DGs has again continued to increase substantially as a result of the established practice that, after closure, Eurostat should extend a file's visibility to all DGs, as well as of the centralised document management system in place in Eurostat that ensures consistent implementation of the practice. The success of the annual closure exercise carried out by Eurostat in 2019 on about 600 files also explained this result.

Objective: Information and knowledge in your DG is shared and reusable by other DGs. Important documents are registered, filed and retrievable			
Main outputs in 2019:			
Output	Indicator	Target	Latest known results (end 2019)
Official Document Life Cycle: Documents registered, filed, archived and preserved	Incoming mail is registered and assigned within 24 hours	100 %	100 %
	Appraisal and post-DUA treatment is done error free in accordance with the Intermediate Archive Management Centralisation project	100 %	100 %

	Training provided to all newcomers and to other staff at regular intervals or upon request	100 %	100 %
Inter-Service Consultation: Co-ordination of Inter-Service Consultations' procedures; internal training on Decide Consultation application	ISC answered within the deadlines	100 %	98 %
	ISC launched in accordance with the requirements and specifications defined by the concerned service(s)	100 %	100 %
Intermediate Archive Management Centralisation	Transfer the responsibility of managing the Eurostat intermediate archive rooms from units to the DMO	100 %	100 %

External Communication

The total amount spent in 2019 is estimated at 3 MEUR.

Annual communication spending (based on estimated commitments):			
Baseline (2018):	Target (2019):	Total amount spent	Total of FTEs working on external communication
3.3 M EUR	3.4 M EUR	3 M EUR	13 FTE

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

Eurostat will contribute to enhancing the positive image of the EU by:

- providing high quality statistics on Europe to all groups of users (citizens, businesses, European, national and local administrations, researchers, journalists, ...).
- respecting the following principles: data are supplied free of charge and all users are treated equally, data are accompanied by information to help users to understand European statistics, data are published in a neutral and independent manner.
- making all relevant statistics needed for the understanding and assessment of EU policies available to EU citizens.
- engaging pro-actively with users in order to better identify their needs and improving our responsiveness to new user needs.

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

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

Baseline: November 2014	Target: 2020	2019
Total "Positive": 39% Neutral: 37 % Total "Negative": 22%	Positive image of the EU ≥ 50%	Latest known results (November/2019): Total "Positive": 42% Neutral: 37 % Total "Negative": 20% (Don't know 1%)

Main outputs in 2019:			
Output	Indicator	Target	Latest known results (end 2019)
Make of Eurostat's website an attractive and easy source of information on European statistics for citizens.	Number of page views	+3% in 2019 compared to 2018	+8% (32 881 000 in Jan-Nov 2019 vs 30 481 000 in Jan-Nov 2018)
	Number of videos produced		8 in 2019
	Number of interactive		224 (68 new, 156 updated) in 2019

	visualisation tools developed		
Full range of publications (including news releases) oriented to users' needs, all available via the website	Number of pages viewed on digital publications	+3% in 2019 compared to 2018	-13% (1 548 000 in 2019 vs 1 778 000 in 2018)
	Number of news releases downloaded		+18% (2 803 000 in in Jan-Nov 2019 vs 2 383 000 in Jan-Nov 2018)
Continuous development of Statistics Explained	Number of page views	+3 % in 2019 compared to 2018	+10% (20 922 000 in Jan-Nov 2019 vs 19 099 000 in Jan-Nov 2018)

Not all of these indicators, which were selected in the past, properly reflect the current use of the Eurostat website, behaviours of its users and the dissemination choices of Eurostat. In particular the development of interactive tools has been prioritised over simple videos.

They must be analysed together with more global indicators on the final use of Eurostat statistics, in particular the increasing number of followers of Eurostat on social media (+21%). These would better show the growing interest of European citizens in Eurostat data and products.

ANNEX 3: Draft annual accounts and financial reports

AAR 2019 Version 1

Annex 3 Financial Reports - DG ESTAT - Financial Year 2019

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

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.

Table 1. Commitments The turnover on the commitment appropriations of the 29 02 chapter is triggered downwards by multi-annual appropriations available that were not committed in 2019.

The turnover on commitment planned to be used by Eurostat in its 2019 Financing Decision was of 95.52%.

Table 2. Payments The turnover on the payment appropriations of 29 02 chapter is triggered downwards by multi-annual appropriations available that were not paid in 2019 and are expected to be made in the coming years. The turnover on payments for the annual appropriations 2019 (Voted Budget and Efta, co-delegations excluded) was 99.99%.

Some DGs Give a Direct access to their main line this is the reason why we have a consumption without having Payment Appropriation available.

Table 11. In 2019 Eurostat recorded 1 negotiated procedure (PN 134). Please note that the amount awarded for this PN is 3,427,972.00 euro, the total amount of this FWC is 10,284,228.00 Euro.

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

Refresh date: 27/02/2020

TABLE 1: OUTTURN ON COMMITMENT APPROPRIATIONS IN 2019 (in Mio €) for DG ESTAT

			Commitment appropriations authorised	Commitments made	%
			1	2	3=2/1
Title 02 Internal market, industry, entrepreneurship and SMEs					
02	02 06	European Earth observation programme	0	0	0,00 %
Total Title 02			0	0	0,00 %

Title 04 Employment, social affairs and inclusion					
04	04 03	Employment, Social Affairs and Inclusion	3,03	3,03	100,00 %
Total Title 04			3,03	3,03	100,00 %

Title 05 Agriculture and rural development					
05	05 08	Policy strategy and coordination of the 'Agriculture and rural development' policy area	40	39,4	98,50 %
Total Title 05			40	39,4	98,50 %

Title 06 Mobility and transport					
06	06 02	European transport policy	0	0	0,00 %
Total Title 06			0	0	0,00 %

Title 07 Environment					
07	07 02	Environmental policy at Union and international level	0	0	0,00 %
Total Title 07			0	0	0,00 %

Title 09 Communications networks, content and technology					
09	09 04	Horizon 2020	2	2	100,00 %
Total Title 09			2	2	100,00 %

Title 10 Direct research					
10	10 02	Horizon 2020 - Direct actions of the Joint Research Centre (JRC) in support of Union policies	0,04	0,04	100,00 %
Total Title 10			0,04	0,04	100,00 %

Title 13 Regional and urban policy					
13	13 03	European Regional Development Fund and other regional operations	1,68	1,68	100,00 %
	13 04	Cohesion Fund (CF)	0	0	0,00 %
Total Title 13			1,68	1,68	100,00 %

Title 15 Education and culture					
15	15 01	Administrative expenditure of the 'Education and culture' policy area		0,22	0,22 100,00 %
Total Title 15			0,22	0,22	100,00 %

TABLE 1: OUTTURN ON COMMITMENT APPROPRIATIONS IN 2019 (in Mio €) for DG ESTAT

			Commitment appropriations authorised	Commitments made	%
			1	2	3=2/1
Title 17 Health and food safety					
17	17 03	Public health	0,44	0,44	100,00 %
Total Title 17			0,44	0,44	100,00 %
Title 18 Migration and home affairs					
18	18 02	Internal security	0,25	0,25	99,26 %
	18 03	Asylum and migration	0,38	0,37	99,95 %
Total Title 18			0,63	0,62	99,68 %
Title 21 International cooperation and development					
21	21 02	Development Cooperation Instrument (DCI)		0	
Total Title 21				0	
Title 22 Neighbourhood and enlargement negotiations					
22	22 02	Enlargement process and strategy	10	10	100,00 %
	22 04	European Neighbourhood Instrument (ENI)		0	
Total Title 22			10	10	100,00 %
Title 26 Commission's administration					
26	26 03	Services to public administrations, businesses and citizens	0,4	0,4	100,00 %
Total Title 26			0,4	0,4	100,00 %
Title 29 Statistics					
29	29 01	Administrative expenditure of the 'Statistics' policy area	0,78	0,45	57,12 %
	29 02	The European statistical programme	77,79	69,17	88,93 %
Total Title 29			78,57	69,62	88,61 %
Title 33 Justice and consumers					
33	33 02	Rights, equality and citizenship	3,74	3,74	99,99 %
Total Title 33			3,74	3,74	99,99 %
Title 34 Climate action					
34	34 02	Climate action at Union and international level	0	0	0,00 %
Total Title 34			0	0	0,00 %
Total DG ESTAT			140,73	131,18	93,21 %

* 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).

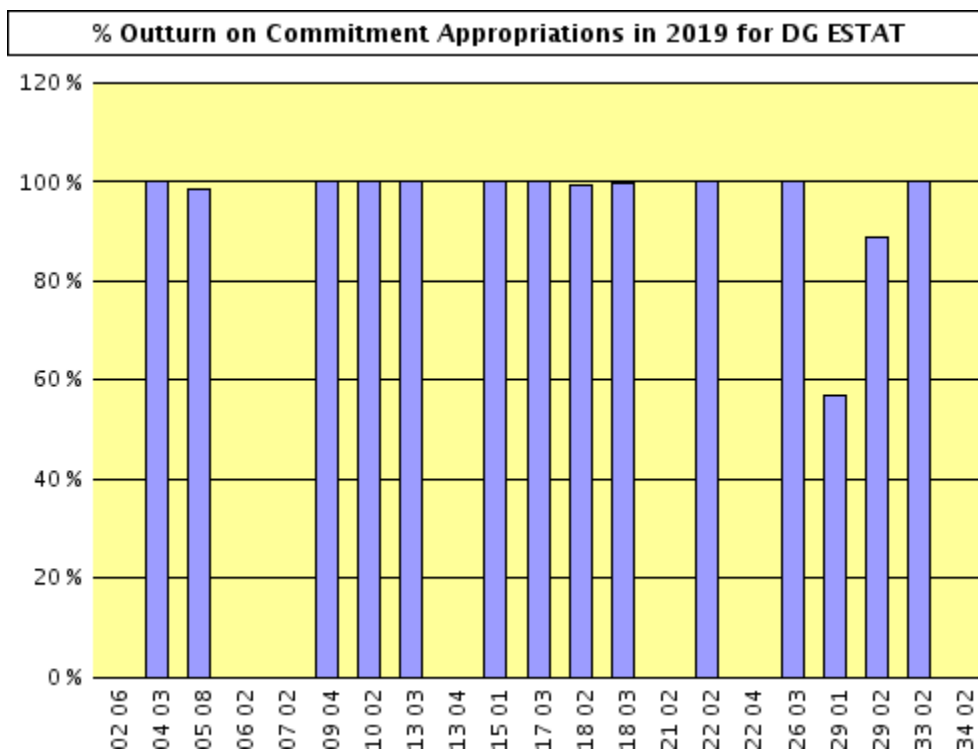


TABLE 2: OUTTURN ON PAYMENT APPROPRIATIONS in 2019 (in Mio €) for DG ESTAT

			Payment appropriations authorised *	Payments made	%
			1	2	3=2/1
Title 02 Internal market, industry, entrepreneurship and SMEs					
02	02 06	European Earth observation programme	0,76	0,76	100,00 %
Total Title 02			0,76	0,76	100,00%
Title 04 Employment, social affairs and inclusion					
04	04 03	Employment, Social Affairs and Inclusion	2,57	2,55	99,44 %
Total Title 04			2,57	2,55	99,44%
Title 05 Agriculture and rural development					
05	05 08	Policy strategy and coordination of the 'Agriculture and rural development' policy area	21,24	21,22	99,95 %
Total Title 05			21,24	21,22	99,95%
Title 06 Mobility and transport					
06	06 02	European transport policy	0,08	0,08	100,00 %
Total Title 06			0,08	0,08	100,00%
Title 07 Environment					
07	07 02	Environmental policy at Union and international level	0,75	0,74	98,89 %
Total Title 07			0,75	0,74	98,89%
Title 09 Communications networks, content and technology					
09	09 04	Horizon 2020	1,91	1,91	100,00 %
Total Title 09			1,91	1,91	100,00%
Title 10 Direct research					
10	10 02	Horizon 2020 - Direct actions of the Joint Research Centre (JRC) in support of Union policies	0	0,04	#DIV/0
Total Title 10			0	0,04	#DIV/0
Title 13 Regional and urban policy					
13	13 03	European Regional Development Fund and other regional operations	0,67	0,67	100,00 %
	13 04	Cohesion Fund (CF)	0,32	0,32	99,99 %
Total Title 13			0,99	0,99	100,00%
Title 15 Education and culture					
15	15 01	Administrative expenditure of the 'Education and culture' policy area	0,22	0,18	85,68 %
Total Title 15			0,22	0,18	85,68%
Title 17 Health and food safety					
17	17 03	Public health	0	0	#DIV/0
Total Title 17			0	0	#DIV/0
Title 18 Migration and home affairs					
18	18 02	Internal security	0,21	0,21	100,00 %
	18 03	Asylum and migration	0,35	0,35	100,00 %
Total Title 18			0,57	0,57	100,00%
Title 21 International cooperation and development					

TABLE 2: OUTTURN ON PAYMENT APPROPRIATIONS in 2019 (in Mio €) for DG ESTAT					
			Payment appropriations authorised *	Payments made	%
			1	2	3=2/1
21	21 02	Development Cooperation Instrument (DCI)		1,51	
Total Title 21				1,51	
Title 22 Neighbourhood and enlargement negotiations					
22	22 02	Enlargement process and strategy	4,95	4,95	100,00 %
Total Title 22			4,95	4,95	100,00%
Title 26 Commission's administration					
26	26 03	Services to public administrations, businesses and citizens	0	0,34	#DIV/0
Total Title 26			0	0,34	#DIV/0
Title 29 Statistics					
29	29 01	Administrative expenditure of the 'Statistics' policy area	2,18	0,34	15,46 %
	29 02	The European statistical programme	70,68	52,85	74,77 %
Total Title 29			72,87	53,19	72,99%
Title 33 Justice and consumers					
33	33 02	Rights, equality and citizenship	1,98	1,97	99,62 %
Total Title 33			1,98	1,97	99,62%
Title 34 Climate action					
34	34 02	Climate action at Union and international level	0,53	0,53	100,00 %
Total Title 34			0,53	0,53	100,00%
Total DG ESTAT			109,42	91,56	83,68 %

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

% Outturn on Payment Appropriations in 2019 for DG ESTAT

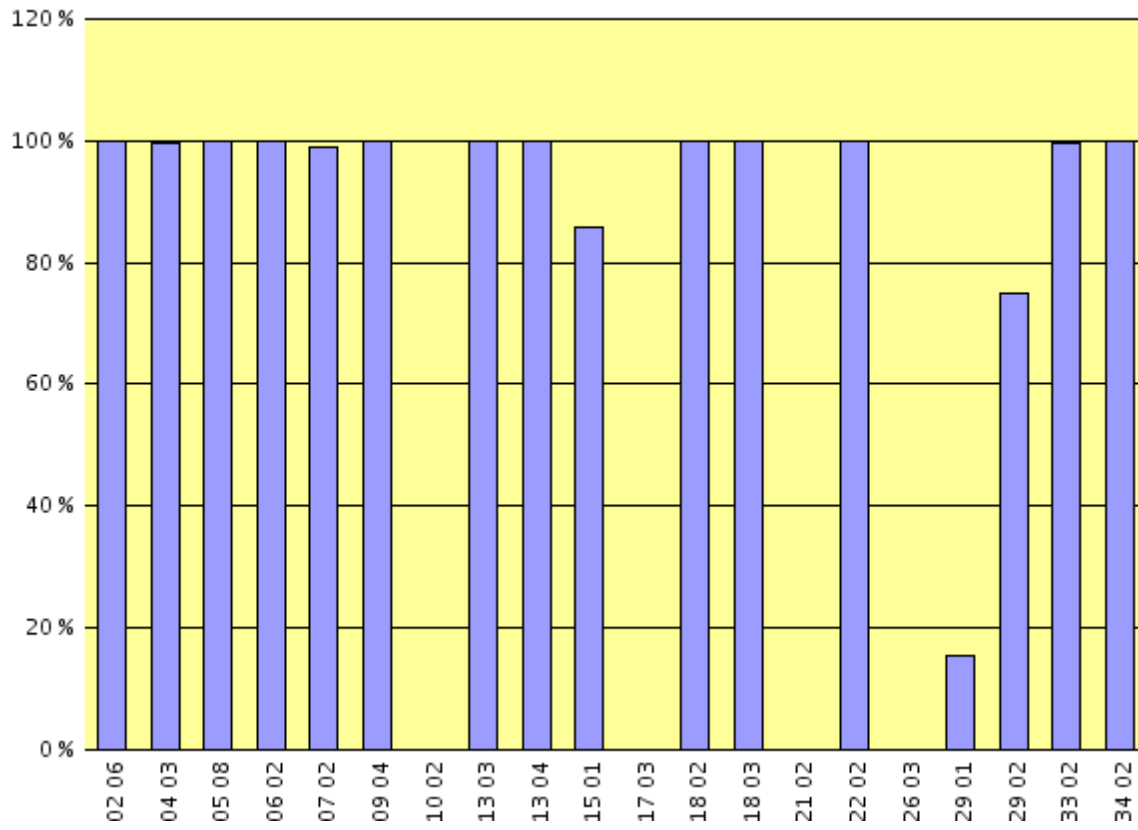


TABLE 3 : BREAKDOWN OF COMMITMENTS TO BE SETTLED AT 31/12/2019 (in Mio €) for DG ESTAT									
Chapter			Commitments to be settled				Commitments to be settled from financial years previous to 2018	Total of commitments to be settled at end of financial year 2019	Total of commitments to be settled at end of financial year 2018
			Commitments	Payments	RAL	% to be settled			
			1	2	3=1-2	4=1-2/1	5	6=3+5	7
02	02 06	European Earth observation programme	0,00	0,00	0,00	0,00%	0,00	0,00	0,77
Total Title 02			0,00	0,00	0,00	0,00%	0,00	0,00	0,77

TABLE 3 : BREAKDOWN OF COMMITMENTS TO BE SETTLED AT 31/12/2019 (in Mio €) for DG ESTAT									
Chapter			Commitments to be settled				Commitments to be settled from financial years previous to 2018	Total of commitments to be settled at end of financial year 2019	Total of commitments to be settled at end of financial year 2018
			Commitments	Payments	RAL	% to be settled			
			1	2	3=1-2	4=1-2/1	5	6=3+5	7
04	04 03	Employment, Social Affairs and Inclusion	3,03	0,73	2,30	75,82%	2,93	5,23	5,52
Total Title 04			3,03	0,73	2,30	75,82%	2,93	5,23	5,52

TABLE 3 : BREAKDOWN OF COMMITMENTS TO BE SETTLED AT 31/12/2019 (in Mio €) for DG ESTAT									
Chapter			Commitments to be settled				Commitments to be settled from financial years previous to 2018	Total of commitments to be settled at end of financial year 2019	Total of commitments to be settled at end of financial year 2018
			Commitments	Payments	RAL	% to be settled			
			1	2	3=1-2	4=1-2/1	5	6=3+5	7
05	05 08	Policy strategy and coordination of the 'Agriculture and rural development' policy area	39,40	18,83	20,58	52,22%	1,35	21,93	5,10
Total Title 05			39,40	18,83	20,58	52,22%	1,35	21,93	5,10

TABLE 3 : BREAKDOWN OF COMMITMENTS TO BE SETTLED AT 31/12/2019 (in Mio €) for DG ESTAT									
Chapter			Commitments to be settled				Commitments to be settled from financial years previous to 2018	Total of commitments to be settled at end of financial year 2019	Total of commitments to be settled at end of financial year 2018
			Commitments	Payments	RAL	% to be settled			
			1	2	3=1-2	4=1-2/1	5	6=3+5	7
06	06 02	European transport policy	0,00	0,00	0,00	0,00%	0,00	0,00	0,11
Total Title 06			0,00	0,00	0,00	0,00%	0,00	0,00	0,11

TABLE 3 : BREAKDOWN OF COMMITMENTS TO BE SETTLED AT 31/12/2019 (in Mio €) for DG ESTAT									
Chapter			Commitments to be settled				Commitments to be settled from financial years previous to 2018	Total of commitments to be settled at end of financial year 2019	Total of commitments to be settled at end of financial year 2018
			Commitments	Payments	RAL	% to be settled			
			1	2	3=1-2	4=1-2/1	5	6=3+5	7
07	07 02	Environmental policy at Union and international level	0,00	0,00	0,00	0,00%	0,00	0,00	0,75
Total Title 07			0,00	0,00	0,00	0,00%	0,00	0,00	0,75

TABLE 3 : BREAKDOWN OF COMMITMENTS TO BE SETTLED AT 31/12/2019 (in Mio €) for DG ESTAT									
Chapter			Commitments to be settled				Commitments to be settled from financial years previous to 2018	Total of commitments to be settled at end of financial year 2019	Total of commitments to be settled at end of financial year 2018
			Commitments	Payments	RAL	% to be settled			
			1	2	3=1-2	4=1-2/1	5	6=3+5	7
09	09 04	Horizon 2020	2,00	0,00	2,00	100,00%	2,04	4,04	4,15
Total Title 09			2,00	0,00	2,00	100,00%	2,04	4,04	4,15

TABLE 3 : BREAKDOWN OF COMMITMENTS TO BE SETTLED AT 31/12/2019 (in Mio €) for DG ESTAT									
Chapter			Commitments to be settled				Commitments to be settled from financial years previous to 2018	Total of commitments to be settled at end of financial year 2019	Total of commitments to be settled at end of financial year 2018
			Commitments	Payments	RAL	% to be settled			
			1	2	3=1-2	4=1-2/1	5	6=3+5	7
10	10 02	Horizon 2020 - Direct actions of the Joint Research Centre (JRC) in support of Union policies	0,04	0,00	0,04	100,00%	0,00	0,04	0,04
Total Title 10			0,04	0,00	0,04	100,00%	0,00	0,04	0,04

TABLE 3 : BREAKDOWN OF COMMITMENTS TO BE SETTLED AT 31/12/2019 (in Mio €) for DG ESTAT									
Chapter			Commitments to be settled				Commitments to be settled from financial years previous to 2018	Total of commitments to be settled at end of financial year 2019	Total of commitments to be settled at end of financial year 2018
			Commitments	Payments	RAL	% to be settled			
			1	2	3=1-2	4=1-2/1	5	6=3+5	7
13	13 03	European Regional Development Fund and other regional operations	1,68	0,04	1,64	97,54%	1,68	3,31	2,44
	13 04	Cohesion Fund (CF)	0,00	0,00	0,00	0,00%	0,72	0,72	1,11
Total Title 13			1,68	0,04	1,64	97,54%	2,40	4,04	3,55

TABLE 3 : BREAKDOWN OF COMMITMENTS TO BE SETTLED AT 31/12/2019 (in Mio €) for DG ESTAT									
Chapter			Commitments to be settled				Commitments to be settled from financial years previous to 2018	Total of commitments to be settled at end of financial year 2019	Total of commitments to be settled at end of financial year 2018
			Commitments	Payments	RAL	% to be settled			
			1	2	3=1-2	4=1-2/1	5	6=3+5	7
15	15 01	Administrative expenditure of the 'Education and culture' policy area	0,22	0,00	0,22	100,00%	0,00	0,22	0,20
Total Title 15			0,22	0,00	0,22	100,00%	0,00	0,22	0,20

TABLE 3 : BREAKDOWN OF COMMITMENTS TO BE SETTLED AT 31/12/2019 (in Mio €) for DG ESTAT									
Chapter			Commitments to be settled				Commitments to be settled from financial years previous to 2018	Total of commitments to be settled at end of financial year 2019	Total of commitments to be settled at end of financial year 2018
			Commitments	Payments	RAL	% to be settled			
			1	2	3=1-2	4=1-2/1	5	6=3+5	7
17	17 03	Public health	0,44		0,44	100,00%	1,14	1,58	1,16
Total Title 17			0,44		0,44	100,00%	1,14	1,58	1,16

TABLE 3 : BREAKDOWN OF COMMITMENTS TO BE SETTLED AT 31/12/2019 (in Mio €) for DG ESTAT									
Chapter			Commitments to be settled				Commitments to be settled from financial years previous to 2018	Total of commitments to be settled at end of financial year 2019	Total of commitments to be settled at end of financial year 2018
			Commitments	Payments	RAL	% to be settled			
			1	2	3=1-2	4=1-2/1	5	6=3+5	7
18	18 02	Internal security	0,25	0,00	0,25	100,00%	0,09	0,34	0,30
	18 03	Asylum and migration	0,37	0,01	0,37	98,54%	0,15	0,52	0,50
Total Title 18			0,62	0,01	0,62	99,12%	0,24	0,86	0,81

TABLE 3 : BREAKDOWN OF COMMITMENTS TO BE SETTLED AT 31/12/2019 (in Mio €) for DG ESTAT									
Chapter			Commitments to be settled				Commitments to be settled from financial years previous to 2018	Total of commitments to be settled at end of financial year 2019	Total of commitments to be settled at end of financial year 2018
			Commitments	Payments	RAL	% to be settled			
			1	2	3=1-2	4=1-2/1	5	6=3+5	7
21	21 02	Development Cooperation Instrument (DCI)	0,00	0,00	0,00	0,00%	3,94	3,94	5,45
Total Title 21			0,00	0,00	0,00	0,00%	3,94	3,94	5,45

TABLE 3 : BREAKDOWN OF COMMITMENTS TO BE SETTLED AT 31/12/2019 (in Mio €) for DG ESTAT									
Chapter			Commitments to be settled				Commitments to be settled from financial years previous to 2018	Total of commitments to be settled at end of financial year 2019	Total of commitments to be settled at end of financial year 2018
			Commitments	Payments	RAL	% to be settled			
			1	2	3=1-2	4=1-2/1	5	6=3+5	7
22	22 02	Enlargement process and strategy	10,00	0,00	10,00	100,00%	14,62	24,62	22,44
	22 04	European Neighbourhood Instrument (ENI)	0,00		0,00	0,00%	4,77	4,77	5,01
Total Title 22			10,00	0,00	10,00	100,00%	19,39	29,39	27,45

TABLE 3 : BREAKDOWN OF COMMITMENTS TO BE SETTLED AT 31/12/2019 (in Mio €) for DG ESTAT									
Chapter			Commitments to be settled				Commitments to be settled from financial years previous to 2018	Total of commitments to be settled at end of financial year 2019	Total of commitments to be settled at end of financial year 2018
			Commitments	Payments	RAL	% to be settled			
			1	2	3=1-2	4=1-2/1	5	6=3+5	7
26	26 03	Services to public administrations, businesses and citizens	0,40	0,00	0,40	100,00%	1,38	1,78	1,80
Total Title 26			0,40	0,00	0,40	100,00%	1,38	1,78	1,80

TABLE 3 : BREAKDOWN OF COMMITMENTS TO BE SETTLED AT 31/12/2019 (in Mio €) for DG ESTAT									
Chapter			Commitments to be settled				Commitments to be settled from financial years previous to 2018	Total of commitments to be settled at end of financial year 2019	Total of commitments to be settled at end of financial year 2018
			Commitments	Payments	RAL	% to be settled			
			1	2	3=1-2	4=1-2/1	5	6=3+5	7
29	29 01	Administrative expenditure of the 'Statistics' policy area	0,45	0,25	0,19	43,38%	0,00	0,19	0,18
	29 02	The European statistical programme	69,17	4,36	64,81	93,69%	56,89	121,70	111,43
Total Title 29			69,62	4,62	65,00	93,37%	56,89	121,89	111,61

TABLE 3 : BREAKDOWN OF COMMITMENTS TO BE SETTLED AT 31/12/2019 (in Mio €) for DG ESTAT									
Chapter			Commitments to be settled				Commitments to be settled from financial years previous to 2018	Total of commitments to be settled at end of financial year 2019	Total of commitments to be settled at end of financial year 2018
			Commitments	Payments	RAL	% to be settled			
			1	2	3=1-2	4=1-2/1	5	6=3+5	7
33	33 02	Rights, equality and citizenship	3,74	0,58	3,16	84,48%	2,38	5,54	4,18
Total Title 33			3,74	0,58	3,16	84,48%	2,38	5,54	4,18

TABLE 3 : BREAKDOWN OF COMMITMENTS TO BE SETTLED AT 31/12/2019 (in Mio €) for DG ESTAT									
Chapter			Commitments to be settled				Commitments to be settled from financial years previous to 2018	Total of commitments to be settled at end of financial year 2019	Total of commitments to be settled at end of financial year 2018
			Commitments	Payments	RAL	% to be settled			
			1	2	3=1-2	4=1-2/1	5	6=3+5	7
34	34 02	Climate action at Union and international level	0,00	0,00	0,00	0,00%	0,00	0,00	0,54
Total Title 34			0,00	0,00	0,00	0,00%	0,00	0,00	0,54

Total for DG ESTAT	131,18	24,80	106,38	81,09 %	94,09	200,47	173,18
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Breakdown of Commitments Remaining to be Settled (in Mio EUR) at 31/12/2019 for DG ESTAT

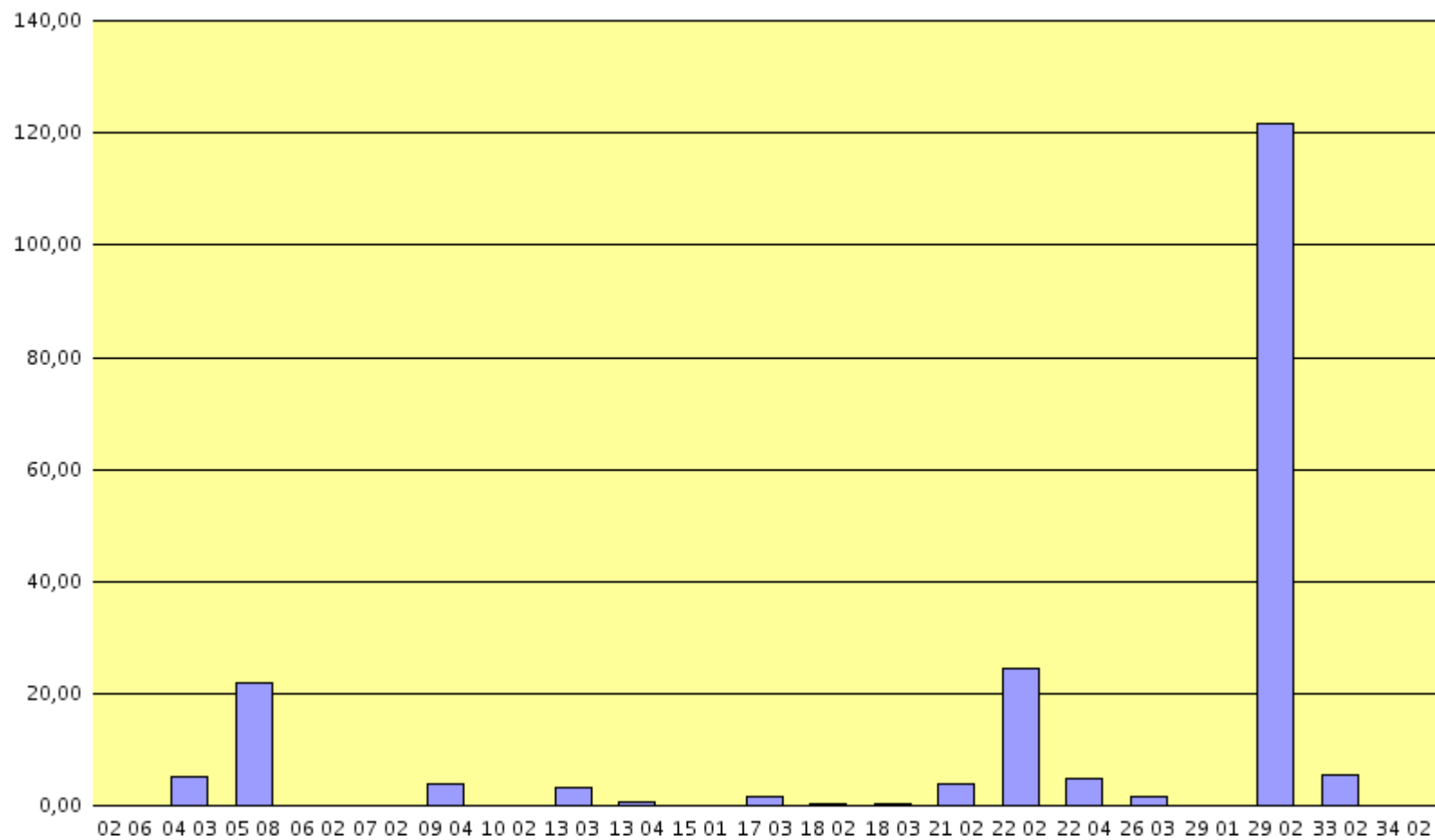


TABLE 4 : BALANCE SHEET for DG ESTAT

BALANCE SHEET	2019	2018
A.I. NON CURRENT ASSETS	8.507.316,64	8.507.316,64
A.I.1. Intangible Assets	8.507.316,64	8.507.316,64
A.I.2. Property, Plant and Equipment	0,00	0,00
A.II. CURRENT ASSETS	39.066.428,8	18.770.946,01
A.II.2. Current Pre-Financing	39.065.775,78	18.763.907,19
A.II.3. Curr Exch Receiv & Non-Ex Recoverables	653,02	7.038,82
ASSETS	47.573.745,44	27.278.262,65
P.II. CURRENT LIABILITIES	-167.640,89	-63.157,73
P.II.4. Current Payables	-167.640,89	-63.157,73
P.II.5. Current Accrued Charges & Defrd Income	0,00	0,00
LIABILITIES	-167.640,89	-63.157,73
NET ASSETS (ASSETS less LIABILITIES)	47.406.104,55	27.215.104,92

P.III.2. Accumulated Surplus/Deficit	333.163.902,76	251.236.134,12
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Non-allocated central (surplus)/deficit*	-380.570.007,31	-278.451.239,04
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TOTAL DG ESTAT	0,00	0,00
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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 ESTAT

STATEMENT OF FINANCIAL PERFORMANCE	2019	2018
II.1 REVENUES	-4.340.722,52	-3.570.800,43
II.1.1. NON-EXCHANGE REVENUES	-4.862.584,6	-4.911.316,35
II.1.1.5. RECOVERY OF EXPENSES	-65.865,60	-570.196,35
II.1.1.6. OTHER NON-EXCHANGE REVENUES	-4.796.719,00	-4.341.120,00
II.1.2. EXCHANGE REVENUES	521.862,08	1.340.515,92
II.1.2.1. FINANCIAL INCOME		-546,00
II.1.2.2. OTHER EXCHANGE REVENUE	521.862,08	1.341.061,92
II.2. EXPENSES	70.833.219,02	85.498.569,07
II.2. EXPENSES	70.833.219,02	85.498.569,07
II.2.10. OTHER EXPENSES	18.373.802,38	17.243.678,69
II.2.2. EXP IMPLM BY COMMISS&EX.AGENC	56.980.472,89	72.325.662,34
II.2.4. EXP IMPL BY 3RD CNTR & INT ORG (IM		62.449,85
II.2.6. STAFF AND PENSION COSTS	-4.521.056,25	-4.136.387,50
II.2.8. FINANCE COSTS		3.165,69
STATEMENT OF FINANCIAL PERFORMANCE	66.492.496,50	81.927.768,64

Explanatory Notes (facultative):

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

TABLE 5bis : OFF BALANCE SHEET for DG ESTAT

OFF BALANCE	2019	2018
OB.1. Contingent Assets	4.942.119	5.737.384
GR for performance	230.285,00	230.285,00
GR for pre-financing	4.711.834,00	5.507.099,00
OB.2. Contingent Liabilities	0	0
OB.2.7. CL Legal cases OTHER	0,00	0,00
OB.4. Balancing Accounts	-4.942.119	-5.737.384
OB.4. Balancing Accounts	-4.942.119,00	-5.737.384,00
OFF BALANCE	0,00	0,00

Explanatory Notes (facultative):

Please enter the text directly (no copy/paste of formatted text which would then disappear when saving the document in pdf), use \\\"ctrl+enter\\\" to go to the next line and \\\"enter\\\" to validate your typing.

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 2019 for ESTAT

Legal Times							
Maximum Payment Time (Days)	Total Number of Payments	Nbr of Payments within Time Limit	Percentage	Average Payment Times (Days)	Nbr of Late Payments	Percentage	Average Payment Times (Days)
30	1228	1227	99,92 %	14,15	1	0,08 %	90
60	179	179	100,00 %	27,04			
90	319	317	99,37 %	37,94	2	0,63 %	126

Total Number of Payments	1726	1723	99,83 %		3	0,17 %	
Average Net Payment Time	20,03			19,87			114
Average Gross Payment Time	21,9			21,74			114

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	18	178	10,31 %	1726	15.593.876,94	17,03 %	91.562.052,02

DG	GL Account	Description	Amount (Eur)

TABLE 7 : SITUATION ON REVENUE AND INCOME in 2019 for DG ESTAT

Chapter		Revenue and income recognized			Revenue and income cashed from			Outstanding balance
		Current year RO	Carried over RO	Total	Current Year RO	Carried over RO	Total	
		1	2	3=1+2	4	5	6=4+5	
50	PROCEEDS FROM THE SALE OF MOVABLE AND IMMOVABLE PROPERTY	835,49	0,00	835,49	835,49	0,00	835,49	0,00
57	OTHER CONTRIBUTIONS AND REFUNDS IN CONNECTION WITH THE ADMINISTRATIVE OPERATION OF THE INSTITUTION	0,00	7.038,82	7.038,82	0,00	7.038,82	7.038,82	0,00
60	CONTRIBUTIONS TO UNION PROGRAMMES	4.796.719,00	0,00	4.796.719,00	4.796.719,00	0,00	4.796.719,00	0,00
66	OTHER CONTRIBUTIONS AND REFUNDS	65.865,60	0,00	65.865,60	65.212,58	0,00	65.212,58	653,02
Total DG ESTAT		4.863.420,09	7.038,82	4.870.458,91	4.862.767,07	7.038,82	4.869.805,89	653,02

TABLE 8 : RECOVERY OF PAYMENTS in 2019 for DG ESTAT

INCOME BUDGET RECOVERY ORDERS ISSUED IN 2019 Year of Origin (commitment)	Irregularity		Total undue payments recovered		Total transactions in recovery context (incl. non-qualified)		% Qualified/Total RC	
	Nbr	RO Amount	Nbr	RO Amount	Nbr	RO Amount	Nbr	RO Amount
2011	1	2.251,33	1	2.251,33	1	2.251,33	100,00%	100,00%
2012	8	7.908,84	8	7.908,84	8	7.908,84	100,00%	100,00%
2013	6	1.107,21	6	1.107,21	6	1.107,21	100,00%	100,00%
2014	12	15.376,59	12	15.376,59	12	15.376,59	100,00%	100,00%
2015	5	39.201,99	5	39.201,99	5	39.201,99	100,00%	100,00%
2016	2	19,64	2	19,64	2	19,64	100,00%	100,00%
Sub-Total	34	65.865,6	34	65.865,6	34	65.865,6	100,00%	100,00%

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	27	849.072,54			27	849.072,54	28	849.347,19	96,43%	99,97%
CREDIT NOTES	17	262.274,05			17	262.274,05	72	1.805.523,16	23,61%	14,53%
Sub-Total	44	1.111.346,59			44	1.111.346,59	100	2.654.870,35	44,00%	41,86%

GRAND TOTAL	78	1.177.212,19			78	1.177.212,19	134	2.720.735,95	58,21%	43,27%
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TABLE 9: AGEING BALANCE OF RECOVERY ORDERS AT 31/12/2019 for DG ESTAT

	Number at 1/01/2019	Number at 31/12/2019	Evolution	Open Amount (Eur) at 1/01/2019	Open Amount (Eur) at 31/12/2019	Evolution
2018	2		-100,00 %	7.038,82		-100,00 %
2019		1			653,02	
	2	1	-50,00 %	7.038,82	653,02	-90,72 %

TABLE 10 :Recovery Order Waivers >= 60 000 € in 2019 for DG ESTAT

	Waiver Central Key	Linked RO Central Key	RO Accepted Amount (Eur)	LE Account Group	Commission Decision	Comments
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Total DG ESTAT	
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Number of RO waivers	
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Justifications:

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TABLE 11 :Negociated Procedures in 2019 for DG ESTAT**Internal Procedures > € 60,000**

Negotiated Procedure Legal base	Number of Procedures	Amount (€)
Art. 134.1(e) (Without prior publication) Additional services and works which, through unforeseen circumstances, have become necessary	1	10.284.228,00
Total	1	10.284.228,00

TABLE 12 : Summary of Procedures in 2019 for DG ESTAT**Internal Procedures > € 60,000**

Procedure Legal base	Number of Procedures	Amount (€)
Exceptional Negotiated Procedure without publication of a contract notice (Art. 134 RAP)	1	10.284.228,00
Negotiated procedure middle value contract (Annex 1 - 14.2)	3	301.861,80
Open procedure (FR 164 (1)(a))	14	15.295.180,07
Total	18	25.881.269,87

Additional Comments:

TABLE 13 : BUILDING CONTRACTS in 2019 for DG ESTAT

Legal Base	Procedure subject	LC/FW?	Contract/ FW Number	Contractor Name	Contract/FW Subject	Amount (€)

TABLE 14 : CONTRACTS DECLARED SECRET in 2019 for DG ESTAT

Legal Base	Procedure subject	LC/FW?	LC Contract/Grant type or FW type	LC Date	Contract/FW Number	Contractor Name	Contract/FW Subject	Amount (€)

TABLE 15 : FPA duration exceeds 4 years - DG ESTAT

None of your FPA (if any) exceeds 4 years

ANNEX 4: Materiality criteria

As from 2019², 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.

In order to identify material weaknesses that need to be disclosed on the declaration of the AOD, Eurostat has taken into account the following quantitative and qualitative criteria, assessing whether the weakness is significant and should lead to the reporting of a reservation.

Quantitative criteria for defining significant weaknesses:

The Commission Communication (COM (2003) 28 final) from 21 January 2003 provides in its annex guidelines covering inter alia the concept of materiality. These guidelines propose an indicative materiality threshold of 2%:

"the quantitative materiality threshold is 2%, i.e. when the amount of the transaction (in the broad sense) affected by the deficiency represents more than 2% of the budget allocated to the ABB activity of the service concerned." According to the guidelines, DGs may deviate from the threshold of 2% if they deem that the nature of the risks and controls, based on the DG's assessment of the risk and control environment in which the DG operates, makes the standard threshold inappropriate.

Eurostat considers a weakness as material if the value of the error affected by the deficiency represents more than 2% of the payment(s) authorised.

Qualitative criteria for defining significant weaknesses:

In assessing materiality, Eurostat takes into account of a number of qualitative criteria:

1. Significant control system weaknesses

Besides the verification of the legality and regularity of the underlying transactions, controls are also implemented to detect major system weaknesses for which the financial impact as such is not easy to calculate but which indicate weaknesses as to the design and the effectiveness of the control systems. In order to assess the qualitative aspect of control system weaknesses, the following aspects are taken into account:

- Nature and scope of the weaknesses;
- Duration of the weaknesses;
- Compensatory measures;
- Corrective actions.

Eurostat regularly carries out assessments of the implementation of the internal control principles in order to detect weaknesses in its internal control framework. In addition, Eurostat performs ex ante and ex post controls on its financial transactions. Ex post controls on grant agreements are tailored to identify errors within the cost claims

² Agreement of the Corporate Management Board of 30/4/2019.

transmitted by Eurostat beneficiaries and shall classify them into isolated cases or systemic or repetitive weaknesses. Those controls can also identify weaknesses in the internal control system of beneficiaries and propose corrective actions. The duration and corrective actions are taken into account. As regards procurements, the control objective is to ensure that transactions are in conformity with applicable rules and regulations.

2. Insufficient audit coverage and/or inadequate information from internal control systems

Besides the audits and controls performed by the IAS and the ECA, Eurostat implemented a control framework that shall support management's assurance on the achievement of the financial management and internal control objectives. This framework is supported by a multi-annual control strategy. It shall prevent errors and produce reliable indicators of its results. The strategy provides a well-balanced approach between ex ante and ex post controls, assuring a sufficient number of controls in order to identify material weaknesses that could affect the declaration of assurance.

The achievement of this objective is supported by the fact that Eurostat concludes grant agreements with a relatively small number of beneficiaries, yet performing an adequate number of expenditure verifications on-the spot. On the other hand, Eurostat does not only rely on information gained by the performance of ex ante and ex post controls, but on a comprehensive set of control activities as well as information received by external sources.

3. Critical issues reported by the ECA, the IAS or OLAF

Any critical recommendation made by the ECA, the IAS or OLAF could lead to a reservation. Recommendations are generally assessed according their significance. If deemed necessary, mitigating actions are developed and translated into action plans. The implementation of those mitigating actions is constantly monitored and followed-up.

4. Assessment of reputational events

Events or weaknesses that may have reputational impact may lead to a reservation. Their significance is judged against the nature of the impact, the breadth of awareness and the duration of impact on reputation. For Eurostat, those risks are in particular linked with reliability and trustworthiness of data and statistics, safeguarding and protection of sensitive information and statistical data. Eurostat monitors all those aspects that could negatively impact its reputation. A set of mitigating actions and controls were set up in order to identify weaknesses to be disclosed on the declaration of the AOD.

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

GRANTS – Direct management

Stage 1: Ex ante

A - Programming, evaluation and selection of proposals

A1) Preparation, adoption and publication of the Annual Work Programme and Calls for proposals

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

Main risks It may happen (again) that...	Mitigating controls	Coverage, frequency and depth of controls	Cost-Effectiveness indicators (three E's)
<ul style="list-style-type: none"> The annual work programme and the subsequent invitations to submit proposals do not adequately reflect the policy objectives, priorities, are incoherent and/or the essential eligibility, selection and award criteria are not adequate to ensure the evaluation of the proposals. 	<ul style="list-style-type: none"> Hierarchical validation within the authorising department. Inter-service consultation, including all relevant DGs. Adoption by the Commission. Explicit allocation of responsibility to individual officials reflecting the programming circuits. Checklist based verification for invitations to submit proposals. Implementation of anti-fraud strategy. 	<p>Coverage:</p> <ul style="list-style-type: none"> 100% projects included in AWP. 100% of invitations to submit proposals. <p>Depth:</p> <ul style="list-style-type: none"> In-depth analyses of the projects, including financial aspects. Checklist (proposals) includes a list of the requirements of the regulatory provisions identified. 	<p>Effectiveness:</p> <ul style="list-style-type: none"> Number of control failures; number of exceptions in EUR Number of invitations for proposals successfully concluded/number of invitations for proposals planned in the MP/WP in % Total number of awards/total call for proposals in % <p>Efficiency and economy:</p> <ul style="list-style-type: none"> Cost of control (all stages in total) in EUR Cost of control / value of payments executed during the year in %

A2) Selecting and awarding: Evaluation, ranking and selection of proposals

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

Main risks It may happen (again) that...	Mitigating controls	Coverage, frequency and depth of controls	Cost-Effectiveness indicators (three E's)
<ul style="list-style-type: none"> The evaluation of proposals is not carried out in accordance with the established procedures, the policy objectives, priorities and/or the essential eligibility, or with the selection and award criteria defined in the annual work programme. 	<ul style="list-style-type: none"> Assignment of Evaluation Committees including, when necessary, members from sub-delegating DGs. Assessment by the Evaluation Committee. Hierarchical validation according to financial circuits. Checklists based verification (evaluation and award) ensuring compliance with the regulatory framework. Implementation of anti-fraud strategy. 	<ul style="list-style-type: none"> 100% of proposals were evaluated. The received applications were analysed from a technical point of view and from a budgetary point of view. Coverage: 100% of ranked list of proposals. Supervision of work of evaluators. 100% in-depth evaluation of technical and budgetary aspects. 	<p>Effectiveness:</p> <ul style="list-style-type: none"> Number of control failures: number of exceptions <p>Efficiency and economy:</p> <ul style="list-style-type: none"> Cost of control (all stages in total) in EUR • Cost of control / value of payments executed during the reporting year (in %) Average time to inform applicants in days (in compliance with Art. 194 FR)

B - Contracting: Transformation of selected proposals into legally binding grant agreements

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

Main risks It may happen (again) that...	Mitigating controls	Coverage, frequency and depth of controls	Cost-Effectiveness indicators (three E's)
<ul style="list-style-type: none"> The description of the action in the grant agreement includes tasks that do not contribute to the achievement of the programme objectives. The budget foreseen overestimates the costs necessary to carry out the action. Procedures do not comply with regulatory framework. 	<ul style="list-style-type: none"> Hierarchical validation according to financial circuits. Signature of the grant agreement by the AO. Checklists based verification (operational and financial) ensuring compliance with the regulatory framework. Regular accounting controls are carried out, including controls and reporting on budget implementation. Implementation of anti-fraud strategy 	<ul style="list-style-type: none"> 100% of the selected proposals are scrutinised. Coverage: 100% of draft grant agreements. 	<p>Effectiveness:</p> <ul style="list-style-type: none"> Number of exceptions/non-compliance issues <p>Efficiency and economy:</p> <ul style="list-style-type: none"> Cost of control (all stages in total) in EUR Cost of control / value of payments executed during the reporting year in % Average time-to-Grant (average time to sign grant agreements) in days (in compliance with Art. 194 FR)

C - Monitoring the execution: This stage covers the monitoring the operational, financial and reporting aspects related to the project and grant agreement

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

Main risks It may happen (again) that...	Mitigating controls	Coverage, frequency and depth of controls	Cost-Effectiveness indicators (three E's)
<ul style="list-style-type: none"> The actions foreseen are not (or only partially) carried out in accordance with the technical description and the requirements foreseen in the grant agreement. The declared costs are not coherent with the amount of activities performed. 	<ul style="list-style-type: none"> Operational and financial checks, based on checklists, in accordance with the financial circuits ensuring compliance with the regulatory framework. Authorisation by the AO. Use of standard excel template for contribution calculations. Regular follow-up of payment delays. Regular accounting controls are carried out. Implementation of anti-fraud strategy. 	<ul style="list-style-type: none"> 100% of the projects are verified. 100% coverage by ex ante control of each payment request. 	<p>Effectiveness:</p> <ul style="list-style-type: none"> Number of projects with cost claim errors out of number of grants (in %) Number of exceptions/non-compliance issues Amount of cost items rejected in EUR and in % related to total payments executed <p>Efficiency and economy:</p> <ul style="list-style-type: none"> Cost of control (all stages in total) in EUR Cost of control / value of payments executed during the reporting year in % Average time to pay in absolute number of days Time-to-pay within deadline related to value of payments in % Time-to-pay within deadline related to number of payments in %

Stage 2: Ex post controls

Main control objectives: Measuring the effectiveness of ex ante controls by ex post controls; detect and correct errors or fraud remaining undetected after the implementation of ex ante controls (legality & regularity; anti-fraud strategy); addressing systemic weaknesses in the ex ante controls, based on the analysis of findings (sound financial management); ensuring appropriate implementation of audit results (legality & regularity, anti-fraud strategy); ensuring reliable reporting on ex post controls.

Main risks <i>It may happen (again) that...</i>	Mitigating controls	Coverage, frequency and depth of controls	Cost-Effectiveness indicators (three E`s)
<ul style="list-style-type: none"> Ex ante controls fail to prevent, detect and correct erroneous payments or attempted fraud. 	<ul style="list-style-type: none"> Multi-annual control strategy: Carry out audits or desk-reviews of a sample of operations to determine effectiveness of ex ante controls (+ consider ex post findings for improving the ex ante controls). Integration of fraud-related elements in the risk assessment and in the ex post control work programme. Validate audit results with beneficiary If needed: referring the beneficiary or grant to OLAF. 	<ul style="list-style-type: none"> Random-based sample of beneficiaries to be controlled on an ex post basis. All beneficiaries of Eurostat can be subject of ex post controls. Control of 4 – 6 beneficiaries per year. Detailed verification of cost claims transmitted to Eurostat. 	<p>Effectiveness:</p> <ul style="list-style-type: none"> Detected error rate in % Residual error rate in % Amount of errors concerned in EUR Number of fraud-related audit observations <p>Economy:</p> <ul style="list-style-type: none"> Cost of ex post controls in EUR
<ul style="list-style-type: none"> Ex post controls do not consider any internal errors made by staff embedded in the own organisation. 	<ul style="list-style-type: none"> Simplification based on Art. 5 of Regulation EC 223/2009 of 11.03.2009. Training dedicated to staff embedded in grants process. Yearly risk-analysis. Supervision of the verification process by a team leader. 	<p>Coverage:</p> <ul style="list-style-type: none"> Beneficiaries of Article 5 from Regulation 223/2009 except for one procedure. <p>Depth:</p> <ul style="list-style-type: none"> Main actors of the grant process. 	<p>Efficiency:</p> <ul style="list-style-type: none"> Time-To-Recover <p>Economy:</p> <ul style="list-style-type: none"> Cost of control / value of grants audited (in %)
<ul style="list-style-type: none"> Errors, irregularities and cases of fraud detected are not (timely) implemented. 	<ul style="list-style-type: none"> Systematic registration of audit / control results to be implemented. Quarterly management reports on results of ex post controls. 	<ul style="list-style-type: none"> Coverage: 100% of final audit results <i>with a financial impact</i>. Extension of the findings of systemic errors into corrections of non-audited projects by the same beneficiary. 	<p>Effectiveness:</p> <ul style="list-style-type: none"> Number/value of audit results failed implementation

PROCUREMENTS (including BA budget) - Direct management

Stage 1 – Procurement

A - Planning

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

Main risks It may happen (again) that...	Mitigating controls	Coverage, frequency and depth of controls	Cost-Effectiveness indicators (three E's)
<ul style="list-style-type: none"> The needs are not well defined (operationally and economically) and/or the decision to procure was inappropriate. Discontinuation of the services provided due to a late contracting. 	<ul style="list-style-type: none"> Publication of intended procurements / Work programme. 	Coverage: 100% Depth*: Level 2	Effectiveness: <ul style="list-style-type: none"> Cost of control (all stages in total) in EUR Cost of control / value of payments executed during the year in % Exceptions & non-compliance issues Efficiency and economy: Costs: <ul style="list-style-type: none"> FTE linked to operational unit + central unit in EUR Benefits <ul style="list-style-type: none"> Qualitative: No litigation, compliance
	<ul style="list-style-type: none"> Approval (and follow-up) of Work Program and Financing Decision by DM. 	Coverage: 100% Depth*: Level 2	

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

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

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

Stage 2 – Ex ante – Programming, needs assessment & definition of needs

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

Main risks It may happen (again) that...	Mitigating controls	Coverage, frequency and depth of controls	Cost-Effectiveness indicators (three E's)
<ul style="list-style-type: none"> The best offer/s are not submitted due to the poor definition of the tender specifications. Discontinuation of the services provided due to a late contracting 	<ul style="list-style-type: none"> Financial circuit: AOS approval and supervision of specifications. 	Coverage: 100% Depth*: Level 3	Effectiveness: <ul style="list-style-type: none"> Cost of control (all stages in total) in EUR Cost of control / value of payments executed during the year in % Exceptions & non-compliance issues Efficiency and economy: <ul style="list-style-type: none"> Costs: FTE linked to operational unit + central unit in EUR Benefits (qualitative): No litigation, compliance
	<ul style="list-style-type: none"> Financial circuit: All steps financial and operational specifications. 	Coverage: 100% Depth*: Level 4	

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

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

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

Stage 3 – Ex ante – Selection of the offer & evaluation of tenders

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

Main risks It may happen (again) that...	Mitigating controls	Coverage, frequency and depth of controls	Cost-Effectiveness indicators (three E's)
<ul style="list-style-type: none"> The most promising offer not being selected, due to a biased, inaccurate or 'unfair' evaluation process. 	<ul style="list-style-type: none"> Opening Committee and Evaluation Committee. 	Coverage: 100% Depth*: Level 4	Effectiveness: <ul style="list-style-type: none"> Cost of control (all stages in total) in EUR Cost of control / value of payments executed during the year in % Exceptions & non-compliance issues Efficiency and economy: <ul style="list-style-type: none"> Costs: FTE linked to operational unit + central unit in EUR Benefits (qualitative): No litigation, compliance
	<ul style="list-style-type: none"> Financial circuit: All steps financial and operational Evaluation report 	Coverage: 100% Depth*: Level 4	
	<ul style="list-style-type: none"> Advisory "Market Committee" (in place as of March 2014) 	Coverage: Risk based Depth*: Level 4	
	<ul style="list-style-type: none"> Declaration of conflict of interests to be signed. 	Coverage: 100% Depth*: 4	
	<ul style="list-style-type: none"> Exclusion criteria documented. 	Coverage: 100% Depth*: 4	
	<ul style="list-style-type: none"> Standstill period. 	Coverage: 100% Depth*: N/A	

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

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

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

Stage 4 – Supervisory measures

Main control objectives: Ensuring that any weaknesses in the procurement procedures are detected and corrected

Main risks <i>It may happen (again) that...</i>	Mitigating controls	Coverage, frequency and depth of controls	Cost-Effectiveness indicators (three E`s)
<ul style="list-style-type: none"> An error or a non-compliance with rules and regulations or fraud is not detected. 	<ul style="list-style-type: none"> Ex post quality reviews on selection and award procedure. Annual control programme based on yearly risk analysis. Integration of fraud-related elements in risk assessment. 	<ul style="list-style-type: none"> Risk based selection of procurement procedures, frequency on demand Coverage: Whole process 	<p>Effectiveness:</p> <ul style="list-style-type: none"> Number of exceptions, non-compliance issues <p>Economy:</p> <ul style="list-style-type: none"> Cost of control in EUR
<ul style="list-style-type: none"> Management of procurement is not improved in general. 	<ul style="list-style-type: none"> Review of results of ex post quality review. Review of exception reporting. Update Process Improvement Methodology (PIM) for procurement. 	<ul style="list-style-type: none"> Coverage: Whole process 	

IT SECURITY AND DATA INTEGRITY

Stage 1(ex ante): IT Security Policy

Main control objective: Define and disseminate Eurostat information security policy

Main risks <i>It may happen (again) that...</i>	Mitigating controls	Coverage, frequency and depth of controls	Cost-Effectiveness indicators (three E`s)
<ul style="list-style-type: none"> ▪ Eurostat staff is not aware of the IT security Policy. ▪ IT security is not considered in day-to-day operations. ▪ Design weaknesses in the development of Information processes. 	<ul style="list-style-type: none"> ▪ Review and validate by DM the Eurostat IT security policy annually. ▪ Train Eurostat staff on security policies. ▪ Ensure that IT security plans are provided for all new IT processes. 	<p>Coverage: 100%</p> <p>Frequency: Yearly</p>	<p>Effectiveness:</p> <ul style="list-style-type: none"> ▪ Number of training sessions for newcomers ▪ Number of training sessions for staff ▪ Number of security plans provided <p>Benefit: Awareness of IT security. Clear procedures and responsibilities regarding IT security</p> <p>Efficiency & Economy:</p> <ul style="list-style-type: none"> ▪ Estimation of time required for IT policy revision in FTE ▪ Estimation of time required for Training in FTE

Stage 2(ex ante): Protection of IT infrastructure and data integrity

Main control objective: Implement the controls as defined in the IT security policy

Main risks <i>It may happen (again) that...</i>	Mitigating controls	Coverage, frequency and depth of controls	Cost-Effectiveness indicators (three E`s)
<ul style="list-style-type: none"> ▪ There is no inventory of assets and their security levels. ▪ IT infrastructure is not available in case of major disaster. ▪ Information is not available for statistical production. ▪ Information is accessed and modified by non-authorized users. 	<ul style="list-style-type: none"> ▪ The CMDB in DIGIT (Configuration Management Database) is updated with classification information. ▪ IT Continuity Plan is updated and tested. ▪ Through the SLA with DIGIT, receive regular KPIs on the health of the systems hosted in DIGIT. ▪ Access control policy based on authorisation provided by DCROs (Data Collection Responsible Officers). 	<p>Coverage: 100%</p> <p>Frequency: Yearly</p>	<p>Effectiveness:</p> <ul style="list-style-type: none"> ▪ Number of assets classified in the CMDB ▪ Number of incidents regarding data integrity <p>Benefit: Operational IT infrastructure in support to statistical production with accesses to data on a "need to know" basis</p> <p>Efficiency & Economy:</p> <ul style="list-style-type: none"> ▪ Estimation of the access control management in FTE ▪ Cost of operation and security monitoring of the infrastructure in DIGIT

Stage 3(ex post): Access to IT infrastructure and data

Main control objective: Monitor the access to IT infrastructure

Main risks <i>It may happen (again) that...</i>	Mitigating controls	Coverage, frequency and depth of controls	Cost-Effectiveness indicators (three E`s)
<ul style="list-style-type: none"> ▪ Illegal access to information. ▪ Statistical information cannot be disseminated through the Eurostat website. ▪ Statistical information is corrupted during transfer from Member States. ▪ Wrong information or sensitive information is published. 	<ul style="list-style-type: none"> ▪ Follow-up of access rights, functional user rights and local administrator rights. ▪ Real-time monitoring of Eurostat website. ▪ Use of encryption for transfer of sensitive information in EDAMIS. ▪ Incident reporting mechanism for errors on the Website. ▪ In-depth analysis and monitoring of access controls and IT assets (servers, applications) logs implemented 	<p>Coverage: all accesses to IT assets, all Eurostat data collections</p> <p>Frequency: Daily, monthly for the analysis of logs</p>	<p>Effectiveness:</p> <ul style="list-style-type: none"> ▪ Number of sensitive data collections encrypted during transport ▪ Number of incidents reported for the website ▪ Monthly reports of incidents in Eurostat environment <p>Benefit: Protection of Eurostat environment. Ensure continuous publication of statistical information towards users</p> <p>Efficiency & Economy:</p> <ul style="list-style-type: none"> ▪ Monitoring website Software and estimation of the support provided in FTE ▪ Estimation of staff involved in monitoring <p>Cost of SPLUNK/ArcSight monitoring by DIGIT access rights in FTE</p>

SAFEGUARDING OF SENSITIVE INFORMATION

Stage 1(ex ante): Management of sensitive information in Eurostat

Main control objectives: Identification and definition of sensitive information in Eurostat

Main risks <i>It may happen (again) that...</i>	Mitigating controls	Coverage, frequency and depth of controls	Cost-Effectiveness indicators (three E`s)
<ul style="list-style-type: none"> Sensitive information is not correctly understood/identified 	<ul style="list-style-type: none"> Definition of sensitive information in Eurostat. Yearly inventory of sensitive information as declared by Eurostat units (1st inventory launched 2015). Definition of protection measures to be applied for sensitive information. Periodic information to Staff. 	<p>Coverage: 100%</p> <p>Frequency: Yearly</p>	<p>Effectiveness:</p> <ul style="list-style-type: none"> Number of units reporting use of sensitive and classified information Number of modifications from former inventory <p>Benefit: Better knowledge of the location and use of sensitive information. Better understanding of the concept and management of sensitive information by staff.</p> <p>Efficiency & Economy:</p> <ul style="list-style-type: none"> Estimation of staff involved in inventory of all information managed by Eurostat units and its classification (in FTE)

Stage 2(ex ante): Protection of sensitive information in Eurostat

Main control objectives: Define roles and responsibilities and protection measures for sensitive information

Main risks <i>It may happen (again) that...</i>	Mitigating controls	Coverage, frequency and depth of controls	Cost-Effectiveness indicators (three E`s)
<ul style="list-style-type: none"> Sensitive information is not correctly managed by Eurostat staff. 	<ul style="list-style-type: none"> Association of a DCRO (Data Collection Responsible Person) for each of the identified sensitive information collection. The DCRO is responsible for the protection of the collection and for giving access to it on a "Need to Know" basis. Signature of a declaration of confidentiality by all Eurostat staff. 	<p>Coverage: 100%</p> <p>Frequency: Yearly with periodic updates if needed</p>	<p>Effectiveness:</p> <ul style="list-style-type: none"> Number of DCROs and sensitive information collections All Staff signing declarations (0 discrepancy between staff list and declaration list) Number of training sessions on security and sensitive information <p>Benefit: Clearer responsibilities of units and staff regarding sensitive information management</p> <p>Efficiency & Economy:</p> <ul style="list-style-type: none"> Specific staff (DCRO) has additional duties (in FTE)

Stage 3(ex ante): Access to sensitive information

Main control objectives: Monitoring and control of access to sensitive information

Main risks <i>It may happen (again) that...</i>	Mitigating controls	Coverage, frequency and depth of controls	Cost-Effectiveness indicators (three E`s)
<ul style="list-style-type: none"> ▪ All Eurostat staff can have access to all sensitive information. 	<ul style="list-style-type: none"> ▪ LISO is allowing access to sensitive information to staff identified by DCRO on a "Need to Know" Basis. ▪ Sensitive information is protected either by encryption or by being stored in Eurostat secured environment. ▪ Use of SECEM for transmission of sensitive information is mandatory. ▪ Use of encrypted S drive for storing sensitive information by units. 	<p>Coverage: 100% of sensitive information is protected</p> <p>Frequency: Daily authorisation</p>	<p>Effectiveness:</p> <ul style="list-style-type: none"> ▪ Number of access rights processed and recorded ▪ Number of folders/units stored on the S drive ▪ Number of SECEM installations <p>Benefit: Access to sensitive collections is controlled and sensitive information is encrypted</p> <p>Efficiency & Economy:</p> <ul style="list-style-type: none"> ▪ Management of access by LISO, management of policies for S drive encryption by LISO, administrative procedure launched by DCRO for providing access to individual staff. (in FTE) <p>Lancrypt SW licences and management costs</p>

Stage 4(ex post): Monitoring of accesses to sensitive information

Main control objectives: monitoring of accesses to sensitive information

Main risks <i>It may happen (again) that...</i>	Mitigating controls	Coverage, frequency and depth of controls	Cost-Effectiveness indicators (three E`s)
<ul style="list-style-type: none"> • Breach of sensitive information 	<ul style="list-style-type: none"> • Periodic monitoring all accesses on identified information. • Periodic revision of the database with access rights and association to Eurostat staff mobility. 	<p>Coverage: All identified sensitive information</p> <p>Frequency: Monthly for the reports provided by DIGIT</p>	<p>Effectiveness:</p> <ul style="list-style-type: none"> • Number of alerts provided in monthly reporting • Number of revisions of the access rights database • Number of incidents related to breach of confidentiality • Number of encrypted files <p>Benefit: periodic monitoring of accesses</p> <p>Efficiency & Economy:</p> <ul style="list-style-type: none"> • monitoring and reporting by DIGIT (in EUR)

GNI

The controls performed by Eurostat regarding the GNI are disclosed by the AOD responsible for the related Revenue in the AAR prepared by DG BUDG.

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

Not applicable

ANNEX 7: EAMR of the Union Delegations (if applicable)

Not applicable

ANNEX 8: Decentralised agencies and/or EU Trust Funds (if applicable)

Not applicable

ANNEX 9: Evaluations and other studies finalised or cancelled during the year ³

Study project ID	Title of the study	Study reason	Study overview	Study internal ID	Associated services	Study cost	Note	Title of the deliverable
6950	Streamlining and simplification of Fisheries Statistics	Evaluation	Fisheries statistics	ESTAT-EV2017-02-L		€ 296660		Streamlining and simplification of Fisheries Statistics SWD(2019) 425 Final
6975	Report to EP and Council on statistics compiled pursuant Regulation (EC) No 1921/2006 (Landings of fishery statistics) (2018)	General study	Landings of fishery (2018)	ESTAT-ST2018-07-L		€0		Report to EP and Council on statistics compiled pursuant Regulation (EC) No 1921/2006 (Landings of fishery statistics) COM(2019) 47
6979	Report to EP and Council on implementation of Regulation (EC) No 453/2008 (Job vacancies) (2019)	General study	Job vacancies (2019)	ESTAT-ST2019-02-L		€0		Report to EP and Council on implementation of Regulation (EC) No 453/2008 (Job vacancies) COM(2019) 368
6980	Report to EP and Council on implementation of Regulation (EC) No 450/2003 (Labour cost index) (2019)	General study	Labour cost index (2019)	ESTAT-ST2019-03-L		€0		Report to EP and Council on implementation of Regulation (EC) No 450/2003 (Labour cost index) COM(2019) 113
6981	Report to EP and Council on the quality of the fiscal data reported by Member State for Council regulation 479/2009 (EDP) (2019)	General study	EDP (2019)	ESTAT-ST2019-04-L		€0		Report to EP and Council on the quality of the fiscal data reported by Member State for Council regulation 479/2009 (EDP) COM(2019) 155
7308	European Public Sector Accounting Standards (EPSAS) study	General study	EPSAS 2017	ESTAT-ST2017-05-CWP		€ 285000		European Public Sector Accounting Standards (EPSAS) study

³ All studies were organised by Eurostat and no other service/institution was associated.

8926	Commission staff working document on the findings of the pilot studies relating to annual FDI statistics based on the ultimate ownership concept and FDI statistics distinguishing greenfield FDI transactions from takeovers (Regulation (EU) 2016/1013)	General study	Commission staff working document on the findings of the pilot studies relating to annual FDI statistics based on the ultimate ownership concept and FDI statistics distinguishing greenfield FDI transactions from takeovers (Regulation (EU) 2016/1013)	ESTAT-ST2016-99-L		€0		Commission staff working document on the findings of the pilot studies relating to annual FDI statistics based on the ultimate ownership concept and FDI statistics distinguishing greenfield FDI transactions from takeovers (Regulation (EU) 2016/1013) SWD(2019) 408 Final
6978	"Report to EP and Council pursuant Regulation (EU) No 691/2011 on European environmental economic accounts"	General study	Environmental economic accounts	ESTAT-ST2019-01-L		€0		Rapport de la commission au parlement européen et au conseil sur la mise en œuvre du règlement (UE) n° 691/2011 du Parlement européen et du Conseil relatif aux comptes économiques européens de l'environnement COM(2020)56
6982	Report to EP and Council on the statistics compiled pursuant Regulation (EC) No 2150/2002 (Waste)	General study	Waste	ESTAT-ST2019-05-L		€0		Report from the Commission to the European Parliament and the Council on statistics compiled pursuant to Regulation (EC) No 2150/2002 on waste statistics and their quality COM(2020) 54

ANNEX 10: Specific annexes related to "Financial Management"

Indicators on the verification of GNI data

Countries: EU28+EFTA4

	Indicators	2018	2019
Multiannual verification cycle			
Input			
1	Inventories received, including revised versions	16	16
2	Inventories to be checked	31	31
3	Amount of inventory pages to be checked	19199	18310
4	Number of inventories translated by the Commission, including revised versions	0	0
Output			
5	Number of questions or requests for additional data sent to the Member States concerning multiannual verification (including in preparation of the mission)	2905	3081
6	Missions carried out	12	11
7	Missions carried out with participation of observers from other Member States	11	8
8	Number of person-mission days carried out	119	99
	a) Eurostat	87	72
	b) Observers from Member States	32	27
9	Direct verifications	20	13
10	Mission reports presented to the GNI Committee	15	15
11	Open action points at the end of year	754	307
12	Number of action points and/or reservations on which verification work was carried out during the year	354	575
13	Number of documents presented to the GNI Committee relating to the GNI verification process and methodological issues	71	54
Results			
14	Number of general reservation points – end of year	1	1
15	Number of transversal reservation points – end of year	0	7
16	Number of specific reservation points – end of year	8*	29*
Annual verification of GNI Questionnaires and Quality Reports			
Input			
17	GNI Questionnaires and Quality Reports received (first submissions)	31	31
18	Number of revised GNI Questionnaires received in the course of verification (subsequent submissions)	9	10
19	Number of revised Quality Reports received in the course of verification (subsequent submissions)	29	39
20	Total amount of Quality Reports pages to be checked (original and subsequent submissions altogether)	997	2572
21	Number of Quality Reports translated by the Commission, including revised versions	0	0
Output			
22	Number of questions sent to the Member States in the course of verification of the GNI Questionnaires and Quality Reports	170	452
23	Total number of GNI Questionnaires verified (original and subsequent submissions altogether)	41	42
24	Total number of Quality Reports verified (original and subsequent submissions altogether)	60	70
25	Answers to DG Budget requests for the GNI OR data	2	3
26	Visits from Court of Auditors	2	1
Results			
27	Number of process-specific reservations – end of year	137	169
28	Number of Member States for which a positive opinion of the GNI Committee on the appropriateness of the GNI data for own resource purpose has been adopted	28	28
Impact (for both multiannual and annual verification)			
29	Number of countries that revised GNI due to their work on action points and/or reservations	9	21
30	Number of action points and/or reservations that lead to revisions of GNI	34	163

* including related to the previous verification cycle

Control results (section 2.1.1)

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

Title of the Relevant Control System (RCS)	Ex ante controls			Ex post controls			Total**	
	(a)	(b)	(c)	(d)	(e)	(f)	(g)	(h)
	EC total costs (in EUR)	funds managed (in EUR) ⁴	Ratio (%)* (a)/(b)	EC total costs (in EUR)	total value verified and/or audited (in EUR)	Ratio (%) (d)/(e)	EC total estimated cost of controls (in EUR) (a)+(d)	Ratio (%)* (g)/(b)
Grants	6 432 523.27	50 987 018.78	12.62	94 600.00	2 465 076,52	3.84	6 527 123.27	12.80%
Procurements	3 994 771.33	40 237 198.60	9.93	0.00	n.a.		3 994 771.33	9.93%
IT Security and data integrity	126 905.00	n.a.		100 635.00	n.a.		227 540.00	
Safeguarding of sensitive information	180 900.00	n.a.		92 090.00	n.a.		272 990.00	
OVERALL total estimated cost of control at EC level	10 735 099.60	91 224 217.38	11.77	287 325.00	n.a.		11 022 424.60	12.08

* 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.*

⁴ Funds managed = payments made, revenues and/or other significant non-spending items such as e.g. assets, liabilities, etc.

Audit observations and recommendations (section 2.1.2)

Situation of “very important” recommendations issued by IAS

"Audit on Eurostat’s quality management of statistical processes"

In its final audit report on “Eurostat’s quality management of statistical processes” IAS issued on 15/11/2019 one “very important” recommendation referring to ensuring the effective functioning of the quality review process to obtain re-assurance that the statistical production occurs in compliance with the applicable standards.

Eurostat developed an action plan to implement this recommendation, which was agreed to by IAS on 18/12/2019. The recommendation will be implemented by launching the quality review process based on a new methodology (done in July 2019), by documenting the procedure describing the internal checks to be performed in a quality review, by updating relevant handbooks, by the preparation of an analysis summarising lessons learnt during the quality reviews from 2016-2018, and by annually reporting to the Directors’ Meeting.

"Audit on effectiveness of ESTAT’s cooperation with external stakeholders"

In its final audit report on the “Effectiveness of DG ESTAT’s cooperation with external stakeholders” IAS issued on 18/01/2019 one “very important” recommendation referring to co-operation arrangements with Eurostat’s external stakeholders.

Eurostat developed an action plan for the implementation of this recommendation, which was agreed to by IAS on 06/02/2019. The implementation of the recommendation is on plan and foreseen to be finalised by 01/07/2021. Several actions have already been finalised, amongst them the revision of the internal guidance on administrative arrangements, a review of the agreements with external stakeholders, and the preparation of separate draft agreements with the OECD and UNESCO-UIS (general and specific agreement) on education and training statistics.

"Audit on the Production Process and the Quality of Statistics not Produced by Eurostat"

During the year 2019 Eurostat made substantial progress in the implementation of 3 “very important” recommendations issued by IAS in the “Audit report on the production process and the quality of statistics not produced by Eurostat”.

Already in 2018, in cooperation with other DGs, a clear and easy-to-use definition of statistics not produced by Eurostat has been elaborated. An 2019 inventory of statistics produced by Commission services was established and a reference quality framework for other statistics has been developed. Eurostat defined the purpose and format of the Masterplan of future statistical activities of the DGs. The Eurostat catalogue of statistical services went live at the end of 2019, evaluation of the demand and an assessment of adequacy of resources and demand of the provided service will follow in the next months. Furthermore, guidelines for referencing statistical data and use of disclaimers in Commission publications have been developed during 2019.

All 3 “very important” recommendations are considered by Eurostat to be “ready for review”.

Further audits performed by the European Court of Auditors during the year 2019 involving Eurostat

- Rapid case review “Reporting on sustainability: A stocktake of EU Institutions and Agencies” (published on 12 June 2019)
- Special Report 15/2019: “Implementation of the 2014 staff reform package at the
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Commission - Big savings but not without consequences for staff" (published on 24 September 2019)

- Special Report 18/2019: "EU greenhouse gas emissions: Well reported, but better insight needed into future reductions" (published on 20 November 2019)
- Special Report 23/2019: "Farmers' income stabilisation: Comprehensive set of tools, but low uptake of instruments and overcompensation need to be tackled" (published on 05 December 2019)
- Special Report 24/2019: "Asylum, relocation and return of migrants: Time to step up action to address disparities between objectives and results" (published on 13 November 2019)
- Financial audit on verification of EU liabilities (PSEO & JSIS)
- Special Report 05/2020: "Sustainable use of plant protection products: Limited progress in measuring and reducing risks" (published on 05 February 2020)
- Special Report on biodiversity on farmland
- Special Report on child poverty
- Performance audit on roads connectivity in the EU
- Special Report on transport flagships
- Special Report on sustainable urban mobility
- Review on plastic waste
- Review on the EU-Asia strategic agenda for cooperation
- Performance audit on migrant smuggling
- Follow up audit on SR 01/2016 "Is the Commission's system for performance measurement in relation to farmer's income well designed and based on sound data?"
- Follow up audit on SR 08/2016 " Rail freight transport in the EU still not on the right track"
- Follow up audit on SR 18/2016 " The EU system for the certification of sustainable biofuels"
- Follow up audit on SR 10/2016 "Further improvements needed to ensure effective implementation of the excessive deficit procedure"

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

Assessment of the internal control system (section 2.1.3)

Eurostat management assessed the effectiveness of the internal control system and its results following the methodology established by DG BUDG in the "Implementation Guide of the Internal Control Framework of the Commission".

In a three-step approach, Eurostat:

- 1) established the internal control monitoring indicators including baselines and target values for the reporting year;
- 2) established and updated the "Register of Internal Control Strengths and Deficiencies" throughout the year 2019. The following sources have been taken into account:
 - Results of the monitoring of the IC indicators;
 - Audit findings and recommendations (IAS audits, ECA audits, Accounting Officer's Reports on the validation of local financial management systems, OLAF reports);
 - Exceptions and non-compliance events;
 - Ongoing monitoring of the implementation of control and anti-fraud strategies;
 - Discharge recommendations;
 - Results of monitoring of implementation of mitigating and improvement actions related to audits, discharge recommendations, risks and implementation of anti-fraud strategy;
 - Results of the annual verification of access rights to ABAC;
 - Significant issues from the yearly dissemination error management report;
 - Significant issues disclosed in AOSD declarations at the end of the year 2019;
 - Weaknesses reported to the Director in charge of Risk management and Internal Control (DRMIC);
 - Management reports.
- 3) analysed the recorded entries and, where necessary, reassessed the severity, taking into account for example progress made in the implementation of action plans. The reassessed entries were the basis of the assessment of the principles, the components, and the internal control system as a whole.

ANNEX 12: Performance tables

General objective 11:

General objective: To help achieve the overall political objectives, the Commission will effectively and efficiently manage and safeguard assets and resources, and attract and develop the best talents		
Impact indicator: Trust in the European Commission		
Source of the data: Standard Eurobarometer on public opinion in the European Union		
Baseline (EB83 — Spring 2015)	Latest known values (EB92 — Autumn 2019)	Target (2020)
40% tend to trust	47% tend to trust	Increase
Impact indicator: Staff engagement index in the Commission		
Source of the data: European Commission		
Baseline (2014)	Latest known values (2018)	Target (2020)
65.3%	69%	Increase

Specific objective 1: Quality statistical information is provided in a timely manner, to support the development, monitoring and evaluation of the policies of the European Union properly reflecting priorities while keeping a balance between economic, social and environmental fields and serve the needs of the wide range of users of European statistics, including other decision-makers, researchers, businesses and European citizens in general, in a cost-effective manner without unnecessary duplication of effort.		Related to spending programme(s): European Statistical Programme.
Result indicator 1.1: Percentage of users that rate as "Very good" or "Good" the overall quality of European Statistics. It measures the users' perception of the achievement of the specific objective n. 1 "provide quality statistics".		
Source of data: user satisfaction survey carried out by Eurostat.		
Baseline 2012	Target 2020	Latest known results (2019)
62.9 %	Overall positive trend. The target has been set taking into account the fact that opinion surveys based on voluntary participation are typically biased (users that are satisfied may be less motivated to participate in the survey than those that have complaints). The yearly evolution of the results should be interpreted cautiously in particular taking into account the fact that the level of representativeness of the sample of respondents cannot be assessed and may vary from one year to the next.	61.7 %
Result indicator 1.2: Number of data extractions made by external users from Eurostat reference databases (EuroBase and Comext) via the Eurostat website.		
Source of data: Eurostat - More information can be found in the monthly Monitoring report on Eurostat electronic dissemination (available on demand).		
Baseline 2012	Target 2020	Latest known results (2019)
7.87 Mio	Positive (approximately linear) trend	18.34 Mio

Main outputs for specific objective 1

Important items from work programmes/financing decisions/operational programmes

Description	Indicator	Target date	Latest known results (situation on 31/12/2019)
Catalogue of statistical products	Produce and disseminate statistics	2019	98.9% achieved

Specific objective 2:

Specific objective 2: New methods of production of European statistics aiming at efficiency gains and quality improvements are implemented.

Related to spending programme(s): European Statistical Programme.

Result indicator 2: Percentage of users that rate as "Very good" or "Good" the timeliness of European Statistics for their purposes.

Source of data: user satisfaction survey carried out by Eurostat.

Baseline 2012	Target 2020	Latest known results (2017)
56.3 %	Overall positive trend. The target has been set taking into account the fact that opinion surveys based on voluntary participation are typically biased (users that are satisfied may be less motivated to participate in the survey than those that have complaints). The yearly evolution of the results should be interpreted cautiously in particular taking into account the fact that the level of representativeness of the sample of respondents cannot be assessed and may vary from one year to the next.	55.3%

Main output for specific objective 2

Important items from work programmes/financing decisions/operational programmes

Description	Indicator	Target date	Latest known results (situation on 31/12/2019)
ESS Vision 2020 portfolio of projects	Achievements as laid down in the Annual Work Programme 2019	2019	100% achieved

Specific objective 3:

Specific objective 3: The partnership within the European Statistical System and beyond is strengthened in order to further enhance its productivity and its leading role in official statistics worldwide.

Related to spending programme(s): European Statistical Programme.

Result indicator 3: Percentage of users that rate as "Very good" or "Good" the comparability of European Statistics among regions and countries.

Source of data: user satisfaction survey carried out by Eurostat.

Baseline 2012	Target 2020	Latest known results (2019)
56.2%	Overall positive trend. The target has been set taking into account the fact that opinion surveys based on voluntary participation are typically biased (users that are satisfied may be less motivated to participate in the survey than those that have complaints). The yearly evolution of the results should be interpreted cautiously in particular taking into account the fact that the level of representativeness of the sample of respondents cannot be assessed and may vary from one year to the next.	60.6%