



2013

Annual Activity Report

Secretariat General

Final



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INTRODUCTION:

The DG/Service in brief

The Secretariat General is one of the central services of the European Commission, facilitating its smooth and effective functioning. It is the President's department, at the service of the President, the College and the other Commission departments. It manages the collegial decision-making process and ensures the alignment of Community policies with the political priorities of the Commission.

In particular, the Secretariat General:

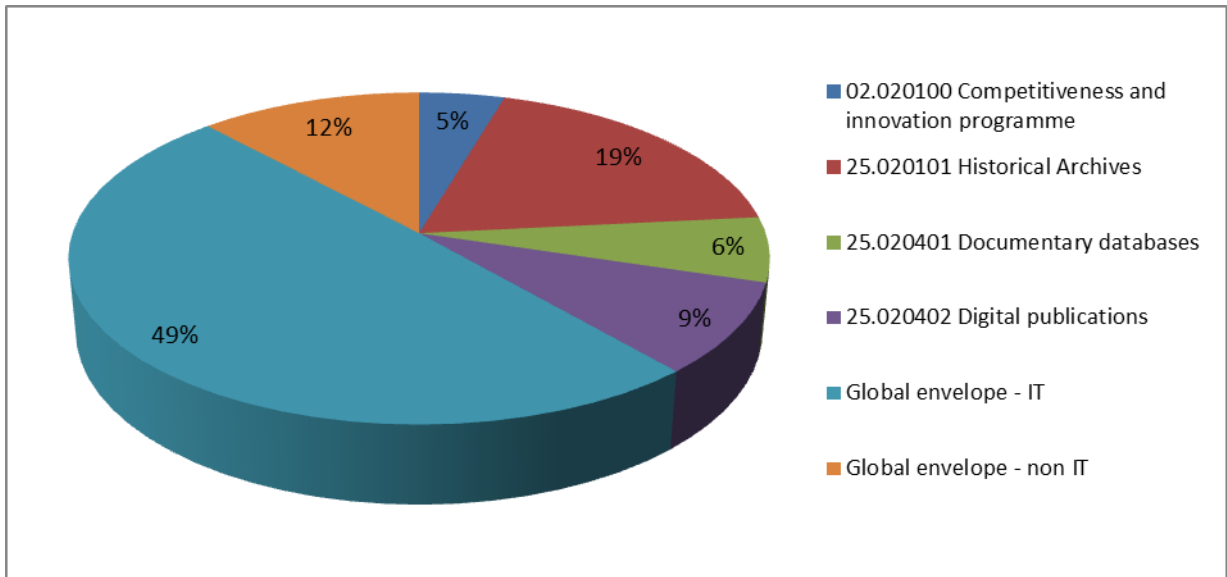
- Initiates, defines and designs the Commission's strategic objectives and priorities and shapes cross-cutting policies;
- Coordinates, facilitates, advises and arbitrates - so as to ensure the coherence, quality and delivery of policy, legislation and operations across policy areas and Commission departments;
- Facilitates the smooth running of the Commission through planning, programming and operation of an efficient/modern registry;
- Acts as the Commission's interface and manages relations with the other European institutions, national parliaments and non-governmental organisations and entities;
- Fosters the Commission's institutional strengths and the development of a service oriented, transparent, responsible European administration which works to the highest standards of ethics and integrity.

The Secretariat General has around 590 staff members including contract agents. On top of this a certain number of intra muros IT consultants are present on the premises. The SG is structured around 6 Directorates based in Brussels.

Most of the activities for which the Secretariat General has a leading role have a high political profile, however without a direct financial risk. Many activities depend on the actions of other institutions and Member States.

The Secretariat General has systemic responsibility for a number of corporate processes, including the decision making process, document management, business continuity and strategic planning and programming. Robust procedures and IT applications have been developed by the Secretariat General to achieve objectives and provide the best possible service to other DGs. All new applications rely on resilient systems built according to the accepted standards in the field.

In financial management, the breakdown of the 2013 total budget of 12.044.714 EUR by type of activity is showed in the following graph (direct management).



The development and maintenance costs of IT systems represent 64% of the Secretariat General budget. This is funded by appropriations available in the global envelope - IT, documentary databases and digital publications. About half of this budget is cross sub-delegated to DG DIGIT and thus not managed by the Secretariat General itself.

The contribution to the historical archives of the European Union under a partnership framework agreement with the European University Institute in Florence represents 19% of the Secretariat General budget.

The other expenses of the global envelope (missions, meeting, conferences, training) account for 12% of the Secretariat General budget.

Finally, the expenses related to the Competitiveness and Innovation Programme (co-delegated budget line with DG ENTR) represent 5% of the Secretariat General budget.

The year in brief

2013 was a year of continued delivery from the Secretariat General in support of the President of the Commission, the college and the Commission's Directorates General and services. The Secretariat General's coordination work within the Commission helped ensure that the priorities set by the President and the college were followed up by the other services, and pursued actively in the other institutions to ensure adoption and implementation of key initiatives proposed by the Commission.

The Secretariat General continued to play a coordinating role in implementing the Europe 2020 strategy and developing the European semester of economic governance. In cooperation with the core group of Directorates General (ECFIN, EMPL and TAXUD) and increasingly with other services, the Secretariat General worked to secure the adoption of the priorities set out in the Annual Growth Survey by the spring European Council and coordinated their translation into country-specific recommendations in May 2013. Preparations for the 2014 cycle were initiated in the second half of 2013.

The Secretariat General also coordinated work across the Commission services leading to the adoption of the new multiannual financial framework for the period 2014-2020. Together with DG BUDG and other services, the Secretariat General helped to coordinate the Commission's role in the negotiation of the MFF and the related sectoral proposals. The Secretariat General also contributed through its coordination role to upstream and downstream policy work on, *inter alia*, the deepening of the Economic and Monetary Union, the completion of the new economic governance architecture, the internal market and financial regulation.


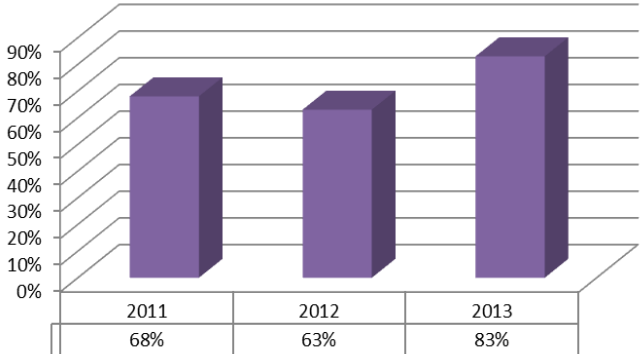

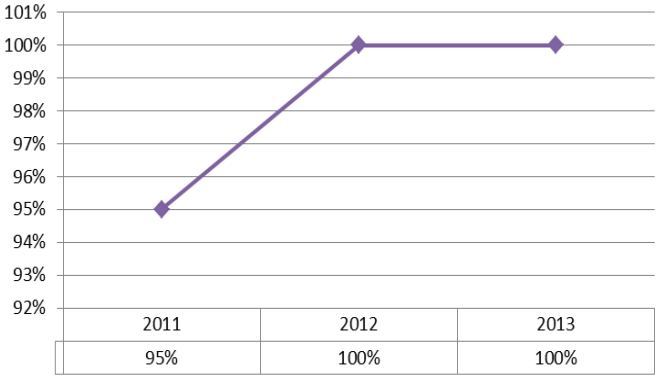

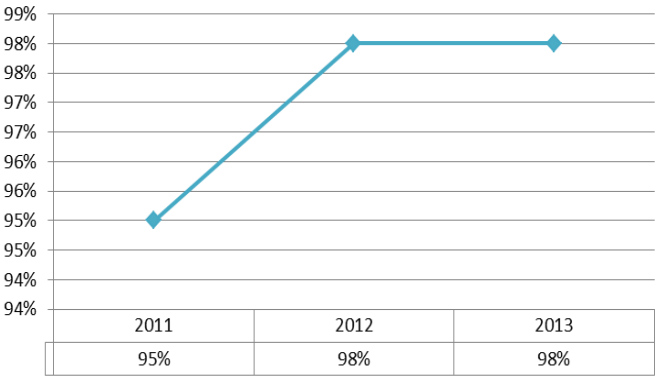
In the area of smart regulation, the Secretariat General was instrumental in developing the Commission's work on impact assessment, evaluation and simplification. The regulatory fitness and performance programme (REFIT) was launched, setting out the path for further action in 2013-14 to simplify existing legislation through amendments and consolidation of existing EU law while maintaining high regulatory standards.


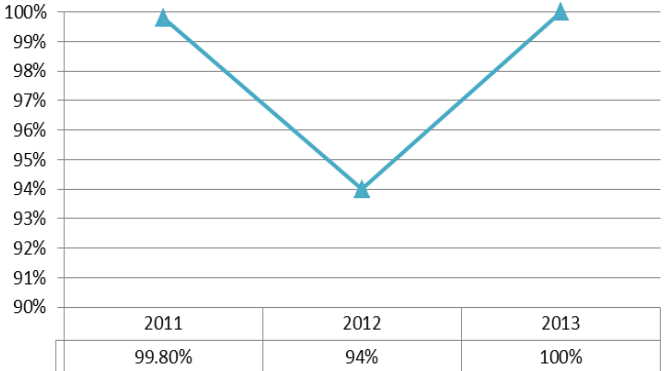

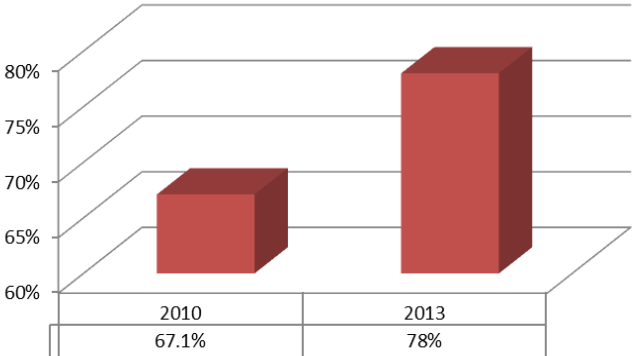
The Secretariat General has worked closely with other central services, HR, BUDG, DIGIT and the IAS, to rationalise and streamline working processes and procedures across the Commission services, in particular to make efficiency gains in the context of the 5% reduction in staffing levels. GoPro, the new guide to Commission procedures was launched in February. Work began in close cooperation with DIGIT on the 'dorsale décisionnelle', an integrated IT system to support rationalised decision-making procedures.

Internally, the Secretariat General carried out extensive consultation and preparation in view of a reorganisation of its structure and working methods. The relevant decisions were taken towards the end of 2013 in order to have the new structure operational as of 1 January 2014.

Executive Summary

Key performance indicators

<p>KPI 1:</p> <p>Implementation rate of Commission Work Programme Annex I strategic initiatives</p>		 <table border="1" data-bbox="730 696 1262 757"> <thead> <tr> <th>Year</th> <th>2011</th> <th>2012</th> <th>2013</th> </tr> </thead> <tbody> <tr> <td>Rate</td> <td>68%</td> <td>63%</td> <td>83%</td> </tr> </tbody> </table>	Year	2011	2012	2013	Rate	68%	63%	83%
Year	2011	2012	2013							
Rate	68%	63%	83%							
<p>KPI 2:</p> <p>Percentage of same-day flash reports after important meetings/developments</p>		 <table border="1" data-bbox="708 1160 1310 1227"> <thead> <tr> <th>Year</th> <th>2011</th> <th>2012</th> <th>2013</th> </tr> </thead> <tbody> <tr> <td>Percentage</td> <td>95%</td> <td>100%</td> <td>100%</td> </tr> </tbody> </table>	Year	2011	2012	2013	Percentage	95%	100%	100%
Year	2011	2012	2013							
Percentage	95%	100%	100%							
<p>KPI 3:</p> <p>Percentage of impact assessments carried out for initiatives with impact assessment requirement</p>		 <table border="1" data-bbox="699 1653 1310 1720"> <thead> <tr> <th>Year</th> <th>2011</th> <th>2012</th> <th>2013</th> </tr> </thead> <tbody> <tr> <td>Percentage</td> <td>95%</td> <td>98%</td> <td>98%</td> </tr> </tbody> </table>	Year	2011	2012	2013	Percentage	95%	98%	98%
Year	2011	2012	2013							
Percentage	95%	98%	98%							

<p>KPI 4:</p> <p>% of budget execution in new commitment appropriations (C1 differentiated, C1 non-differentiated)(FMC SG%)</p>		 <table border="1" data-bbox="708 521 1318 584"> <thead> <tr> <th>Year</th> <th>2011</th> <th>2012</th> <th>2013</th> </tr> </thead> <tbody> <tr> <td>Value</td> <td>99.80%</td> <td>94%</td> <td>100%</td> </tr> </tbody> </table>	Year	2011	2012	2013	Value	99.80%	94%	100%
Year	2011	2012	2013							
Value	99.80%	94%	100%							
<p>KPI 5:</p> <p>Overall SG job satisfaction as resulted in the bi-annual HR staff opinion survey</p>		 <table border="1" data-bbox="743 981 1241 1043"> <thead> <tr> <th>Year</th> <th>2010</th> <th>2013</th> </tr> </thead> <tbody> <tr> <td>Value</td> <td>67.1%</td> <td>78%</td> </tr> </tbody> </table>	Year	2010	2013	Value	67.1%	78%		
Year	2010	2013								
Value	67.1%	78%								

Policy highlights of the year (executive summary of part I)

The SG continued to assume a coordinating role in the programming and preparation of policy initiatives in interservice groups, impact assessment steering groups and through timely replies to interservice consultations. This work also included the preparation of fiches for the weekly meetings of heads of cabinet, flash reports and policy option notes for the attention of the SG hierarchy or the President's cabinet, as well as the drafting of notes for orientation debates in College.

By way of example, the SG coordinated the preparation of the 2030 framework for climate and energy and was closely involved in work led by other DGs on the partnership agreements on European structural and investment funds for the 2014-20 programming period.

The SG also provided advice and coordination on the inter-institutional negotiations on key policy files. In particular, the conduct of the inter-institutional negotiations on the proposals for the 2014-2020 multiannual financial framework required the mobilisation and coordination of units from across the SG to make use of all the available expertise, contributing to the successful conclusion of negotiations on both the global MFF and most sectoral MFF files in 2013, including those on cohesion policy, the Common Agricultural Policy, the Horizon 2020 research programme, the external relations instruments and the Connecting Europe Facility.

A series of dedicated support and guidance activities vis-à-vis the registry stakeholders (e.g. REGIO, MARE, CNECT, BUDG, ENTR) were carried out by the registry. This helped to improve understanding of and respect for Commission procedures and so contributed to the efficiency of the Commission's decision-making.

While the broad objectives are valid, some of the indicators presented in Section 1 ('Policy Achievements') are not useful indicators of the performance of the Secretariat General itself, since their achievement depends critically on the activities of other Directorates General and/or is outside the direct control of the Secretariat General and indeed of the Commission. The choice of result indicators will therefore be refined for future management plans.

Key conclusions on resource management and internal control effectiveness (executive summary on part 2 and 3)

In accordance with the governance statement of the European Commission, the SG conducts its operations in compliance with the applicable laws and regulations, working in an open and transparent manner and meeting the expected high level of professional and ethical standards.

The Commission has adopted a set of internal control standards, based on international good practice, aimed at ensuring the achievement of policy and operational objectives. As required by the Financial Regulation, the Secretary General has put in place the organisational structure and the internal control systems suited to the achievement of the policy and control objectives, in accordance with the standards and having due regard to the risks associated with the environment in which it operates.

The SG has assessed the effectiveness of its key internal control systems during the reporting year and has concluded that the internal control standards are effectively implemented. Please refer to Part 3 for further details.

In addition, the SG has systematically examined the available control results and indicators, including those aimed to supervise entities to which it has entrusted budget implementation tasks, as well as the observations and recommendations issued by internal auditors and the European Court of Auditors. These elements have been assessed to determine their impact on the management's assurance as regards the achievement of control objectives. Please refer to part 2 for further details

In conclusion, management has reasonable assurance that, overall, suitable controls are in place and working as intended; risks are being appropriately monitored and mitigated; and necessary improvements and reinforcements are being implemented. The Secretary General, in her capacity as Authorising Officer by Delegation, has signed the Declaration of Assurance.

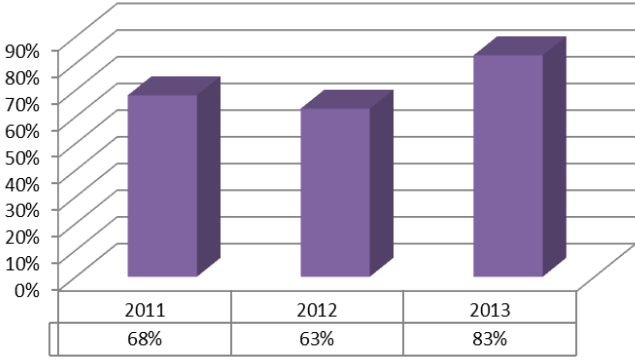
Information to the Commissioner

The main elements of this report and the declaration of assurance, have been brought to the attention of President Barroso.

1. POLICY ACHIEVEMENTS

1.1 Achievement of general and specific objectives

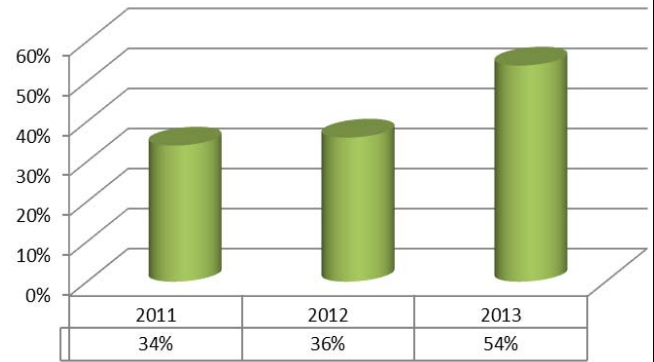
1.1.1 ABB activity Coordination within the Commission: 'Coordinate the definition of the political priorities of the Commission for 2013 and monitor the progress in delivering on the Commission Work Programme 2012 commitments'

ABB Activity: Coordination within the Commission ☒ Non-spending			
Specific objective	Result indicator	Target	Current situation
SO1: Coordinate the definition of the political priorities of the Commission for 2013 and monitor the progress in delivering on the Commission Work Programme 2012 commitments	Implementation rate of Annex I strategic CWP initiatives <i>(Source: SG)</i>	100% (2013)	 <p>10 out of 12 initiatives that the Commission committed to deliver in 2013 (* items) were delivered by the end of 2013. One more (internal market for industrial products) was delivered in January 2014, while in the case of the general block exemption, this went to the College a first time in December 2013 with final adoption planned for mid 2014. The fact that adoption of 2 out of 12 initiatives slipped into 2014 is not under SG full control but is rather due to specific political circumstances.</p>

Implementation rate of Annex II CWP initiatives

(Source: SG)

60% (2013)

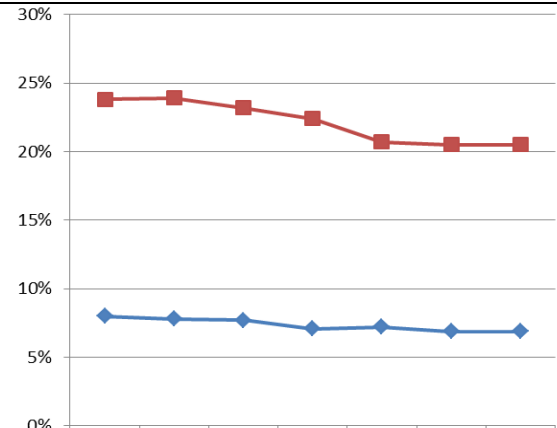


Although not fully meeting the target, the achievement is within a tight range of the desired outcome, given that the result is not under full SG control, but rather due to political circumstances.

Main outputs in 2013

- 12 monthly forecast and execution reports
- Up-dated Commission Work Programme 2014

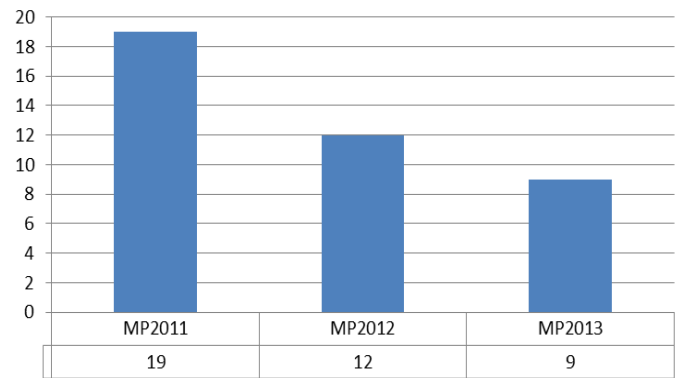
1.1.2 ABB activity Coordination within the Commission: 'Ensure that all Commission services have performance management framework and adequate resources in order to deliver efficiently on the political priorities of the Commission'

ABB Activity: Coordination within the Commission			☒ Non-spending																							
Specific objective	Result indicator	Target	Current situation																							
SO2: Ensure that all Commission services have a performance management framework and adequate resources in order to deliver efficiently on the political priorities of the Commission	Proportion of posts which serve new political priorities out of redeployed establishment plan posts within individual DGs	≥ 60% (2014)	This indicator has been removed as of the 2014 management plan. Internal redeployments consist in moving staff away from administrative support and coordination functions to frontline activities. As a result, the proportion of the Commission coordination and support staff should progressively decrease, which is measured by the remaining indicator.																							
	Ratio of Commission coordination/support staff, as measured through the annual screening report on human resource <i>(Source: Commission)</i>	Coordination staff ≤ 6.9% (2014) Support staff ≤ 20.5% (2014)	 <table border="1" data-bbox="885 1355 1540 1444"> <thead> <tr> <th></th> <th>2007</th> <th>2008</th> <th>2009</th> <th>2010</th> <th>2011</th> <th>2012</th> <th>2013</th> </tr> </thead> <tbody> <tr> <td>Coordination</td> <td>8%</td> <td>7.8%</td> <td>7.7%</td> <td>7.1%</td> <td>7.2%</td> <td>6.9%</td> <td>6.9%</td> </tr> <tr> <td>Support</td> <td>23.8%</td> <td>23.9%</td> <td>23.2%</td> <td>22.4%</td> <td>20.7%</td> <td>20.5%</td> <td>20.5%</td> </tr> </tbody> </table> <p>This indicator has been removed as of the 2014 management plan. The achievement depends critically on the activities of other Directorates General and/or is outside the direct control of the Secretariat General.</p>		2007	2008	2009	2010	2011	2012	2013	Coordination	8%	7.8%	7.7%	7.1%	7.2%	6.9%	6.9%	Support	23.8%	23.9%	23.2%	22.4%	20.7%	20.5%
	2007	2008	2009	2010	2011	2012	2013																			
Coordination	8%	7.8%	7.7%	7.1%	7.2%	6.9%	6.9%																			
Support	23.8%	23.9%	23.2%	22.4%	20.7%	20.5%	20.5%																			

Number of cross-cutting risks notified by DGs when drawing up their management plans

(Source: SG)

≤ 20 (2013 MPs)

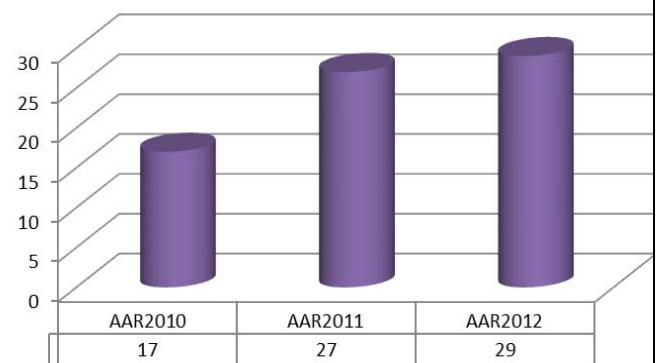


As the achievement depends critically on the activities of other Directorates-General, this indicator has been removed from the management plan as of 2014.

Number of reservations in Annual Activity Reports

(Source: SG)

≤ 27 (2012 AARs)



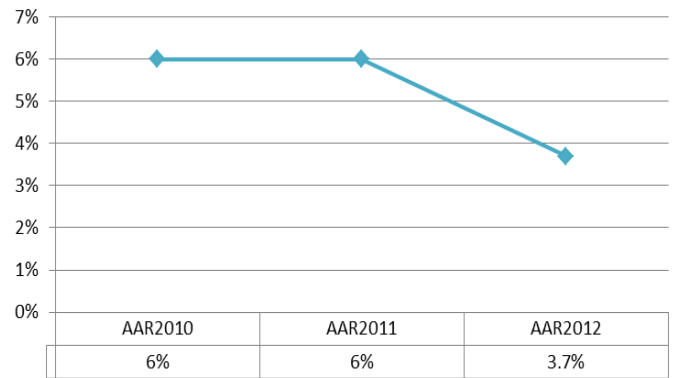
The 29 reservations in the 2012 AARs included 25 of the 27 reservations made in 2011, on which action was still on-going at the end of 2012, plus 4 new reservations. The most common issues in the reservations stem from the complex eligibility rules for grant beneficiaries and from the incorrect application of public procurement rules. The Commission has drawn operational conclusions from this experience and made proposals for major simplification in the new generation of programmes.

As the achievement depends critically on the activities of other Directorates-General, this indicator has been removed from the management plan as of 2014.

Percentage of reservations lifted after 1 year

(Source: SG)

≥ 6% (2014)



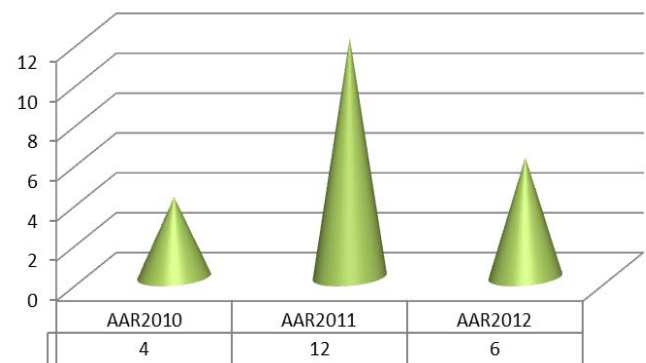
Although the target was not met in 2013, the achievement is not directly comparable with the target as the target has been set for 2014.

As the achievement depends critically on the activities of other Directorates-General, this indicator has been removed from the management plan as of 2014.

Number of reservations included in AARs for at least 3 consecutive years

(Source: SG)

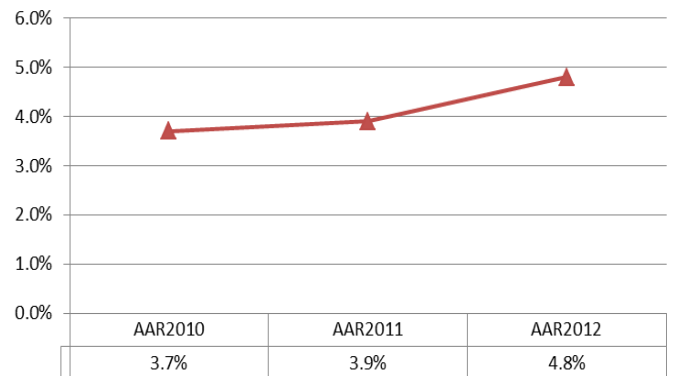
6 (2014)



Most likely error rate for payments as a whole as estimated by the Court of Auditors

(Source: Court of Auditors' annual reports)

≤ 4% (2014)



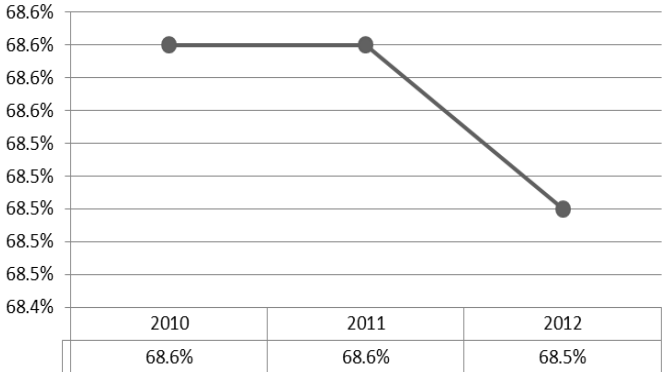
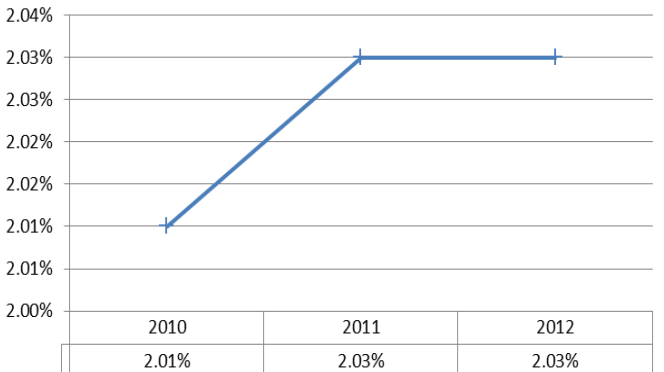
Towards the end of a financial period, the risk-profile of the audited financial transactions changes. Not only did the volume of payments

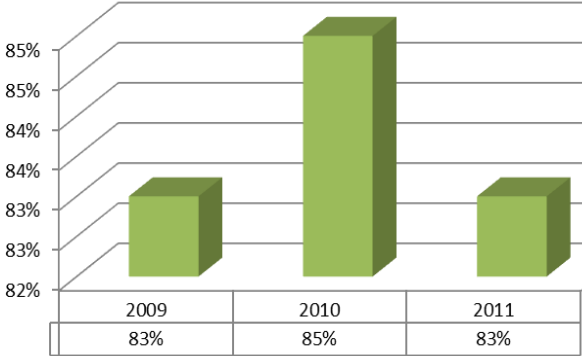
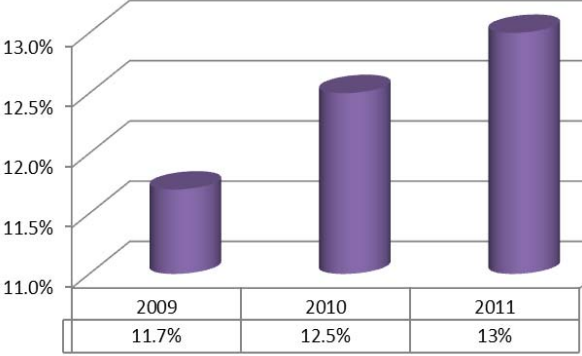
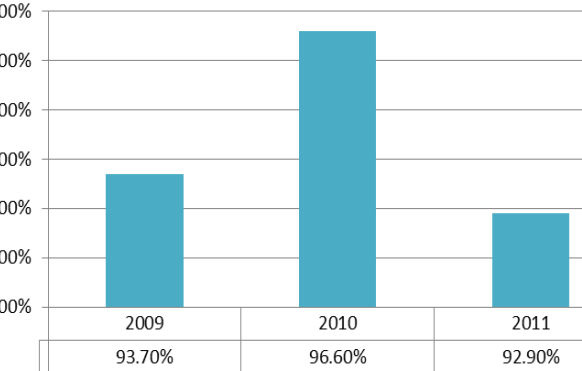
		<p>grow but there were many more interim and final payments, which are subject to more complex rules and conditions and, therefore, more prone to errors. Secondly, the Court of Auditors has revised its methodology, leading to a technical increase of the error rate. The error rate of 4.8% estimated by the Court of Auditors is based on a methodology that is different from the methodology used by the Commission. The methodology of the Court of Auditors is based on transactions of a year, while the Commission's estimated error rate is calculated taking into account the effect of the various multi-annual corrective mechanisms. The Commission's estimated error rate is therefore lower at between 1.9% and 2.6% of all executed payments.</p> <p>The Commission has undertaken to address many of the weaknesses by improving the rules for the 2014-2020 financing period. Main efforts include the introduction of simplification measures, the protection of the EU budget through preventive/corrective measures, and a stronger cooperation with Member States. In September 2013, the Commission also issued a report on "the protection of the European union budget to end 2012." This Communication provides an overview of the mechanisms foreseen in the legislation which define the process of identifying and then dealing with administrative errors, irregularities and suspected fraud detected by EU bodies and by Member States; and a best estimate of the total amounts concerned for 2012 and so as to illustrate in real terms how the EU budget is protected from expenditure incurred in breach of law, and how the Member States are involved and impacted.</p> <p>As the achievement depends critically on the activities of other Directorates-General, this indicator has been removed from the management plan as of 2014.</p>
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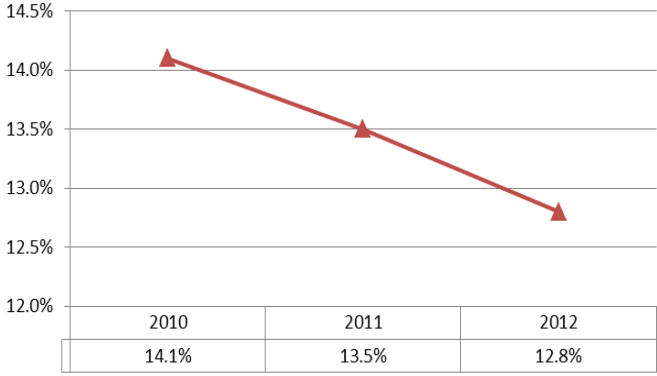
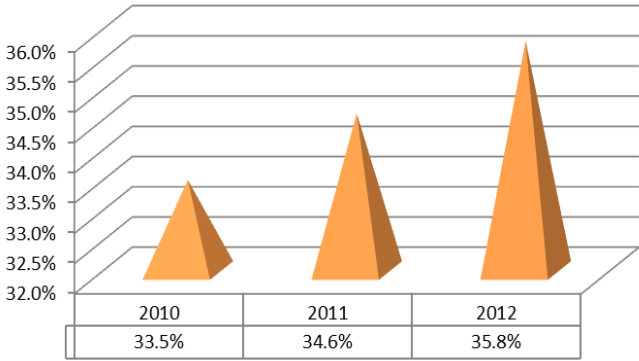
Main outputs in 2013

- *Standing instructions for the preparation of the Management Plans 2014 (September 2013)*
- *Peer reviews of the draft Management Plans (December 2013)*
- *Contribution to the 2014 Draft Budget (April 2013) and, in particular, contribution to the preparation of Programme Statements*
- *Contribution to the 2013 update of the Screening Report on human resources in the Commission*
- *Contribution to the allocation of human resources: complementary allocation (April 2013 – in the draft budget) and final allocation (December 2013)*
- *Synthesis Report of management achievements (June 2013)*
- *Guidelines on the preparation of 2012 Annual Activity Reports (October 2013)*
- *Annual examination of cross-cutting risks notified by DGs (November 2013)*
- *Updates of the register on cross-cutting risks*
- *Peer review of the draft Annual Activity Reports and follow-up to reservations made in Annual Activity Reports with a view to reducing the number of reservations*

1.1.3 ABB activity Coordination within the Commission: 'Pursue growth enhancing reforms at both EU and national level by monitoring the implementation of the Europe 2020 strategy and providing guidance and support to Member States in their reform efforts'

ABB Activity: Coordination within the Commission			☒ Non-spending
Specific objective	Result indicator	Target	Current situation
SO3: Pursue growth enhancing reforms at both EU and national level by monitoring the implementation of the Europe 2020 strategy and providing guidance and support to Member States in their reform efforts	Percentage of EU population aged 20-64 employed <i>(Source: Eurostat)</i>	75% (2020)	 <p>This indicator has been removed as of the 2014 management plan. The achievement depends critically on the activities of other Directorates General and/or is outside the direct control of the Secretariat General and indeed of the Commi As the achievement is outside the control of the Secretariat-General and indeed of the Commission, this indicator has been removed from the management plan as of 2014.</p>
	Percentage of EU GDP invested in R&D <i>(Source: Eurostat)</i>	3% (2020)	 <p>As the achievement is outside the control of the Secretariat-General and indeed of the Commission, this indicator has been removed from the</p>

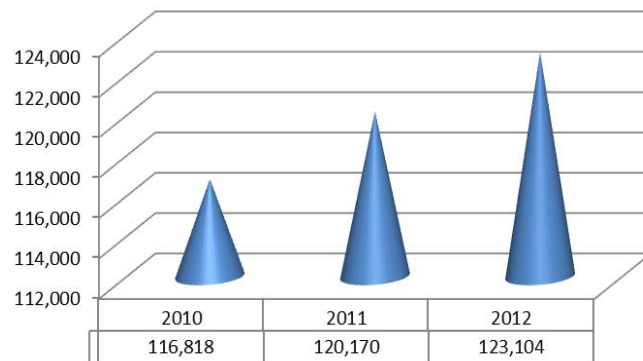
		management plan as of 2014	
<p>Greenhouse gas emissions as a percentage of 1990 levels</p> <p><i>(Source: Eurostat)</i></p>	80% (2020)	 <p>As the achievement is outside the control of the Secretariat-General and indeed of the Commission, this indicator has been removed from the management plan as of 2014.</p>	
<p>Percentage of total energy production coming from renewables</p> <p><i>(Source: Eurostat)</i></p>	20% (2020)	 <p>As the achievement is outside the control of the Secretariat-General and indeed of the Commission, this indicator has been removed from the management plan as of 2014.</p>	
<p>Energy efficiency-consumption as % of base year (2005)</p> <p><i>(Source: Eurostat)</i></p>	86.5% (2020)		

			<p>As the achievement is outside the control of the Secretariat-General and indeed of the Commission, this indicator has been removed from the management plan as of 2014.</p>								
	<p>Percentage of population aged 18-24 dropping-out school early <i>(Source: Eurostat)</i></p>	<p>< 10% (2020)</p>	 <table border="1" data-bbox="933 707 1533 779"> <thead> <tr> <th>Year</th> <th>2010</th> <th>2011</th> <th>2012</th> </tr> </thead> <tbody> <tr> <td>Percentage</td> <td>14.1%</td> <td>13.5%</td> <td>12.8%</td> </tr> </tbody> </table> <p>As the achievement is outside the control of the Secretariat-General and indeed of the Commission, this indicator has been removed from the management plan as of 2014.</p>	Year	2010	2011	2012	Percentage	14.1%	13.5%	12.8%
Year	2010	2011	2012								
Percentage	14.1%	13.5%	12.8%								
	<p>Percentage of 30-34-year-olds completing third level education <i>(Source: Eurostat)</i></p>	<p>> 40% (2020)</p>	 <table border="1" data-bbox="965 1395 1485 1458"> <thead> <tr> <th>Year</th> <th>2010</th> <th>2011</th> <th>2012</th> </tr> </thead> <tbody> <tr> <td>Percentage</td> <td>33.5%</td> <td>34.6%</td> <td>35.8%</td> </tr> </tbody> </table> <p>As the achievement is outside the control of the Secretariat-General and indeed of the Commission, this indicator has been removed from the management plan as of 2014.</p>	Year	2010	2011	2012	Percentage	33.5%	34.6%	35.8%
Year	2010	2011	2012								
Percentage	33.5%	34.6%	35.8%								

People at risk of poverty (thousands)

(Source: Eurostat)

20 million less
= 104,338
thousands
(2020)

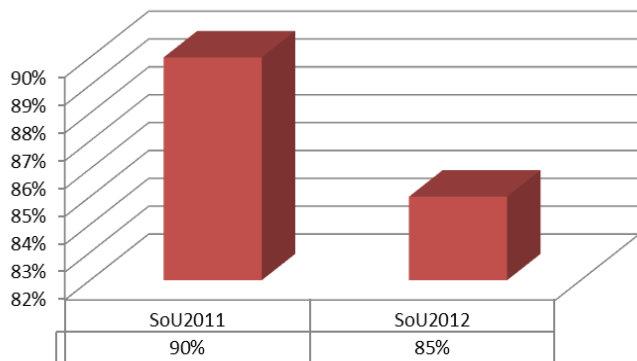


As the achievement is outside the control of the Secretariat-General and indeed of the Commission, this indicator has been removed from the management plan as of 2014.

Main outputs in 2013

- *Commission's Annual Growth Survey launching the European Semester of policy coordination (November 2013)*
- *Policy guidance including country specific recommendations (May 2013)*
- *Briefings for Europe 2020-related events*
- *Delivery of cross-cutting and MS-specific policy analysis and advice*

1.1.4 ABB activity Coordination within the Commission: 'Supporting the implementation of the President's political agenda by translating the State of the Union speech into concrete initiatives and developing policy initiatives with cut across multiple policy strands'

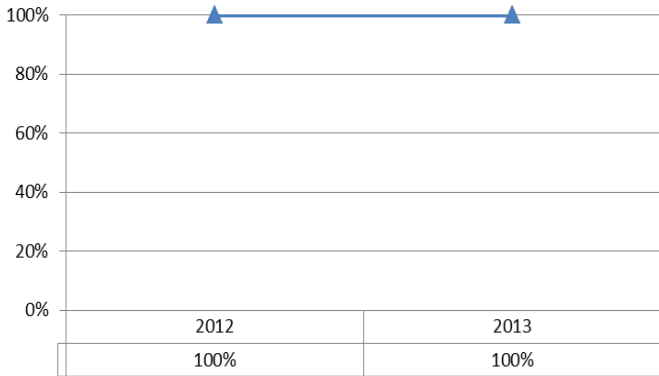
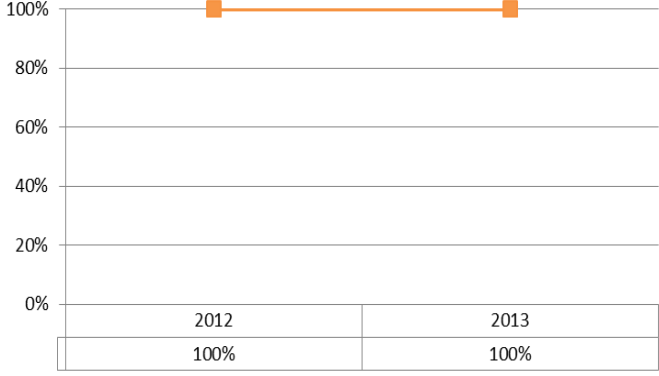
ABB Activity: Coordination within the Commission			☒ Non-spending				
Specific objective	Result indicator	Target	Current situation				
<p>SO4: Supporting the implementation of the President's political agenda by</p> <p>-translating the State of the Union speech into concrete initiatives,</p> <p>-developing policy initiatives which cut across multiple policy strands (e.g. Cooperation and Verification Mechanism for Romania & Bulgaria).</p>	<p>Degree of coherence of policies with the State of the Union speeches</p> <p><i>(Source: SG)</i></p>	<p>100% (2013)</p>	<div style="text-align: center;">  <table border="1" style="margin: 0 auto;"> <tr> <td>SoU2011</td> <td>SoU2012</td> </tr> <tr> <td>90%</td> <td>85%</td> </tr> </table> </div> <p>Most of the items highlighted in the letter by President Barroso to EP President Schulz accompanying the State of the Union address in 2012 were delivered in the course of 2013. However, the delivery of some important items initially planned for late 2013 slipped into early 2014 - framing climate and energy policies beyond 2020 (delivered in January 2014) and the action plan on the long-term financing of the economy (package now planned for March 2014), while work on another item highlighted in the letter (reviewing the standardisation acquis) is still ongoing (tentatively planned for end 2014).</p> <p>As the achievement depends critically on the activities of other Directorates-General, this indicator has been removed from the management plan as of 2014.</p>	SoU2011	SoU2012	90%	85%
SoU2011	SoU2012						
90%	85%						

Main outputs in 2013

- *Policy document setting out a strategy for the progressive alignment of the EU status in international organisations and other fora to the Lisbon Treaty*
- *Early warnings, fiches OJ and flash reports for the attention of the President's cabinet*
- *Drafting of policy option notes to the Cabinet on issues where advanced steering is needed*
- *Contribution to the drafting of notes for orientation debates*
- *Co-ordination of briefings for the President for his international meetings*
- *(Co-)drafting of communications with lead DGs*
- *Secretariat of the high-level groups (e.g. Commissioners' groups)*
- *Information notes on G8/G20*
- *Contribution to the strategic discussions on the future of G8/G20 and global governance*
- *Timely and pertinent replies to inter-service consultations*
- *Commission's Annual Growth Survey launching the European Semester of policy coordination (November 2013)*
- *Policy guidance including country specific recommendations (May 2013)*
- *Briefings for Europe 2020-related events*
- *Deliver cross-cutting and MS-specific policy analysis and advice*
- *Reports on Bulgaria and Romania in the framework of the Cooperation and Verification Mechanism (CVM)*
- *Interim report on Romania adopted January 2013; oral update reports to Council Working Group July 2013*

1.1.5 ABB activity Coordination within the Commission: 'Ensuring well-informed decision-making of the College by providing prospective political analysis based on full use of internal and external contacts and databases'

ABB Activity: Coordination within the Commission ☒ Non-spending									
Specific objective	Result indicator	Target	Current situation						
SO5: Ensuring well-informed decision-making of the College by providing prospective political analysis based on full use of internal and external contacts and databases	Percentage of same-day flash reports after important meetings/developments <i>(Source: SG)</i>	100% (2013)	<table border="1"> <tr> <td>2011</td> <td>2012</td> <td>2013</td> </tr> <tr> <td>95%</td> <td>100%</td> <td>100%</td> </tr> </table>	2011	2012	2013	95%	100%	100%
	2011	2012	2013						
	95%	100%	100%						
Number of SG representation in G8/G20 fora <i>(Source: SG)</i>	100% (2013)	2011-2013: 100%							
Percentage of President's cabinet and senior managers using the IT platform <i>(Source: SG)</i>	90% (2013)	<table border="1"> <tr> <td>2011</td> <td>2012</td> <td>2013</td> </tr> <tr> <td>80%</td> <td>80%</td> <td>90%</td> </tr> </table>	2011	2012	2013	80%	80%	90%	
2011	2012	2013							
80%	80%	90%							

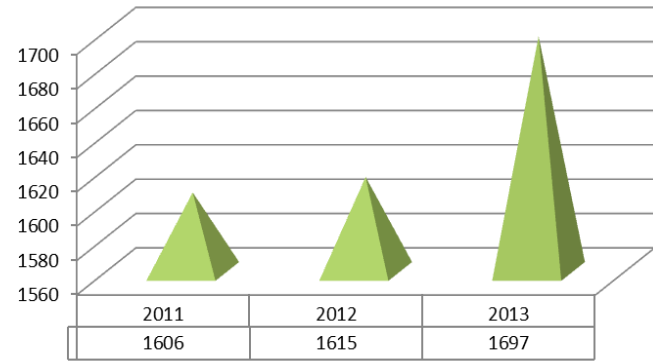
	<p>Percentage of international summits covered by smoothly and efficiently prepared briefings</p> <p><i>(Source: SG)</i></p>	100% (2013)	 <table border="1" data-bbox="928 519 1535 586"> <tr> <td>2012</td> <td>2013</td> </tr> <tr> <td>100%</td> <td>100%</td> </tr> </table>	2012	2013	100%	100%
2012	2013						
100%	100%						
	<p>Percentage of briefings delivered on time (extracted from internal databases)</p> <p><i>(Source: SG)</i></p>	100% (2013)	 <table border="1" data-bbox="928 1012 1535 1079"> <tr> <td>2012</td> <td>2013</td> </tr> <tr> <td>100%</td> <td>100%</td> </tr> </table>	2012	2013	100%	100%
2012	2013						
100%	100%						

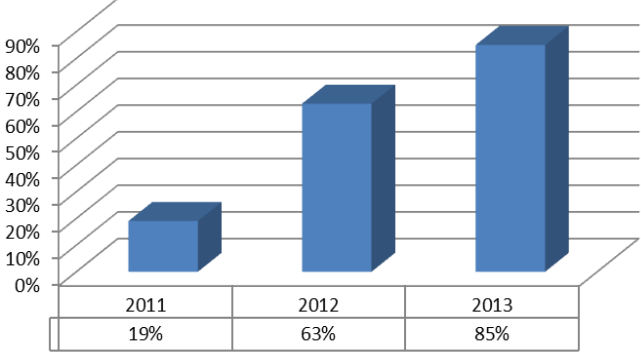
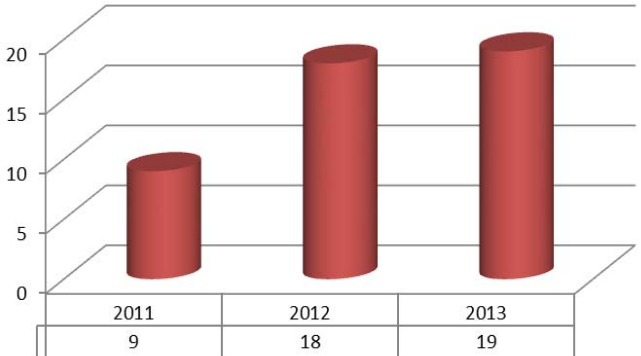
Main outputs in 2013

- *Up-to-date flash information, scenario setting, forward analysis, political planning*
- *100% same day flash reports for all CRP 1 relevant Council meetings (including lunches), CRP meetings (and Mertens group meetings preparing the CRP 1 meetings).*
- *Early warning of sensitive issues for the other institutions*
- *Regular update of the "fast-tracker" table on the SMA 1 and 2 (fast tracked) files sent through GRI; follow-up intelligence and input from bi-weekly meetings with the Presidency.*
- *Improved transition of files between "upstream" and "downstream" desks in the SG through targeted meetings and thematic teams*
- *"Handover" meetings organised for sensitive files*
- *Better anticipation of major issues of relevance for relations with Council, EP, EESC, CoR and national parliaments*
- *Regular (weekly) contribution to GRI with info (agendas, CRP 1 preparation) for upcoming Council meetings*
- *Smooth and efficient Summit preparation process*

- *Adequate Commission representation in G8/G20 fora*
- *Effective Commission representation (and upstream internal coordination) at PSC to ensure coherence of Commission policies with those of the EEAS*
- *Improved briefing preparation by increased coordination among different services engaged in briefing work, optimised use of IT tools and available materials, more systematic feedback and training*
- *Timely preparation and coordination (including upstream) with relevant DGs of Council meetings (affecting more than one policy areas: COMPET, ENVI, EYCS, EPSCO) and briefing contribution to international events attended by the President and Presidency preparation meetings*
- *Continued consolidation of the preparation and coordination of briefings, including through:*
 - *Centralised briefing planning*
 - *Improved briefing preparation process through coordination among different services engaged in briefing work, optimised use of available materials, systematic feedback, and training*
 - *Further technical improvements to briefing IT platform (system of sub-sites to allow coverage of all high-level briefings produced by SG, thematic search facility, integrated briefing planning) rolled out and operational*
 - *Further development of cross-SG co-operation, bringing together thematic expertise and briefing expertise for the production of high level briefings.*
- *Prior coordination of all CRP 1 relevant Council briefings, input on AGS and Europe 2020 issues & contribution to the EC process (briefings).*
- *Advance preparation and coordination of upcoming Presidencies through dedicated meetings on planning and programming of Council work (agendas), including on the TRIO programme.*

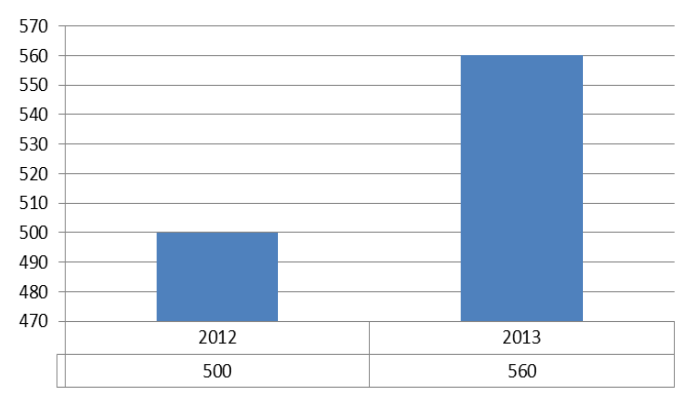
1.1.6 ABB activity Coordination within the Commission: 'Achieve greater operational effectiveness and resources efficiency of the organisation by streamlining, optimising and harmonising business processes and automation through developing and implementing a robust and visionary corporate IT strategy'

ABB Activity: Coordination within the Commission			☒ Non-spending								
Specific objective	Result indicator	Target	Current situation								
SO6: Achieve greater operational effectiveness and resources efficiency of the organisation by streamlining, optimising and harmonising business processes and their automation through developing and implementing a robust and visionary corporate IT strategy	Number of IT systems in the Commission <i>(Source: Commission)</i>	< 1100 (2015)	 <table border="1" style="margin-left: auto; margin-right: auto;"> <thead> <tr> <th>Year</th> <th>Number of IT Systems</th> </tr> </thead> <tbody> <tr> <td>2011</td> <td>1606</td> </tr> <tr> <td>2012</td> <td>1615</td> </tr> <tr> <td>2013</td> <td>1697</td> </tr> </tbody> </table> <p>Despite the decommissioning of several systems, the overall number of Information Systems in the Commission remained stable (around 1700). Several factors explain this situation:</p> <ul style="list-style-type: none"> ▪ An increased presence of IT services in support of the policies. IT appears more and more regularly in legislative instruments, in particular as regards the exchanges with MS administrations, businesses and citizens. ▪ On a more administrative basis, new integrated common IT tools are also an answer to staff reduction by increasing individual's productivity. ▪ It takes several years to see the effects of rationalisation and actually close down an old system and transfer all its data to the replacement system; ▪ The growing development of "reusable modules" (reducing complexity, fostering interoperability and promoting process harmonisation). Such modules appear in the 	Year	Number of IT Systems	2011	1606	2012	1615	2013	1697
Year	Number of IT Systems										
2011	1606										
2012	1615										
2013	1697										

			<p>current inventory as "systems" and can't be distinguished from real systems</p> <p>A new portfolio management tool will be put in place by the end of 2014, making it possible to better distinguish "systems" and "modules" and reducing accordingly the nr of real "systems".</p>								
	<p>Number and size [expressed in total cost of ownership (TCO)] of the examined projects</p> <p><i>(Source: Commission)</i></p>	<p>100% portofolio (2014)</p>	 <table border="1" data-bbox="954 824 1485 887"> <thead> <tr> <th>Year</th> <th>Percentage</th> </tr> </thead> <tbody> <tr> <td>2011</td> <td>19%</td> </tr> <tr> <td>2012</td> <td>63%</td> </tr> <tr> <td>2013</td> <td>85%</td> </tr> </tbody> </table> <p>All projects with a TCO greater than EUR 500,000 were examined.</p>	Year	Percentage	2011	19%	2012	63%	2013	85%
Year	Percentage										
2011	19%										
2012	63%										
2013	85%										
	<p>Number of task force recommendations completed</p> <p><i>(Source: Commission)</i></p>	<p>25 (2013)</p>	 <table border="1" data-bbox="943 1435 1481 1491"> <thead> <tr> <th>Year</th> <th>Number of Recommendations</th> </tr> </thead> <tbody> <tr> <td>2011</td> <td>9</td> </tr> <tr> <td>2012</td> <td>18</td> </tr> <tr> <td>2013</td> <td>19</td> </tr> </tbody> </table> <p>The rate of completion of task force recommendations is outside the control of the SG as they are the responsibility of DIGIT and the individual Directorates General.</p>	Year	Number of Recommendations	2011	9	2012	18	2013	19
Year	Number of Recommendations										
2011	9										
2012	18										
2013	19										

Annual cost of IT
(Source: Commission)

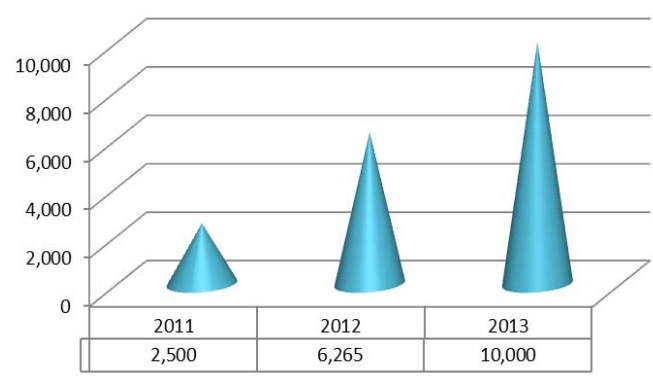
< 400 €/year
(2015)



The 560 M€ amount (2013) reflects the increased presence of IT in policies and the fact that investments are necessary before savings are possible

Number of hits on the IT governance wiki
(Source: Commission)

12,000 (2013)



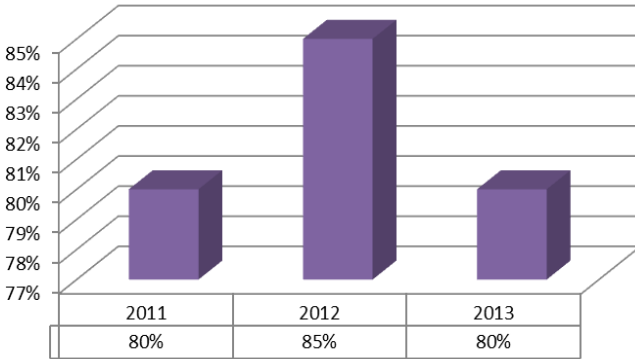
The number of hits has increased but has not reached the target level. This can be due to lack of knowledge of existence of the wiki and the static nature of information.

Main outputs in 2013

- All decisions regarding rationalisation of Information Systems have been taken, in all domains, and their implementation is under way
- Concrete results in the 18 identified domains (processes streamlining, number of systems around flagship systems, interoperability, re-use of components / common practices)
- Reusability is mandatory when a component exists for the same need
- Co-financing is regularly practiced across DGs
- In particular, the development of the MFF-related new IT systems has optimized the use of common components for common features

- *IT Budgets allocations and priorities are controlled by the new governance bodies (ISPMB and HLCIT)*
- *All DGs have joined ITIC*
- *The method for selecting the future Office automation platforms is under implementation*
- *New strategies have been presented and endorsed regarding innovative infrastructure elements*
- *The cost models are reviewed where necessary and made more transparent.*
- *The global vision and technical architecture of the "legislative lifecycle" IT rationalisation have been adopted, the first results have been delivered and the work is progressing with a view to delivering a fully integrated system by the end of 2014.*

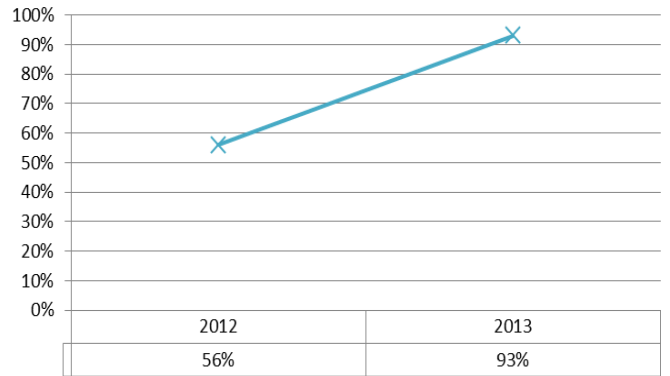
1.1.7 ABB activity Coordination within the Commission: 'Foster the Commission's capacity to answer unexpected events quickly, efficiently and in a coordinated manner and in the case of a major business interruption, ensure that the Commission is able to maintain critical and essential functions, continue to operate and return to normal activities as quickly as possible'

ABB Activity: Coordination within the Commission ☒ Non-spending			
Specific objective	Result indicator	Target	Current situation
SO7: Foster the Commission's capacity to answer unexpected events quickly, efficiently and in a coordinated manner and in the case of a major business interruption, ensure that the Commission is able to maintain critical and essential functions, continue to operate and return to normal activities as quickly as possible	Percentage of DGs & Executive Agencies (EAs) which adopted and sent to SG new Business Continuity Plans (BCP), in particular taking account of experience and of lessons learned from the 2012 corporate exercise <i>(Source: SG)</i>	100% DGs and EAs have developed comprehensive BCPs based on SG template & guidance by end of 2013 and maintain these up to date	 <p>This was a very ambitious target. There has been progress made in recent years and this progress is a part of the continuous improvement process in Business Continuity. However, the responsibility for drafting the BCPs lies directly with the DGs and EAs. SG can only provide them with all the necessary guidance, training and support. Following the experience accumulated, probably 80% would be a more realistic target.</p> <p>Recommendations were issued to all DGs & EAs during bilateral meetings (2012-2013). SG is providing ongoing support, training and providing helpdesk, assisting all DGs and EAs.</p>

Percentage of DGs and EAs which used and passed the BCM Self-Assessment tool

(Source: SG)

100% DGs and EAs by end of 2013 use the tool to evaluate their performance according to all areas of the BCM lifecycle



The tool was created to evaluate the Business Continuity Management (BCM) competence, capability and relative maturity of all Commission entities.

In order to meet the above-mentioned objectives, the SG has provided all the necessary guidance, support and training, including bilateral meetings with all DGs and EAs in 2012-13. However, the responsibility of drafting BCPs as well as using and passing the BCM self-assessment tool lies directly with DGs and EAs.

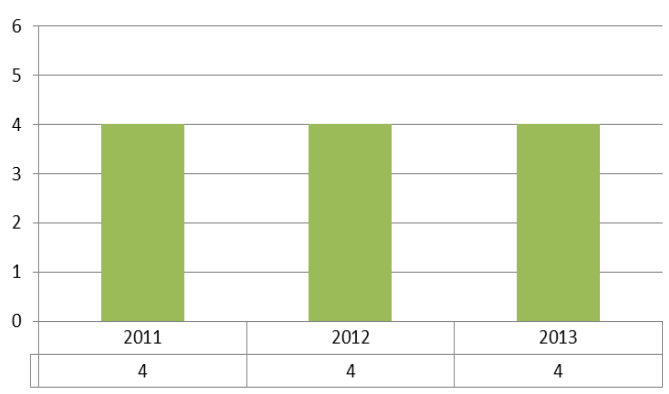
Moreover, this is a minor deviation from a very ambitious target. There is no obligation for the DGs or EAs to use the BCM self-assessment tool. SG has encouraged them to use the tool, but the final responsibility for using it lies with DGs and EAs. 2) Following the experience accumulated, probably 90% would be a more realistic target.

SG prepared a revised and more user-friendly BCM self-assessment tool that has been made available to all DGs and EAs as of January 2014. SG also provides dedicated training.

Number of C3M (Community Capacity in Crisis Management) inter-service meetings

(Source: SG)

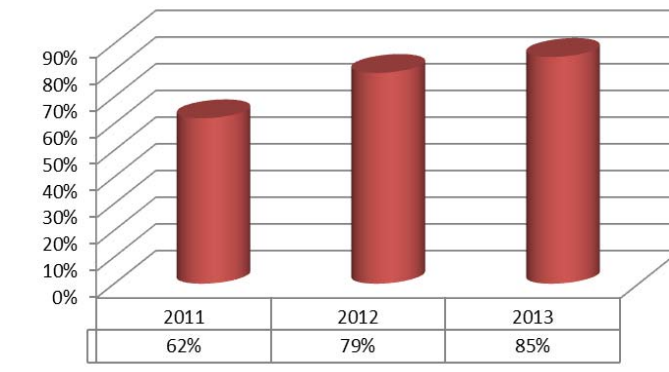
16 (2013)



Fast response (within max. 60 min.) from the Duty Officers

(Source: SG)

80% (2013)

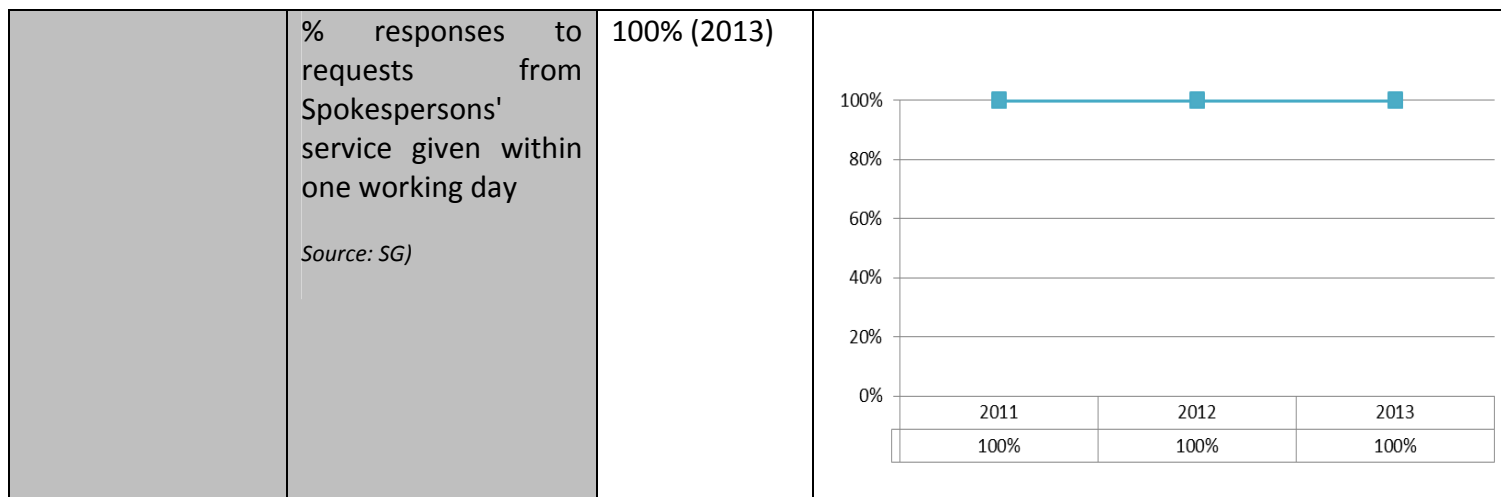


Main outputs in 2013

- *Negotiation and implementation of EC-EEAS joint proposal for the Solidarity Clause (art 222 of the Treaty): The draft compromise text on the EC-EEAS joint proposal for the Solidarity Clause (art. 222 of the Treaty) has been drafted.*
- *Update and successful operation of the ARGUS IT tool; development and introduction of Integrated situational awareness and analysis (ISAA); revised Crisis Coordination Arrangements (CCA): The New Integrated Political Crisis Response Arrangements (IPCR) have been approved.*
- *Establishment and operation of the Central EUCI Registry for the management of classified information: Both the establishment and operation have been executed.*

1.1.8 ABB activity Coordination within the Commission: 'Foster the highest ethical standards of service in order to encourage ethical conduct and accountability'

Specific objective	Result indicator	Target	Current situation						
SO8: Foster the highest ethical standards of service in order to encourage ethical conduct and accountability.	<p>Percentage of answers to requests from Commissioners and their Cabinets on the implementation of the Code of Conduct for Commissioners replied within 5 working days</p> <p><i>Source: SG)</i></p>	95% (2013)	<table border="1"> <thead> <tr> <th>Year</th> <th>Percentage</th> </tr> </thead> <tbody> <tr> <td>2012</td> <td>90%</td> </tr> <tr> <td>2013</td> <td>100%</td> </tr> </tbody> </table>	Year	Percentage	2012	90%	2013	100%
	Year	Percentage							
2012	90%								
2013	100%								
<p>Percentage of appeals dealt with within the given deadline (one month)</p> <p>(EU citizens can introduce complaints concerning the breach of the Code of good administrative behaviour. If they are not satisfied with the answer by the Commission, they can appeal to the Secretary General for a new resolution.)</p> <p><i>Source: SG)</i></p>	100% (2013)	<table border="1"> <thead> <tr> <th>Year</th> <th>Percentage</th> </tr> </thead> <tbody> <tr> <td>2012</td> <td>100%</td> </tr> <tr> <td>2013</td> <td>100%</td> </tr> </tbody> </table>	Year	Percentage	2012	100%	2013	100%	
Year	Percentage								
2012	100%								
2013	100%								



Main outputs in 2013

- *Update of a list of frequently-asked questions and answers on issues related to ethical matters, especially concerning the implementation of the code of conduct for Commissioners: the first draft has been finalized.*
- *Annual update of the declarations of interests of Commissioners*
- *Organisation and secretariat of 'clearing house' meetings: the 6 meetings planned for 2013 were organised.*
- *Timely transmission of information to the services and Commissioners concerned in the framework of the Memorandum of Understanding between OLAF and the Commission.*

1.1.9 ABB activity Better regulation and institutional development: 'Entry into force of the Statute for European political parties and foundations in time for the European elections'

ABB Activity: Better regulation and institutional development <input checked="" type="checkbox"/> Non-spending			
Specific objective	Result indicator	Target	Current situation
SO9: Entry into force of the Statute for European political parties and foundations in time for the European elections	Implementation rate of the Statute for European political parties and foundations <i>(Source: SG)</i>	100% (2014)	Statute approved by the EP constitutional affairs committee on 18 March 2014. EP plenary vote expected in April 2014.
Main outputs in 2013			
<ul style="list-style-type: none"> ▪ <i>Effective mediation between the European Parliament and Council</i> 			

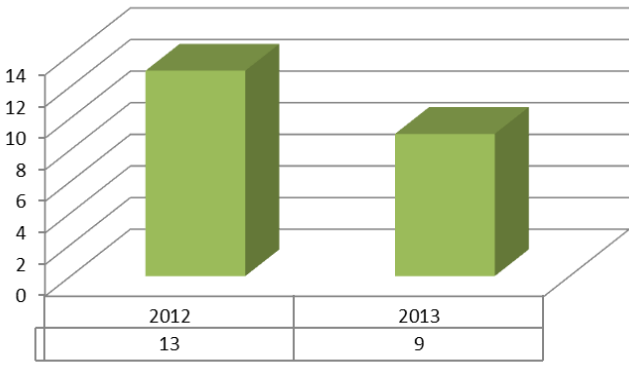
1.1.10 ABB activity Better regulation and institutional development: 'Enable European citizens to call directly on the European Commission through "citizens' initiatives" to bring forward legislative proposals of interest to them in an area of EU competence'

ABB Activity: Better regulation and institutional development			☒ Non-spending				
Specific objective	Result indicator	Target	Current situation				
SO10: Enable European citizens to call directly on the European Commission through "citizens' initiatives" to bring forward legislative proposals of interest to them in an area of EU competence	Percentage of updates to the framework for the management of citizens' initiatives made within 3 months after developments are decided (IT tools, procedures and guidance) <i>(Source: SG)</i>	100% (2013)	<table border="1" style="margin-left: auto; margin-right: auto;"> <tr> <td>2012</td> <td>2013</td> </tr> <tr> <td>100%</td> <td>100%</td> </tr> </table>	2012	2013	100%	100%
	2012	2013					
	100%	100%					
Percentage of citizens' initiatives registration requests answered within the legally foreseen 2-month period <i>(Source: SG)</i>	100% (2013)	<table border="1" style="margin-left: auto; margin-right: auto;"> <tr> <td>2012</td> <td>2013</td> </tr> <tr> <td>100%</td> <td>100%</td> </tr> </table>	2012	2013	100%	100%	
2012	2013						
100%	100%						
Percentage of answers by the Commission to submitted initiatives within 3 months <i>(Source: SG)</i>	100% (2013)	2012: N/A 2013: N/A - the first initiative was submitted on 20 December 2013)					

Number of citizens' initiatives registered

(Source: SG)

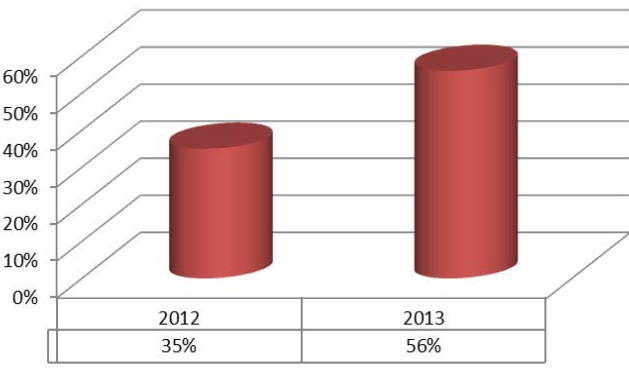
> 0 (2013)



Percentage of citizens' initiatives requests for registration refused

(Source: SG)

< 20 % (2013)

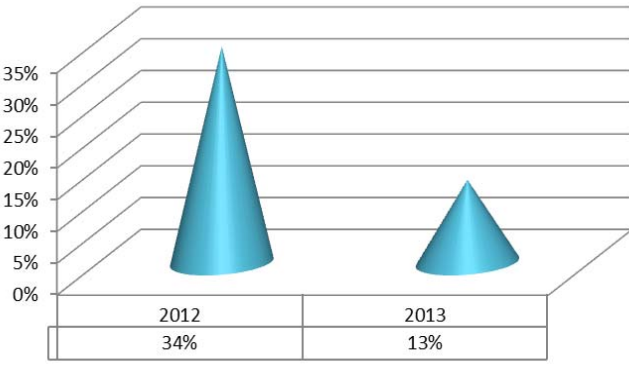


The relatively high percentage of rejected initiatives is possibly due to a lack of awareness or understanding among citizens as regards the legal criteria for registration, as set out in the ECI Regulation, and the Commission's powers, despite the provision of extensive explanatory material. The reason for refusal was in all cases the fact that the proposed initiative fell manifestly outside the Commission's powers. (A revision of the guide on citizens' initiatives is planned in 2014.)

Percentage of citizens' queries escalated to the SG back office by Europe Direct Contact Centre

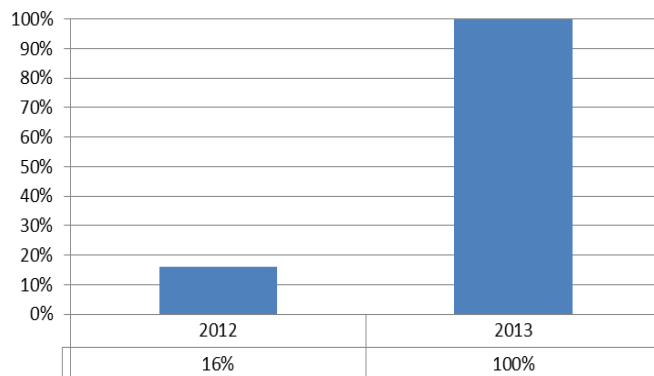
(Source: SG)

< 30% (2013)



Percentage of registered initiatives capable of collecting online

100% of those who wish to collect on line and which fulfil the basic certification criteria, in 2013



Main outputs in 2013

- *Practicalities for the organisation of public hearings on submitted initiatives defined between Commission and EP -> still ongoing (first hearing on 17 February 2014)*
- *Updates of the software for online collection and of the website and register for the European citizens' initiative including improvements in the administration interface identified in 2012 and update resulting from Annex III modifications -> delivered*
- *Improved coordination with Member States' authorities on the implementation of the Regulation via expert group meetings and CIRCABC -> delivered (guidelines to Member States authorities finalised on 15 April 2013 and published on the ECI website)*
- *Hosting of the online collection systems of the first initiatives and definition of the exceptional procedure concerning the statements of support for the first 12 initiatives Internal -> delivered (exceptional procedure concerning the statements of support for the first 12 initiatives defined and implemented for the first initiative concerned between September and December 2013)*
- *Guidelines on how to answer submitted initiatives -> ongoing*
- *Call of interest for finding hosting companies willing to host online collecting systems for a reasonable price in order to find a long term solution for the online collection of statements of support -> cancelled*
- *Annex III update by adoption of delegated act: need to respond to the requests from the Member States and to accession of Croatia -> delivered (July 2013)*

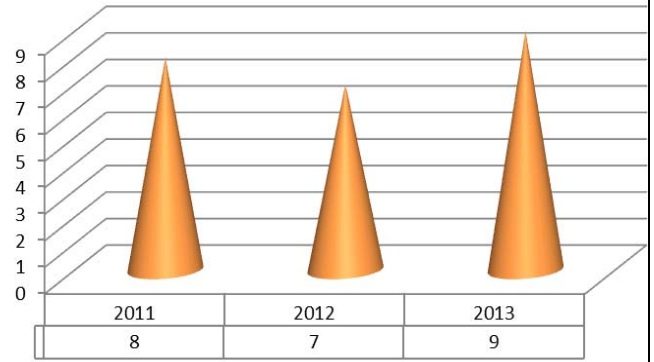
1.1.11 ABB activity Better regulation and institutional development: 'Ensure that the Commission exercises fully the powers it was entrusted with by the Treaty rules on delegated acts (art. 290 TFEU) and implementing acts (art. 291 TFEU)'

ABB Activity: Better regulation and institutional development			☒ Non-spending						
Specific objective	Result indicator	Target	Current situation						
SO11: Ensure that the Commission exercises fully the powers it was entrusted with by the Treaty rules on delegated acts (art. 290 TFEU) and implementing acts (art. 291 TFEU).	Percentage of proposals related to the alignment of legislation delivered, in accordance with the indicative calendar forwarded to the EP <i>(Source: SG)</i>	80% (2013)	<table border="1"> <tr> <td>2011</td> <td>2012</td> <td>2013</td> </tr> <tr> <td>13%</td> <td>30%</td> <td>80%</td> </tr> </table>	2011	2012	2013	13%	30%	80%
	2011	2012	2013						
13%	30%	80%							
Percentage of identified acts which refer to the regulatory procedure with scrutiny that are aligned <i>(Source: SG)</i>	100% of concerned acts aligned by 2014		<table border="1"> <tr> <td>2012</td> <td>2013</td> </tr> <tr> <td>0%</td> <td>97%</td> </tr> </table>	2012	2013	0%	97%		
2012	2013								
0%	97%								

Number of referrals to the appeal committee

(Source: SG)

≤ 10 cases of referral to the appeal Committee in 2013



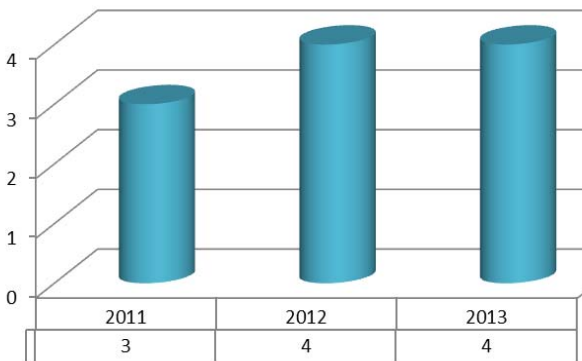
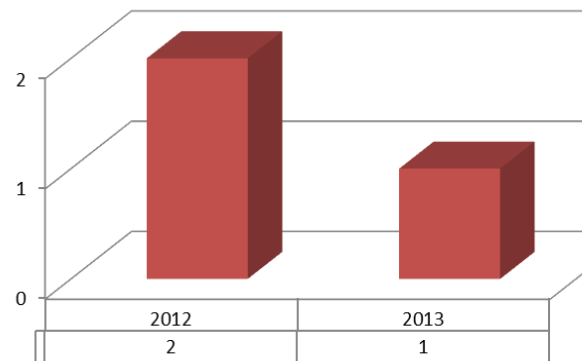
Main outputs in 2013

- *Proposals tabled under alignment to Article 290 TFEU (basic acts which were not adapted to the regulatory procedure with scrutiny before the entry into force of the Lisbon Treaty)*
- *Proposal concerning alignment of basic acts which were adapted to the regulatory procedure with scrutiny*

1.1.12 ABB activity Better regulation and institutional development: 'Ensure good functioning of the regulatory agencies system'

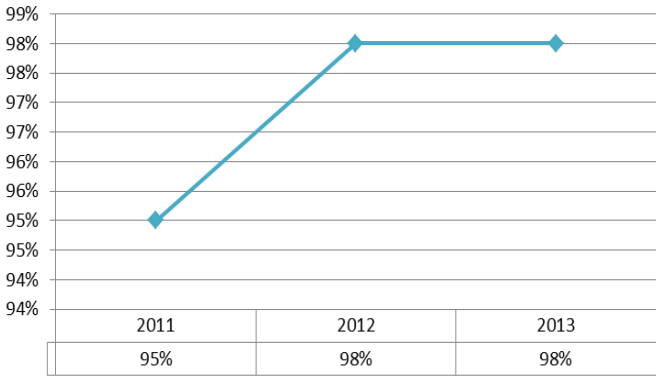
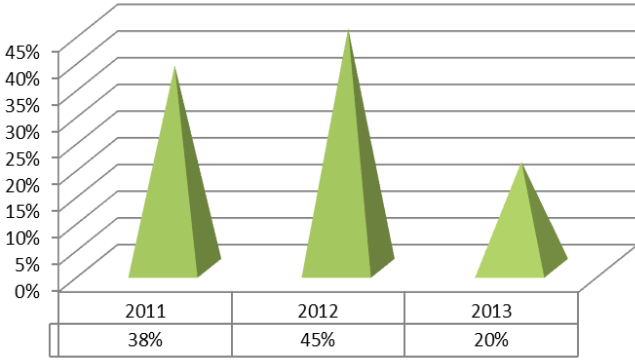
ABB Activity: Better regulation and institutional development ☒ Non-spending							
Specific objective	Result indicator	Target	Current situation				
SO12: Ensure good functioning of the regulatory agencies system	Implementation rate of the Common Approach on EU decentralised agencies <i>(Source: SG)</i>	100% (2014)	<table border="1" style="margin-left: auto; margin-right: auto;"> <tr> <td>2012</td> <td>2013</td> </tr> <tr> <td>0%</td> <td>50%</td> </tr> </table>	2012	2013	0%	50%
2012	2013						
0%	50%						
Main outputs in 2013							
<ul style="list-style-type: none"> ▪ <i>Report on the implementation of the Common Approach on EU decentralised agencies: completed</i> ▪ <i>Proposals for revision of agencies' founding acts, to take into account the Common Approach: on track</i> ▪ <i>Actions foreseen by the roadmap on the follow-up to the Common Approach (i.e. guidelines on the prevention and management of conflicts of interest; guidelines with standard provisions for headquarters agreement; guidelines for regular evaluations; template for the Annual Work Programme; ABB/ABM guidelines): advanced (most of the actions foreseen by the roadmap for 2013 were completed, including 3 of the 5 actions mentioned here, i.e. guidelines on the prevention and management of conflicts of interest; guidelines with standard provisions for headquarters agreement; ABB/ABM guidelines)</i> 							

1.1.13 ABB activity Better regulation and institutional development: 'Establish and develop Commission's external representation institutional/procedural framework'

ABB Activity: Better regulation and institutional development ☒ Non-spending									
Specific objective	Result indicator	Target	Current situation						
SO13: Establish and develop Commission's external representation institutional/procedural framework	Number of GICE meetings <i>(Source: SG)</i>	3-4 (2013)	 <table border="1" data-bbox="909 952 1492 1019"> <tr> <td>2011</td> <td>2012</td> <td>2013</td> </tr> <tr> <td>3</td> <td>4</td> <td>4</td> </tr> </table>	2011	2012	2013	3	4	4
	2011	2012	2013						
3	4	4							
Number of Interservice Group on External Relations <i>(Source: SG)</i>	6 (2013)	 <table border="1" data-bbox="909 1444 1492 1512"> <tr> <td>2012</td> <td>2013</td> </tr> <tr> <td>2</td> <td>1</td> </tr> </table> <p>It was decided to suspend the work of this group because the limited number of agenda items did not justify mobilising the people and resources. Instead, it was decided that those issues requiring discussion could be handled in the GICE ('<i>groupe interservice compétences externes</i>').</p>	2012	2013	2	1			
2012	2013								
2	1								
Main outputs in 2013									
<ul style="list-style-type: none"> ▪ <i>GICE coordinators network operational</i> ▪ <i>Contribution to orientation debate on external representation</i> 									

- *Enhanced attention for external representation issues in the GRI*
- *Network of Commission representatives in Council working groups, 2 meetings in 2012*

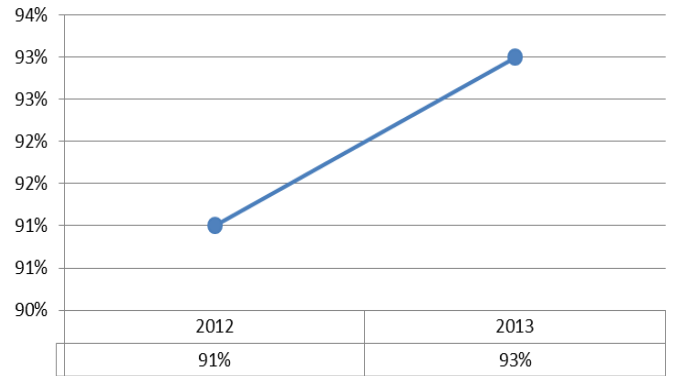
1.1.14 ABB activity Better regulation and institutional development: Improve the effectiveness and efficiency of EU regulation by applying smart regulation instruments throughout the legislative cycle'

ABB Activity: Better regulation and institutional development			☒ Non-spending								
Specific objective	Result indicator	Target	Current situation								
SO14: Improve the effectiveness and efficiency of EU regulation by applying smart regulation instruments throughout the legislative cycle	Percentage of impact assessments carried out for initiatives with impact assessment requirement <i>(Source: SG)</i>	98% (2013)	 <table border="1" data-bbox="919 958 1532 1025"> <thead> <tr> <th>Year</th> <th>2011</th> <th>2012</th> <th>2013</th> </tr> </thead> <tbody> <tr> <td>Percentage</td> <td>95%</td> <td>98%</td> <td>98%</td> </tr> </tbody> </table>	Year	2011	2012	2013	Percentage	95%	98%	98%
	Year	2011	2012	2013							
Percentage	95%	98%	98%								
Percentage of substantial Impact Assessment Board recommendations accepted when launching the inter-service consultation <i>(Source: SG)</i>	50% (2013)	 <table border="1" data-bbox="954 1451 1487 1518"> <thead> <tr> <th>Year</th> <th>2011</th> <th>2012</th> <th>2013</th> </tr> </thead> <tbody> <tr> <td>Percentage</td> <td>38%</td> <td>45%</td> <td>20%</td> </tr> </tbody> </table> <p>Reasons for the 2013 performance include the time pressure to adopt proposals before the recess of the European Parliament and the Commission's end of mandate. The appreciation of what represents a 'substantial' acceptance of the IAB recommendations includes a degree of subjectivity. Overall, 81% of 2013 IAs were revised to a certain extent following IAB recommendations.</p>	Year	2011	2012	2013	Percentage	38%	45%	20%	
Year	2011	2012	2013								
Percentage	38%	45%	20%								

Percentage of public consultations on YOUR VOICE respecting the 12 week delay requirement

(Source: SG)

95% (2013)

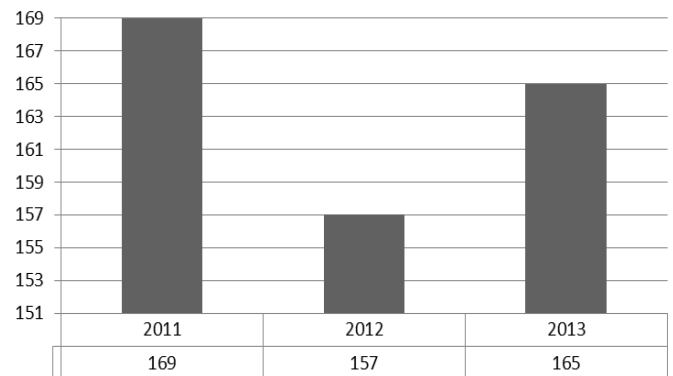


8 of the 104 public consultations that ended in 2013 were DG COMP State Aid cases, which do not fall under the 12 weeks rule due to the two-stage consultation approach of DG COMP. SG is now following a more proactive approach and very closely monitors newly published consultations and notifies DGs if discrepancies exist in terms of the required length of the consultation period.

Average time taken for files to be assessed in EU Pilot

(Source: SG)

141 days (10%) (2013)

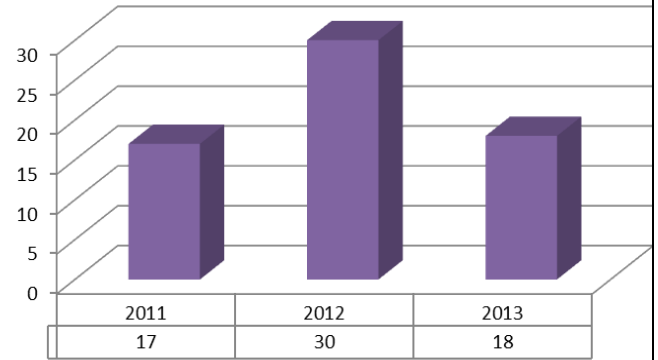


The SG is not directly responsible for the result or the target – these are dependant on each DG. The slight increase in the average Commission service assessment time (169 days on 31/12/2011, 157 days in October 2012 and 165 days on 31 December 2013) is due to the significant increase in the number of new files submitted (in 2011: 1201 files, in 2012: 1405 ↑ files and in 2013: 1502 ↑ files). One factor influencing the increase in the quantity of EU Pilot files is the fact that 5 Member States joined the database in the last 3 years. The majority of new Member States partners requested the use of their national languages, consequently leading to 16 languages in use.

Number of evaluations of legislative acts

(Source: SG)

35 (2013)



SG reports on regulatory evaluations finalised in 2013, while the target was set based on evaluations planned to kick off in 2013 evaluations. The difference between the target of 35 regulatory evaluations and 18 finalised at the point of reporting is the fact that the evaluations have not been finalised yet and some might have been postponed.

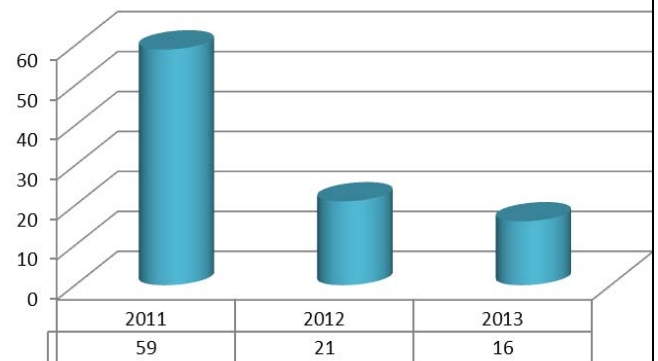
However, 18 finalised is an estimation based on information at hand, the exact number will be known only once the AAR arrived.

Similarly, the number of ongoing evaluations will be known only once all evaluation plans are aggregated (the planning reflects ongoing evaluations) in the course of 2014. The final number will be higher than the indicated 18.

Number of Impact Assessments backed by ex-post evaluation results

(Source: SG)

25 (2013)



Not all impact assessments carried out in 2013 accompanied revisions of existing legislation. For new initiatives, such as some of the proposals responding to financial crisis challenges, it is normal that the impact assessment was not

			backed by post evaluation results. In the future, this indicator should be changed to reflect the performance with regard to the objective, e.g. the percentage of proposals revising existing legislation that were preceded by an evaluation.								
	Number of Commission simplification proposals planned/adopted <i>(Source: SG)</i>	15 (2013)	<table border="1"> <thead> <tr> <th>Year</th> <th>Number of Proposals</th> </tr> </thead> <tbody> <tr> <td>2011</td> <td>13</td> </tr> <tr> <td>2012</td> <td>8</td> </tr> <tr> <td>2013</td> <td>15</td> </tr> </tbody> </table>	Year	Number of Proposals	2011	13	2012	8	2013	15
Year	Number of Proposals										
2011	13										
2012	8										
2013	15										

Main outputs in 2013

- *Impact Assessment Board (IAB) annual report - Done*
- *111 impact assessments examined and opinions issued by the IAB secretariat*
- *Screening and publication of around 140 roadmaps*
- *Regulatory Fitness and Performance Programme (ReFit) launched including a follow-up (ABRPlus) of Member States implementation of the measures approved by the co-legislators under the Programme for the Reduction of Administrative Burden: Staff working document SWD(2013)401 published on 1 August 2013. Communication COM(2013)685 adopted on 2 October 2013.*
- *Report on the "Top Ten" + Scoreboard on implementation of EU legislation in the SMEs and micros programme for the Spring European Council: COM(2013)122 and SWD(2013)60.*
- *Regulatory Burden Reduction and Simplification Annex to CWP 2014: Delivered.*
- *Evaluation report on the finances of the Union under Article 318 TFEU: COM(2013)461*
- *Communication to the Commission on the new Evaluation Framework: COM(2013)686*
- *Operational Guidance on the follow-up on the Communication on EU Regulatory Fitness: Delivered.*
- *Publication of a rolling calendar of planned public consultations on your voice in Europe*
- *Guidance on compliance checks of national legislation – submitted to SG hierarchy*
- *Annual Report on the application of EU Law - done*
- *Organization of High Level Groups (HLG) meetings: HLG Better Regulation, HLG Administrative Burden Reduction ("Stoiber Group"): All meetings organised*

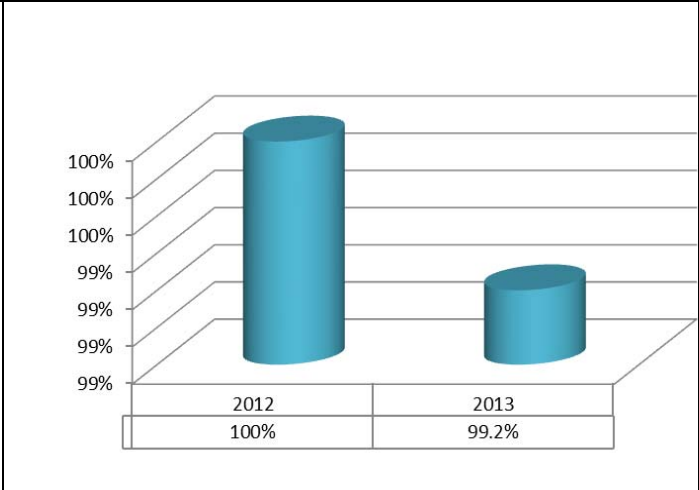
1.1.15 ABB activity Co-ordination and relations with other institutions: Ensure that Commission's priorities go smoothly through the inter-institutional decision-making by preparing the Commission's participation in the inter-institutional meetings, strengthening negotiation position, as well as ensuring proper follow-up'

ABB Activity: Co-ordination and relations with other institutions ☒ Non-spending							
Specific objective	Result indicator	Target	Current situation				
SO15: Ensure that Commission's priorities go smoothly through the inter-institutional decision-making by preparing the Commission's participation in the inter-institutional meetings, strengthening negotiation position, as well as ensuring proper follow-up	Percentage of timely and well prepared Commission interventions in Council to promote priorities and/or to anticipate and/or address potential difficulties <i>(Source: SG)</i>	100% (2013)	<table border="1"> <tr> <td>2012</td> <td>2013</td> </tr> <tr> <td>100%</td> <td>100%</td> </tr> </table>	2012	2013	100%	100%
	2012	2013					
100%	100%						
Percentage of formal Council, EP and trilogue meetings covered by (flash/note) reports <i>(Source: SG)</i>	100% (2013)	<table border="1"> <tr> <td>2012</td> <td>2013</td> </tr> <tr> <td>100%</td> <td>100%</td> </tr> </table>	2012	2013	100%	100%	
2012	2013						
100%	100%						

Percentage of proposals adopted in 1st and 2nd reading (for OLP/co-decision) covered by SG

(Source: SG)

100% (2013)

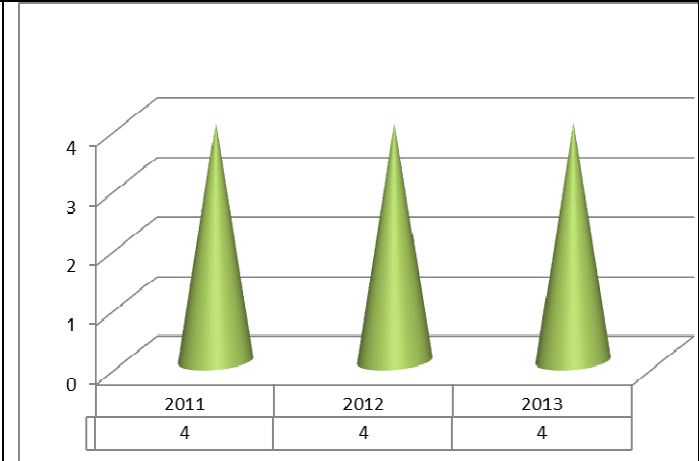


1 file out of 120 going into conciliation: MFA to Georgia, due to persistent political disagreements between co-legislators.

Number of high level strategic planning meetings with presidencies

(Source: SG)

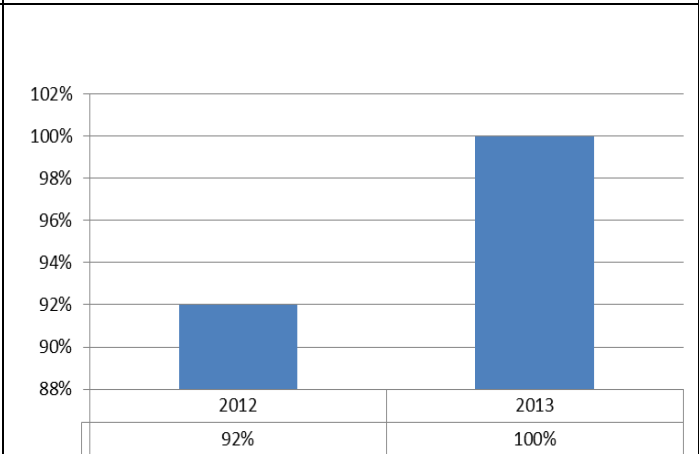
4 (2013)



Percentage of files on which internal agreement in the Commission is reached through pre-GRI/ GRI (Groupe Relations interinstitutionnelles) /HEBDO mechanisms, allowing the College to concentrate on politically sensitive issues

(Source: SG)

≥ 98% (2013)



Number of cases when clashes occurred between

0 (2013)

2011-2013: 0

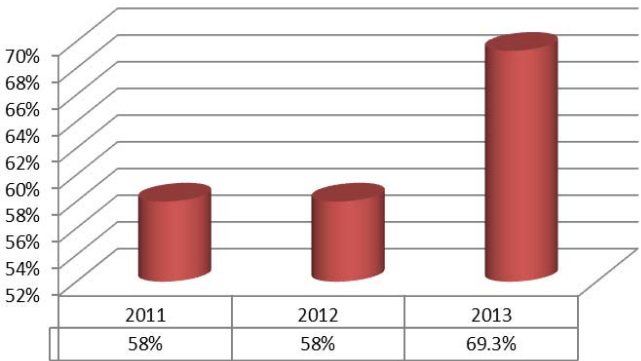
the Commission and the other institutions due to delayed preparation

(Source: SG)

Percentage of timely replies to written parliamentary questions received by the Commission

(Source: SG)

≥ 70% of replies to written parliamentary questions transmitted on time (2013)

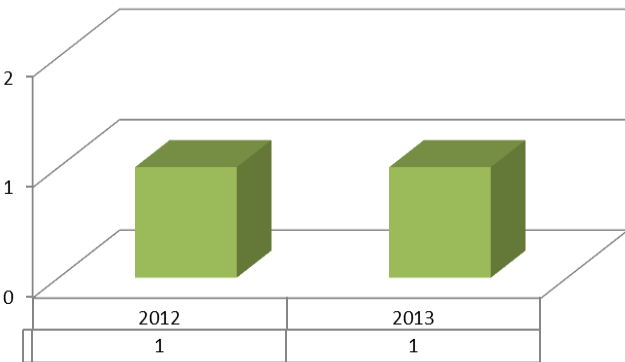


The 0.7% deviation from the target lies within the statistical error margin for questions straddling the end of year (received end 2012 reaching into 2013 and received end 2013 reaching into 2014). It is also worth noting that there has been a 20% increase in the overall number of parliamentary questions compared to 2012.

Number of yellow cards triggered in the context of Protocol 2-mechanism

(Source: SG)

≤ 2 (2013)



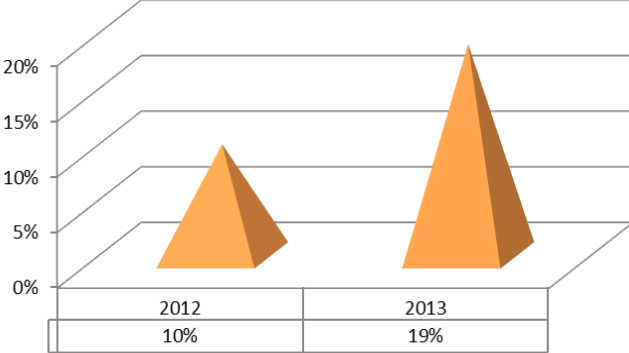
Number of reasoned opinions received in the context of Protocol 2-mechanism

(Source: SG)

< 10% of the overall number of opinions (2013)

14% (2013)

The increase in the number of reasoned opinions is due to the national parliaments having become increasingly acquainted with the reasoned opinion as an instrument and more communication taking place between national parliaments around the triggering of yellow card procedures. In 2013, the Commission had a number of proposals that triggered a higher number of reasoned opinions

			than the average, and there has been a second yellow card procedure. Furthermore, the number of political dialogue opinions decreased, which also has an impact on the percentage.
	<p>Percentage of NP opinions for which proper follow-up was given timely</p> <p>(Source: SG)</p>	<p>At least 50% of the opinions should be replied within the self-imposed deadlines (2013)</p>	 <p>Serious bottlenecks in the procedure have caused considerable delays in a large number of files. It has been one of the primary targets in 2013 to address the problems with the Commission's respect of the deadline. In order to shorten the handling time for the files, a new shorter and more efficient procedure was prepared to be introduced as of 3 January 2014.</p>

Main outputs in 2013

- *Updated vademecum on relations with the Committee of the Regions and the European Economic and Social Committee following the update of the two Protocols of cooperation. Both internal vademecum were transformed into uploaded contribution to GoPro pages. The revised vademecum has been finalised and will be published in early 2014*
- *Implementation of the revised Vademecum on the External Action of the EU and the Working arrangements with the EEAS.*
- *Stronger focus of GRI on Council activities*
- *All CRP I files (ca. 75 files under Irish and Lithuanian presidencies of the Council) covered by GRI including all statements made (on 62 files) in CRP and Council.*
- *Continuation of modernised Ariane IV trainings on inter-institutional relations*
- *Intensified contacts with incoming Council Presidencies*
- *At least four meetings to prepare the Lithuanian presidency, six meetings to prepare the Greek presidency and one common Lithuanian/Greek presidency stocktaking meeting following the adoption of the Commission work programme for 2014 for ongoing and future initiatives.*

- *Strengthened cooperation with services on trilogues*
- *All CRP I files in trilogues (including technical meetings on MFF sectoral proposals) covered (and input including preparation on the files).*
- *Vademecum on relations with the European Parliament*
- *Preparation of the Question Hour with President Barroso in the European Parliament, when he gives no other major policy speech during the plenary session*
- *Providing the Commission's input to the review of the current format of Question Time with Commissioners and launch of the new format. Ensuring the smooth representation of the Commission at Question Time*
- *Smooth and timely running of the authorisation procedure for requests for MEPs' participation at international conferences, including negotiation sessions*
- *Annual list of international conferences and meetings, based on input from Commission services and the EEAS, sent to the European Parliament by the end of September 2013*
- *Enhancing awareness raising within the Commission with a view to improving the quality of subsidiarity justifications in the explanatory memoranda*
- *Under the umbrella of "legislative lifecycle" IT rationalisation, consolidation of the access and search facilities made available for all Commission staff about the progresses of the inter-institutional procedures (extended Vista)*
- *Continued awareness raising within the Commission with a view to ensuring the correct implementation of Protocol 2 on the application of the principles of subsidiarity and proportionality;*
- *Implementation of enhanced political dialogue with national parliaments in the context of the European Semester;*

1.1.16 ABB activity Co-ordination and relations with other institutions: 'Foster inter-institutional support for and ultimately adoption of the proposals for the next Multiannual Financial Framework'

ABB Activity: Co-ordination and relations with other institutions ☒ Non-spending									
Specific objective	Result indicator	Target	Current situation						
SO16: Foster inter-institutional support for and ultimately adoption of the proposals for the next Multiannual Financial Framework	Time necessary to reach a consensus on the next MFF based on the Commission's proposals <i>(Source: SG)</i>	18 months (2013)	<table border="1"> <thead> <tr> <th>MFF</th> <th>Months</th> </tr> </thead> <tbody> <tr> <td>MFF 2007-2013</td> <td>22</td> </tr> <tr> <td>MFF 2014-2020</td> <td>29</td> </tr> </tbody> </table> <p>The target of 18 months from proposal to final adoption was not reached because of the time taken first by the Council and the European Council to reach agreement among Member States and, second, by the Council and the European Parliament to reach agreement between the institutions. No realistic additional measures could have been taken to shorten the time taken to complete this essentially political process, which was ultimately outside the direct control of the Commission and the Secretariat General.</p>	MFF	Months	MFF 2007-2013	22	MFF 2014-2020	29
	MFF	Months							
MFF 2007-2013	22								
MFF 2014-2020	29								
Percentage of the annual EU budget allocated to sustainable growth <i>(Source: DG Budget)</i>	≥ 45% (2013)	<p>46.8% as voted in the 2013 annual budget.</p> <p>44.9% as voted in the 2014 annual budget.</p> <p>As the achievement is outside the control of the Secretariat-General, this indicator has been removed from the management plan as of 2014.</p>							
Main outputs in 2013									
<ul style="list-style-type: none"> Political agreement on the MFF 2014-2020 at the level of the Council was reached at the meeting of the European Council on 7-8 February 2013. Organisation of 'Article 324' TFEU meetings between the Commission President, President of the European 									

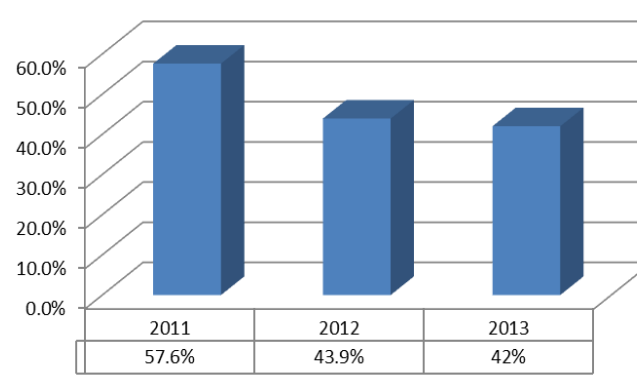
Parliament, presidency of the Council to facilitate political agreement.

- *Interinstitutional political agreement on the 2014-2020 MFF was reached in June 2013 after trilogues process with the European Parliament and the Irish presidency of the Council.*
- *Provision of budgetary breakdown of the MFF agreement by heading and programme in July 2013.*
- *MFF Regulation was adopted on 2 December 2013*
- *Finalisation of the Inter-institutional Agreement on budgetary cooperation and sound financial management: adopted on 2 December 2013*
- *Approval of all legislative proposals presented by the Commission as part of the next Multiannual Financial Framework: most of the sectoral legislative proposals were agreed and adopted by the Council and European Parliament by the end of 2013*
- *Preparatory measures for the new generation of programmes (delegated and implementing acts; externalisation to executive agencies; implementation of the new financial instruments, etc.). Work started on the preparation of the necessary delegated acts and implementing acts for the sectoral programmes and instruments. A Communication on the delegation of the management of the 2014-2020 programmes to executive agencies was adopted on 18 September 2013 and was followed by the adoption of the relevant Commission implementing decisions in December 2013.*

1.1.17 ABB activity Relations with Civil Society, Openness and Information: 'Ensure transparency in relation with stakeholders by encouraging interest representatives to register in the transparency register'

ABB Activity: Relations with Civil Society, Openness and Information			☒ Non-spending				
Specific objective	Result indicator	Target	Current situation				
SO17: Ensure transparency in relation with stakeholders by encouraging interest representatives to register in the Transparency register	Coverage of the joint European Parliament – Commission Transparency register (in relation with target groups) <i>(Source: SG)</i>	6000 entities (2013)	<table border="1" style="margin-left: auto; margin-right: auto;"> <tr> <td>2012</td> <td>2013</td> </tr> <tr> <td>5400</td> <td>6000</td> </tr> </table>	2012	2013	5400	6000
2012	2013						
5400	6000						
Main outputs in 2013							
<ul style="list-style-type: none"> ▪ <i>Annual report and review of the joint EP – Commission Transparency register</i> ▪ <i>Internal and external information and communications on the transparency register</i> 							

1.1.18 ABB activity Relations with Civil Society, Openness and Information: 'Facilitate the public access to Commission documents and historical archives with a view to increasing transparency'

ABB Activity: Relations with Civil Society, Openness and Information ☒ Non-spending											
Specific objective	Result indicator	Target	Current situation								
SO18: Facilitate the public access to Commission documents and historical archives with a view to increasing transparency	Rate of SG confirmative decisions reversing initial DG's replies to requests of access to documents. This indicator reflects in part the improving quality of the initial answers prepared by DGs <i>(Source: SG)</i>	< 34% (medium term)	 <table border="1" data-bbox="957 940 1484 1030"> <thead> <tr> <th>Year</th> <th>2011</th> <th>2012</th> <th>2013</th> </tr> </thead> <tbody> <tr> <td>Rate (%)</td> <td>57.6%</td> <td>43.9%</td> <td>42%</td> </tr> </tbody> </table> <p>The SG has abandoned this objective for the Management Plan 2014, because it is considered to be insufficiently relevant and largely beyond the control of the SG. Instead, the average time for dealing with confirmatory requests will be used.</p>	Year	2011	2012	2013	Rate (%)	57.6%	43.9%	42%
	Year	2011	2012	2013							
Rate (%)	57.6%	43.9%	42%								
Percentage of EU institutions and bodies that open their historical archives to the public after 30 years and make these available through the EU Historical Archives (European University Institute). <i>(Source: SG)</i>	100% of EU institutions and bodies (2040)	0% (2013)	As the achievement is outside the control of the Secretariat-General and indeed of the Commission, this indicator has been removed from the management plan as of 2014.								

Main outputs in 2013

- *Annual report on access to documents*
- *Improved working methods to speed up the handling of confirmatory applications*
- *Draft implementing rules for the amended Archives Regulation; agreement on co-funding of the EU institutions' payment for the Historical Archives of the EU; preparation of new Framework Partnership Agreement with the EUI, based on the amended Archives Regulation.*

1.1.19 ABB activity Support for the Commission and Protocol: 'Rationalise the Commission decision-making process in the context of the legislative lifecycle project, by streamlining and ensuring effectiveness of processes and procedures and developing further convergence of IT systems'

ABB Activity: Support for the Commission and Protocol ☒ Non-spending			
Specific objective	Result indicator	Target	Current situation
SO19: Rationalise the Commission decision-making process in the context of the legislative lifecycle project, by streamlining and ensuring effectiveness of processes and procedures and developing further convergence of IT systems	Implementation rate of an enlarged Vista, as compared to the set intermediary milestones <i>(Source: SG)</i>	100% migration of all relevant data of the historical collection of SG-Vista; first integration with Hermes and preparation of the enlargement to other applications (eg. CIS-Net) (2013)	N/A- Vision of the enlarged Vista under <u>complete revision</u> in the context of the "dorsale décisionnelle" project, as the "dorsale décisionnelle" will be built on core systems which include Vista.
	Degree of rationalisation of procedures linked to the legislative lifecycle <i>(Source: SG)</i>	100% rationalisation of the paper and electronic distribution by the Registry (2013)	N/A - Rationalisation of decision-making procedures launched in the context of the "dorsale décisionnelle" project. Rationalisation of the Registry's electronic distribution completed by mid-2013 Rationalisation of paper distribution validated by the SG senior management and announced to all DGs and cabinets in November 2013; decisions to be implemented in 2014
Main outputs in 2013			
<ul style="list-style-type: none"> ▪ <i>Development of an 'e-Greffe+', by increasing the convergence between relevant IT tools of the legislative lifecycle. By 2013, analysis and development of the first building blocks common to several applications.</i> <p><i>"Dorsale décisionnelle" project launched in July 2013; vision document approved in October.</i></p> <ul style="list-style-type: none"> ▪ <i>Two main releases of e-Greffe rationalising processes in the Registry, implementing measures identified in</i> 			

the security plan, developing e-signature, etc.

3 releases were done in February, July and August to introduce improvements to the business processes handled through the application. The developments for the implementation of the e-signature are done, but they have not yet been implemented due to the need to further investigate and clarify certain governance issues.

- *Further releases of Vista to enlarge its scope with the migration of historical data from SG-Vista and the integration of data from other applications of the legislative lifecycle (e.g. CIS-Net)*

As explained above, the vision for the enlargement of Vista is under complete revision in the context of the "dorsale décisionnelle" project. However, the historical migration of data from SG-Vista is progressing well.

- *New edition tool (Legiswrite II), available to users by 2014-2015. Proof of concept following the LEOS study to be delivered by mid-2013; vision document to be submitted before end 2013.*

The proofs of concept for the new LegisWeb were delivered in September 2013. The vision document will be delivered in 2014.

- *Regular verification of the relevance of the control check-lists for written and empowerment procedures, maintenance of the check-lists up-to-date and identification of eventual further needs.*

The full set of existing checklists was reviewed by mid-year. Following that revision, several were updated to take account of revised procedures and further needs for formalisation of controls. All the checklists are available to all staff of unit SG.A.3 to perform their daily tasks, plus others that business continuity might require, on the unit repository of procedures: DocA3pedia. Moreover, an additional need was identified and a checklist to help policy officers on procedural aspects when replying to an ISC was drafted (to be finalised in 2014).

1.1.20 ABB activity Support for the Commission and Protocol: 'Ensure access to coherent and regularly updated, general and targeted, information as well as specific guidance to users, in relation to the Commission decision-making process'

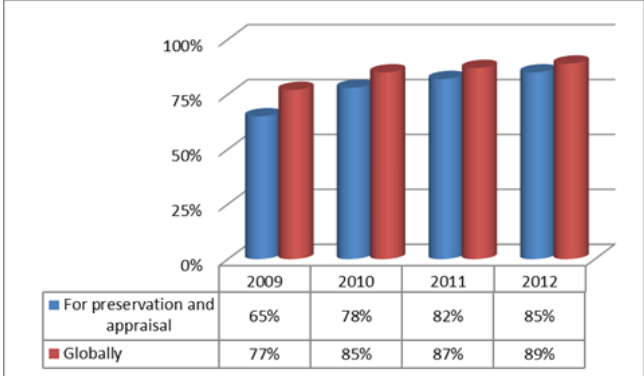
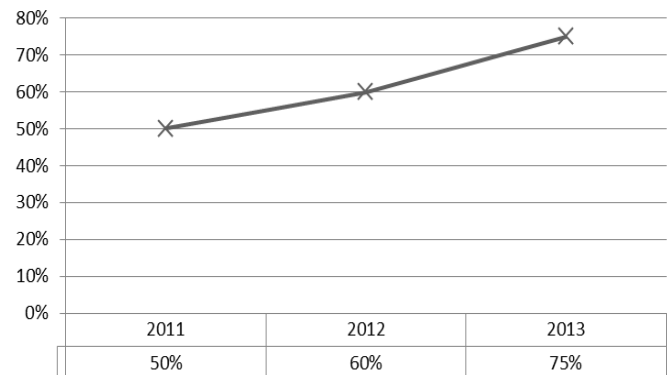
ABB Activity: Support for the Commission and Protocol ☒ Non-spending			
Specific objective	Result indicator	Target	Current situation
SO20: Ensure access to coherent and regularly updated, general and targeted, information as well as specific guidance to users, in relation to the Commission decision-making process	Percentage of corporate SG procedures that are documented, updated and user-friendly in the manual (guide) of procedures <i>(Source: SG)</i>	100% corporate procedures covered by the guide (2013)	53% of GoPro chapters drafted (38 chapters out of 72) The target that was set for the first time in 2012 has proven to be too ambitious compared to resources available and the difficulties encountered in dealing with the 'business owners'. In addition, the 'dorsale décisionnelle' project further reallocated resources towards this new priority away from GoPro.
Main outputs in 2013			
<p><i>The commitment of Directorate SG.A towards a renewed way of communicating within the SG was once more demonstrated with its active contribution to the 3rd Internal Communication week:</i></p> <ul style="list-style-type: none"> – <i>Directors' breakfast for staff with the Director of SG.A (19.09.2013),</i> – <i>workshop "La vie d'une procédure écrite: suivez les étapes et visitez les lieux impliqués" (19.09.2013)</i> <p><i>Directorate SG.A has also made use repeatedly of the SG and Commission internal magazines in order to reach a wider audience:</i></p> <ul style="list-style-type: none"> – <i>"Get procedures straight with GoPro" (Commission en Direct n° 01, February 2013)</i> – <i>"GoPro est né!" (SG Magazine n° 7, February 2013)</i> – <i>"DocA3pedia: espace collaboratif, espace de vie" (SG Magazine n° 8, April 2013)</i> – <i>"Dans les coulisses du SG: une équipe qui impressionne" (SG Magazine n° 9, June 2013)</i> ▪ <i>Easy access to consolidated, rationalised and up-to-date web pages dedicated to information on the decision-making process, with links to specialised contents, by mid-2013</i> <p><i>The implementation of this output has had to be revisited and rescheduled in the context of the SG.R.4 (now SG.F.5) project for revamping My SGnet.</i></p>			

- *Up-to-date, fully revamped, user-friendly procedural guide, delivered progressively in 2013.*

GoPro, the fully revamped and user-friendly guide for procedures, has been up and running since February 2013.

- *SG GREFFE INFO help desk transformed in SG HELP DESK PROCEDURES with extended scope of expertise: completed.*

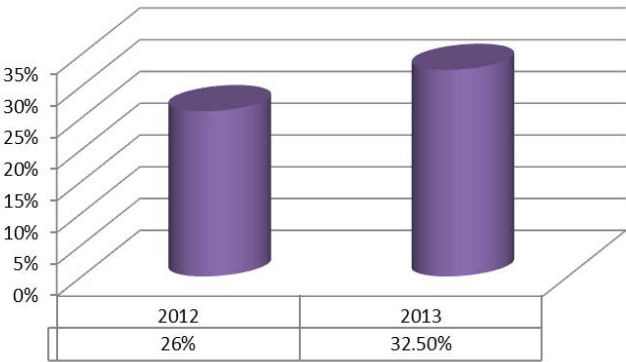
1.1.21 ABB activity Support for the Commission and Protocol: 'Achieve full implementation of Commission policy on electronic document management and archiving through monitoring, guidance and making available the necessary IT tools'

ABB Activity: Support for the Commission and Protocol			☒ Non-spending															
Specific objective	Result indicator	Target	Current situation															
SO21: Achieve full implementation of Commission policy on electronic document management and archiving through monitoring, guidance and making available the necessary IT tools	Rate of compliance with Commission policy (i) globally and (ii) regarding retention and transfer to the historical archives <i>(Source: SG)</i>	90% (i) and 90%(ii) (2013)	 <table border="1" data-bbox="903 853 1453 949"> <thead> <tr> <th></th> <th>2009</th> <th>2010</th> <th>2011</th> <th>2012</th> </tr> </thead> <tbody> <tr> <td>■ For preservation and appraisal</td> <td>65%</td> <td>78%</td> <td>82%</td> <td>85%</td> </tr> <tr> <td>■ Globally</td> <td>77%</td> <td>85%</td> <td>87%</td> <td>89%</td> </tr> </tbody> </table> <p>2013: No composite indicator exercise in 2013, therefore compliance rate unchanged from 2012. Replaced by 2013 review of document management at the European Commission</p>		2009	2010	2011	2012	■ For preservation and appraisal	65%	78%	82%	85%	■ Globally	77%	85%	87%	89%
		2009	2010	2011	2012													
■ For preservation and appraisal	65%	78%	82%	85%														
■ Globally	77%	85%	87%	89%														
Percentage of the document management and archives lifecycle covered by corporate IT tools <i>(Source: SG)</i>	100% of the document management and archives lifecycle covered by corporate IT tools (2015)		 <table border="1" data-bbox="919 1563 1533 1630"> <thead> <tr> <th></th> <th>2011</th> <th>2012</th> <th>2013</th> </tr> </thead> <tbody> <tr> <td></td> <td>50%</td> <td>60%</td> <td>75%</td> </tr> </tbody> </table>		2011	2012	2013		50%	60%	75%							
	2011	2012	2013															
	50%	60%	75%															

Percentage of IT systems in the document management domain that are integrated with Hermes-Ares-Nomcom or absorbed into Ares

(Source: SG)

80% of systems in the document management area should be integrated with Hermes and 7% stopped (2014)

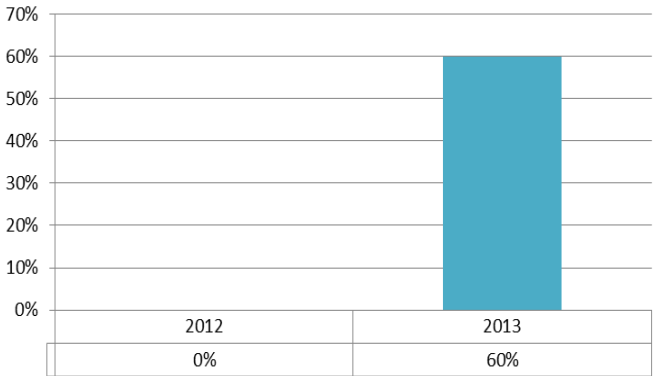


The 2014 target set by the document SEC(2011)1500 (80%) will most probably not be reached. The context of this situation is:

- In 2011, the integrations started with the easiest client applications
- In 2012, SG and DIGIT led a very active awareness campaign and went to business owners to convince them to integrate.
- In 2013, the priority was more on rationalising the tool and the procedures (internal workshops and peer review).
- The majority of the remaining systems are either complex ones (all the systems of the Dorsale such as ABAC, CRIS, ...) that need to rationalise their business processes first, or "end of life" systems which integration is not desired anymore.

Percentage of Commission studies finalised since 2010 deposited with the Publications Office

100% of studies finalised since 2010 deposited with the Publications Office by end 2013



2013 was the first year of implementation of the procedure and there was an important backlog of not yet deposited studies from 2010-2012. The indicator is an estimation (comparing the number

		<p>of studies deposited with the addition of the number of 2010-2012 inventoried studies + 80% of the number of studies planned in the AMP 2013) which probably undervalues the % of deposited studies, as the proportion of studies planned in 2013 that were not yet finalised at the end of the year is probably much more than 20% (some of the planned studies in the AMP 2013 will be released in 2014, 2015 or even later). The network of correspondents for studies in all DGs that was created in 2013 will address this issue.</p> <p>As the achievement depends critically on the activities of other Directorates-General, this indicator has been removed from the Management Plan as of 2014.</p>
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Main outputs in 2013

- *Development by DG DIGIT and roll-out of new releases of Hermes-Ares-Nomcom. Procurement procedures for Hermes Preservation Services (HPS) and Historical Archives Management Information System (HAMIS). DIGIT and SG collaborated closely on the successful implementation in October 2013 of the tools for managing intermediate archives (Hermes Preservation Services I.2), on the proof of concept for long-term digital preservation (HPS II/III) and on the business case for HPS II, which the Information Services Project Management Board endorsed in December.*
- *Implementation by DIGIT of External Repository Services and scalability improvements as well as other priority developments necessary to implement IT rationalisation in the "document management domain". Integrate / absorb a series of local IT systems. DIGIT and SG collaborated closely on the successful implementation in June 2013 of the new External Repository Services and in October 2013 of scalability improvements to facilitate IT rationalisation.*

1.1.22 ABB activity Support for the Commission and Protocol: 'Ensure that Commission's services respect the right to protection of personal data'

ABB Activity: Support for the Commission and Protocol ☒ Non-spending									
Specific objective	Result indicator	Target	Current situation						
SO22: Ensure that Commission's services respect the right to protection of personal data	Percentage of compliance with the data protection regulation for the inventory entries, within the deadline set by the European Data Protection Supervisor <i>(Source: SG)</i>	> 96% (2013)	<table border="1"> <tr> <td>2011</td> <td>2012</td> <td>2013</td> </tr> <tr> <td>96%</td> <td>95%</td> <td>96%</td> </tr> </table>	2011	2012	2013	96%	95%	96%
	2011	2012	2013						
	96%	95%	96%						
Number of complaints to the Data Protection Officer <i>(Source: SG)</i>	<10 (2013)	<table border="1"> <tr> <td>2011</td> <td>2012</td> <td>2013</td> </tr> <tr> <td>6</td> <td>4</td> <td>4</td> </tr> </table>	2011	2012	2013	6	4	4	
2011	2012	2013							
6	4	4							
Number of complaints to the EDPS <i>(Source: EDPS)</i>	<10 (2013)	<table border="1"> <tr> <td>2011</td> <td>2012</td> <td>2013</td> </tr> <tr> <td>2</td> <td>6</td> <td>2</td> </tr> </table>	2011	2012	2013	2	6	2	
2011	2012	2013							
2	6	2							

Main outputs in 2013

- *Contribution to the reform of the data protection legal framework initiated by DG JUST; a reflection was launched on how to anticipate entry into force of reform in the Commission's services*
- *Enhanced visibility and recognition of DPC function (actions with the EDPS and inside DGs)*
- *New IT system/revamped web site/comprehensive information notice for IT applications provided by DG DIGIT*
- *Systematic training for DPCs and controllers for a smooth migration to the new IT system*
- *Increased information /awareness among Commission staff through the general training (6 sessions/year) with an increased participation of the DPO or his assistant*
- *Development of a new short training covering only the general principles of the data protection regulation*

1.1.23 ABB activity Support for the Commission and Protocol: 'Provide the President, the College and DGs with protocol support and diplomatic assistance'

ABB Activity: Support for the Commission and Protocol ☒ Non-spending									
Specific objective	Result indicator	Target	Current situation						
SO23: Provide the President, the College and DGs with protocol support and diplomatic assistance	Number of diplomatic incidents and complaints from the College <i>(Source: SG)</i>	0 (2013)	<table border="1" style="margin-left: auto; margin-right: auto;"> <tr> <td>2011</td> <td>2012</td> <td>2013</td> </tr> <tr> <td>2</td> <td>0</td> <td>0</td> </tr> </table>	2011	2012	2013	2	0	0
2011	2012	2013							
2	0	0							
Main outputs in 2013									
<ul style="list-style-type: none"> ▪ <i>Number of preparatory visits; number of accompaniments: 52</i> ▪ <i>Number of Heads of State, Prime Ministers, etc. visits adequately managed: 438</i> ▪ <i>Assistance to DGs for international conferences and signatures of agreements : 52</i> ▪ <i>Seminars of the College and meetings with the EU Presidency: 13</i> ▪ <i>Management of official gifts offered/received : 232/19</i> ▪ <i>Number of accreditation procedures and ceremonies for presentation of credentials: 35/32</i> ▪ <i>Improvement of expertise on protocol (training, assistance, advice, etc.). : 6</i> 									

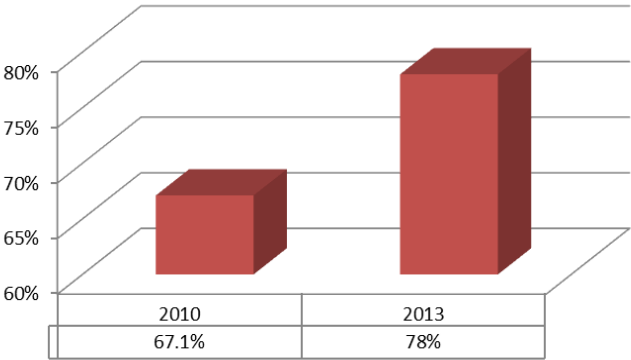
1.1.24 ABB activity Policy strategy and coordination and Administrative support: 'Rationalisation of the resources management within the SG'

ABB Activity: Policy strategy and coordination and Administrative support			☒ Non-spending															
Specific objective	Result indicator	Target	Current situation															
<p>SO24: SPECIFIC OBJECTIVE 24:</p> <p>Rationalisation of the resources management within the SG through:</p> <ul style="list-style-type: none"> -Forward planning and more effective management of human resources; - Wider and deeper internal communication activities; - The implementation of the new IT governance and the related rationalisation of Information Systems. 	<p>Number of posts given by SG for the internal redeployment Commission tax (in force as of 2012)</p> <p><i>(Source: SG)</i></p>	1% (2013)	<table border="1"> <thead> <tr> <th>Year</th> <th>Percentage</th> </tr> </thead> <tbody> <tr> <td>2012</td> <td>1%</td> </tr> <tr> <td>2013</td> <td>1%</td> </tr> </tbody> </table>	Year	Percentage	2012	1%	2013	1%									
	Year	Percentage																
2012	1%																	
2013	1%																	
<p>Representation (%) of women in senior management, in middle management and in non-management AD posts in SG</p> <p><i>(Source: SG)</i></p>	<p>≥ 25% female senior managers (2014)</p> <p>≥ 30% female middle managers (2014)</p> <p>≥ 43% female officials AD non-management (2014)</p>	<table border="1"> <thead> <tr> <th>Year</th> <th>Senior Management (%)</th> <th>Middle management (%)</th> <th>Officials (non-management) (%)</th> </tr> </thead> <tbody> <tr> <td>2011</td> <td>21.4%</td> <td>28.6%</td> <td>47.3%</td> </tr> <tr> <td>2012</td> <td>23.1%</td> <td>28.6%</td> <td>50.6%</td> </tr> <tr> <td>2013</td> <td>36%</td> <td>25%</td> <td>51%</td> </tr> </tbody> </table>	Year	Senior Management (%)	Middle management (%)	Officials (non-management) (%)	2011	21.4%	28.6%	47.3%	2012	23.1%	28.6%	50.6%	2013	36%	25%	51%
Year	Senior Management (%)	Middle management (%)	Officials (non-management) (%)															
2011	21.4%	28.6%	47.3%															
2012	23.1%	28.6%	50.6%															
2013	36%	25%	51%															

Overall SG job satisfaction as resulted in the bi-annual HR staff opinion survey

(Source: SG)

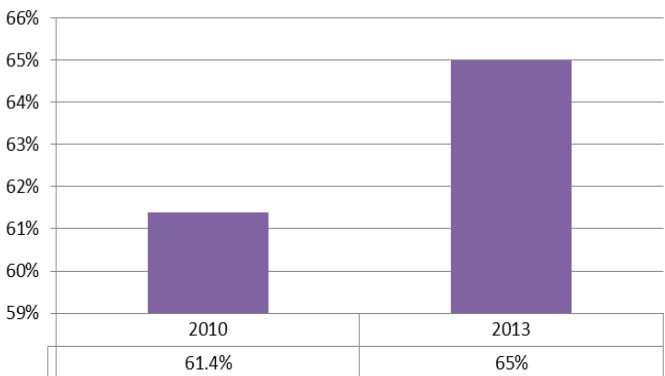
> 60% (2013)



Perception of SG staff of balance between private and professional life as resulted in the bi-annual HR staff survey

(Source: SG)

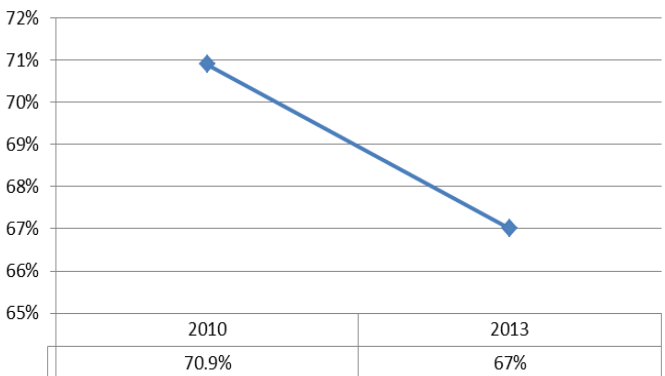
> 60% (2013)



Level of SG staff satisfaction with working conditions (part-time, flexitime)

(Source: SG)

> 60% (2013)



Percentage of overall satisfaction (satisfied / very satisfied) for the Resources Directorate's services

(Source: SG)

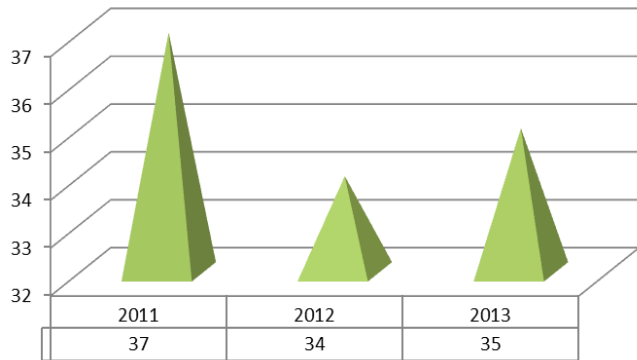
> 60% (2013)

2013: 93.5% (indicator introduced in 2012)

Number of Information Systems: before and after the rationalisation

(Source: SG)

26 (2013)

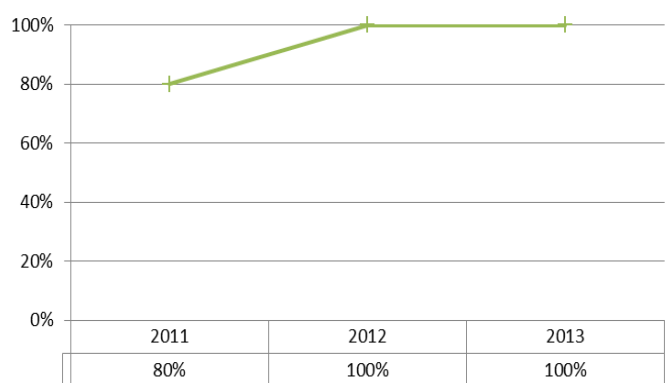


The number of IT systems failed to reach the target of 26 by the end of 2013. This can be explained by the fact that, during 2013, rationalisation efforts have been redirected to two main projects: the Dorsale décisionnelle (legislative lifecycle systems) and Themis (EU law systems). The rationalisation target of 26 is estimated to be reached by the end of 2015.

Number of SG Intranet pages compliant with the Corporate standard

(Source: SG)

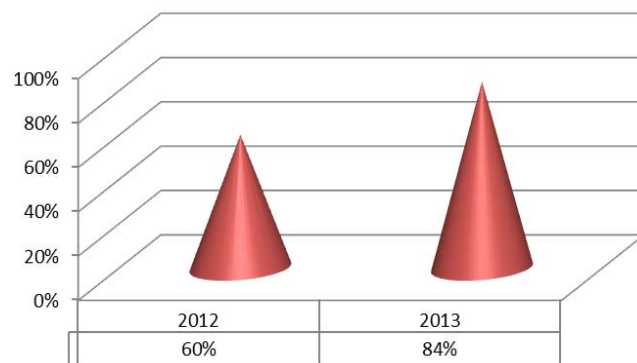
100% of sites compliant with corporate standards (2013)



Percentage of policy initiatives (for which SG was Chef de file) communicated to staff, i.e. staff is informed of the SG policy initiatives in the Agenda Planning system via My SGnet, presentations, conferences or articles or any other communication tool that may be developed

(Source: SG)

> 80% (2013)
(for SG chef de file items)



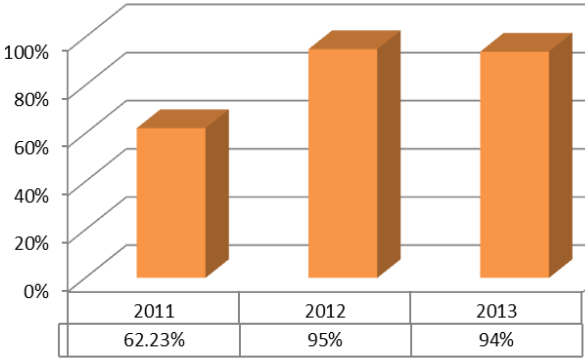
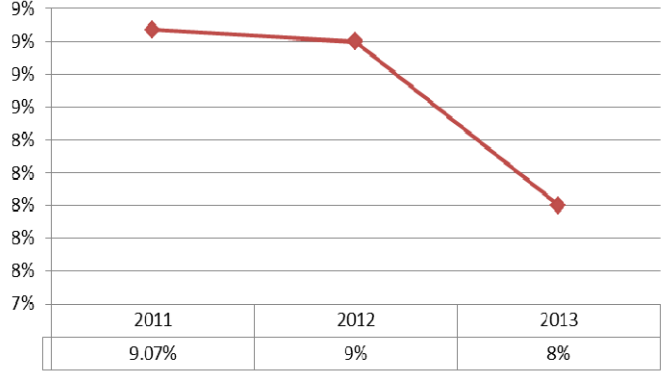
Main outputs in 2013

- *Human Resources Management Report 2013 was published on SG Intranet and presented to SG Management in December 2013*
- *SG Resources services survey report*
- *Internal Communication strategy*
- *Delivery of DPO2 (Register of the Data Protection Officer), IABNet (Impact Assessment Board Application) and EIMS 2 (Evaluations Management System); full implementation of ITIC (IT Infrastructure Consolidation Service) and of NOAP (Next Office Automation Platform)*
- *Completion of the IT Infrastructure Consolidation (ITIC) in SG, cabinets and BEPA*
- *Coordination of the IT aspect for the SG's new organisational structure*
- *Launch of a new Yammer collaborative group 'SG IT Users Network' in response to users' demand for more targeted IT help and support*
- *Pilot project to promote the use of tablets for senior SG management and cabinet staff (iPads) to allow for easy mobile access to mail and intranet.*
- *Completion of a comparative analysis of the inter-service consultation process*
- *Launch of the new PegaseLight system (inter-institutional documents) and of a new version of the Register of Commission documents fully integrated with Vista*
- *Application rationalisation: absorption of the Ombudsman system into Basil (system for the management of Parliamentary questions); replacement of GIS (inter service group system) by a collaborative site*
- *Open data: definition of the SG's open data strategy; publication of datasets for Transparency Register, Expert Register and CD (Diplomatic Corps)*

- *More than 30 coaching sessions provided to SG content contributors in the units*
- *Editorial and technical guidelines for SG internal sites revised, published on My SGnet and communicated to concerned people*
- *SG Communication action plan revised and updated on a monthly basis (accessible on My SGnet)*
- *182 policy news published on My SGnet*
- *28 articles on policy/SG core issues published in the SG Magazine*
- *12 SG conferences (training unit) + 8 meetings with senior managers (Internal Communication Week)*
- *100% of Commission decisions communicated*

1.1.25 ABB activity Policy strategy and coordination and Administrative support: 'Implement and maintain an effective internal control system so that reasonable assurance can be given that resources assigned to the activities are used in accordance with the principles of sound financial management and that the control procedures put in place give the necessary guarantees concerning the legality and regularity of the underlying transactions. Coordinate effectively the SG strategic planning and programming cycle'

ABB Activity: Policy strategy and coordination and Administrative support ☒ Non-spending											
Specific objective	Result indicator	Target	Current situation								
SO25: Implement and maintain an effective internal control system so that reasonable assurance can be given that resources assigned to the activities are used in accordance with the principles of sound financial management and that the control procedures put in place give the necessary guarantees concerning the legality and regularity of the underlying transactions. Coordinate effectively the SG strategic planning and programming cycle	% of budget execution in new commitment appropriations (C1 differentiated, C1 non-differentiated)(FMC SG%) <i>(Source: SG)</i>	> 98% (2013)	<table border="1" style="margin-left: auto; margin-right: auto;"> <thead> <tr> <th>Year</th> <th>2011</th> <th>2012</th> <th>2013</th> </tr> </thead> <tbody> <tr> <td>Execution (%)</td> <td>99.80%</td> <td>94%</td> <td>100%</td> </tr> </tbody> </table>	Year	2011	2012	2013	Execution (%)	99.80%	94%	100%
	Year	2011	2012	2013							
Execution (%)	99.80%	94%	100%								
% of budget execution in payment appropriations (C1 differentiated, C1 non-differentiated)(FMC SG%) <i>(Source: SG)</i>	> 60% (2013)	<table border="1" style="margin-left: auto; margin-right: auto;"> <thead> <tr> <th>Year</th> <th>2011</th> <th>2012</th> <th>2013</th> </tr> </thead> <tbody> <tr> <td>Execution (%)</td> <td>62.23%</td> <td>69%</td> <td>45%</td> </tr> </tbody> </table> <p>The result has been weighted down by the 17% execution of the IS budget cross sub-delegated to DG DIGIT and thus not under direct SG control. The execution of the SG controlled part of the budget is approx 73%.</p>	Year	2011	2012	2013	Execution (%)	62.23%	69%	45%	
Year	2011	2012	2013								
Execution (%)	62.23%	69%	45%								

	<p>% of number of payments made within contractual deadline</p> <p>(Source: SG)</p>	<p>> 95% (2013)</p>	 <p>Although the target was missed (marginally), the evolution shown in the graph above demonstrates a major improvement. Moreover, if the CIP files related to 2010 and 2011 were disregarded, the result of this indicator would be 98%.</p>
	<p>a posteriori commitments as % of total commitments (C1, C4 and C5)</p> <p>(Source: SG)</p>	<p>0% (2013)</p>	<p>2010-2013: 0%</p>
	<p>% of refusals (for correction or cancellation) in workflows relating to commitments and payments (number of refusals/total number of payments and commitments)</p> <p>(Source: SG)</p>	<p>< 5% (2013)</p>	 <p>The target was not met mainly because of changes to the financial workflows introduced in 2013 but also due to the intensified work of the verifying agents</p>
<p>Main outputs in 2013</p>			
<ul style="list-style-type: none"> ▪ <i>Financial circuits reviewed: completed, new missions workflows on 01/04/2013, new ABAC workflows on 01/10/2013</i> ▪ <i>Manual of financial procedures completed: completed, revamped SG Finance intranet launched on</i> 			

01/10/2013

1.1.26 ABB activity Policy strategy and coordination and Administrative support: 'Develop and adopt an SG anti-fraud strategy by the end of 2013'

ABB Activity: Policy strategy and coordination and Administrative support ☒ Non-spending			
Specific objective	Result indicator	Target	Current situation
SO26: Develop and adopt an SG anti-fraud strategy by the end of 2013	Implementation rate of the SG anti-fraud strategy	100% (2013)	2013: 90% The draft document was available on 31/12/2013. The final SG Anti-Fraud Strategy was communicated to SG management in February 2014.
Main outputs in 2013			
<ul style="list-style-type: none"> ▪ <i>SG anti-fraud strategy: 90% completed, the draft document was available on 31/12/2013, senior and top management validation has been requested in January 2014, final SG Anti-Fraud Strategy was communicated on 05/02/2014 to SG management.</i> 			

1.2 Specific efforts to improve 'economy' and 'efficiency' of spending and non-spending activities.

According to the financial regulation (article 30), the principle of economy requires that the resources used by the institution in the pursuit of its activities shall be made available in due time, in appropriate quantity and quality and the best price. The principle of efficiency concerns the best relationship between resources employed and results achieved.

The respect of these principles is continuously pursued through the implementation of internal procedures and predefined practices. These procedures ensure that activities are executed in an efficient manner (e.g. the different workflows contribute to the efficient cooperation between staff, units, etc...) and according to the principle of economy (e.g. the procurement rules ensure procurement in optimal conditions).

The Secretariat General is continuously fine-tuning its internal arrangements in order to improve the efficiency and economy of its operations. The following two initiatives show how these principles are implemented in the Secretariat General:

1.2.1 Example 1

The Secretariat General carried out a wide-ranging review of its structure and operation in 2013 with the objective of making efficiency gains in the context of reduced staffing levels and additional responsibilities, particularly in view of the preparation of the next Commission. This resulted in decisions on a new structure for the Secretariat General, which became operational on 1 January 2014.

1.2.2 Example 2

The Secretariat General continued its work on the roll-out of the GoPro initiative, which provides updated information to all Commission services, for example on the application of internal decision-making procedures and respect of interinstitutional procedures. This is of benefit to the Commission as a whole as it fosters a better knowledge of these procedures among staff and increases operational efficiency.

2. MANAGEMENT OF RESOURCES

Assurance is an objective examination of evidence for the purpose of providing an assessment of the effectiveness of risk management, control and governance processes. This examination is carried out by management, who monitors the functioning of the internal control systems on a continuous basis, and by internal and external auditors. Its results are explicitly documented and reported to the Secretary General. The reports produced are:

- the reports by AOSDs;
- the reports from Authorising Officers in other DGs managing budget appropriations in cross-delegation;
- the contribution of the Internal Control Coordinator, including the results of internal control monitoring at the DG level;
- the reports of the ex-post audit;
- the opinion and the observations of the Internal Audit Capability (IAC);
- the observations and the recommendations reported by the Internal Audit Service (IAS);
- the observations and the recommendations reported by the European Court of Auditors (ECA).

This section reports the control results and other relevant elements that support managements' assurance on the achievement of the internal control objectives¹. It is structured in three separate sections: (1) the SG's assessment of its own activities for the management of its resources; (2) the assessment of the activities carried out by other entities to which the SG has entrusted budget implementation tasks; and (3) the assessment of the results of internal and external audits, including the implementation of audit recommendations.

Please see section 'Introduction – SG in brief' for a brief overview of the kinds of expenditure.

In conclusion, the SG has a low-risk profile in financial management for the following reasons:

- The managed 2013 budget of 11.952.339 EUR is to be considered low;

¹ Effectiveness, efficiency and economy of operations; reliability of reporting; safeguarding of assets and information; prevention, detection, correction and follow-up of fraud and irregularities; and adequate management of the risks relating to the legality and regularity of the underlying transactions, taking into account the multiannual character of programmes as well as the nature of the payments (FR Art 32).

- Almost all IT expenses are paid based on DG DIGIT framework contracts (tender procedures not managed by the SG, see annex 5);

The SG introduced in October 2013 one common financial workflow for all transaction and budget lines, including the use of standardised checklists. The financial circuits used in the SG in 2013 are based on the fully centralised or partially decentralised model with a key role of the central financial unit.

2.1 Management of human and financial resources by SG

This section reports and assesses the elements identified by management that support the assurance on the achievement of the internal control objectives. Annex 5 outlines the main risks together with the control processes aimed to mitigate them and the indicators used to measure the performance of the control systems.

Control effectiveness as regards legality and regularity

The SG has set up internal control processes aimed to ensure the adequate management of the risks relating to the legality and regularity of the underlying transactions, taking into account the nature of the payments concerned.

As regards the legality and regularity of the underlying transactions, the objective is to ensure that the estimated annual risk of errors in commitments and payments at the time of the authorisation of the transactions is less than 2%.

The SG has the following key indicators on the legality and regularity of underlying financial transactions and on sound financial management:

- number of projected tender procedures cancelled ;
- number of tender procedures where one or no offers were received ;
- number of valid complaints in tender procedures ;
- number of 'refusal for correction' (ex ante control) ;
- amount associated with errors detected ex post.

Number of projected tender procedures cancelled

All projected tender procedures have been launched and did meet operational objectives as validated upfront by the AOSD.

Number of tender procedures where one or no offers were received

Although no tender procedures suffered from lack of offers, one tender procedure needed to be restarted due to vague tender specifications leading to offers of poor quality. Additional attention will be needed by the Authorising Officers by Sub-delegation when approving the launch of the tender procedure.

Number of valid complaints in tender procedures

There were no complaints.

Number of 'refusal for correction/cancellation' (ex ante control)

Monthly, the effectiveness of ex ante controls is measured by listing the number of refusals for correction or refusals for cancellation in ABAC WF.

The ex ante controls are performed by 2 experienced staff members from the central financial unit on 100% of the transactions. The controls are described in checklists accompanying the paper file. Each control is checked off.

In 2013, 23 out of 116 commitments (20%) and 33 out of 678 payment orders (5%) suffered a refusal for correction/cancellation in ABAC WF. Most refusals concerned the wrong encoding in ABAC WF of non-essential characteristics of the transaction. Corrections were done before final validation of the transactions.

Amount associated with errors detected ex post

Only wrong encoding in ABAC WF of non-essential characteristics and late encoding of missions in MIPS have been detected. These errors did not have any financial impact.

There were no financial corrections and recoveries resulting from corrections of errors, irregularities and fraud.

Control efficiency and cost-effectiveness.

The principle of efficiency concerns the best relationship between resources employed and results achieved. The principle of economy requires that the resources used by the institution in the pursuit of its activities shall be made available in due time, in appropriate quantity and quality and at the best price.

The SG has the following key indicators on control efficiency and cost-effectiveness:

- average planning control cost per tender
- average needs control cost per tender
- average procedure control cost per tender
- invoice registration delay
- payment delay
- late interest payment
- the cost and benefits of controls per stage

Invoice registration delay

The invoice registration delay is followed up on a weekly basis. 96% of the invoices have been registered within 7 days of reception. If the impact of old 'forgotten' expert reimbursement files of 2010 and 2011 is excluded, the percentage increases to 99%.

The SG average registration delay for 2013 was 27 days. If the impact of old 'forgotten' expert reimbursement files of 2010 and 2011 is excluded, the average registration delay decreased to 1 calendar day, which is below the target of 7 calendar days (5 working days) set by DG BUDG.

The relevant operational unit has been reminded to put in place a control system to follow up the reimbursement of experts.

Payment delay

The payment delay is followed up on a weekly basis. 6% were late. If the impact of old 'forgotten' expert reimbursement files of 2010 and 2011 is excluded, 2% of payments were late. The average payment delay for 2013 was 40 days (10 days excluding the 'forgotten' files).

Late interest payment

No payments generated late payment interests to be paid.

The cost and benefits of controls per stage

	2013 Costs of control						2013 Benefits of control				
	FTE Officials		FTE CA		Expenditure		Total	Deterred	Prevented	Detected	Corrected
	n	€	n	€	n	€					
1. Procurement procedures	0,2	26 400	0	0	0	0	26 400	n.q.	300 000		
<i>A - Planning</i>	0,05	6 600	0	0	0	0	6 600	n.q.	0		
<i>B - Needs assessment & definition of needs</i>	0,05	6 600	0	0	0	0	6 600	n.q.	0		
<i>C - Selection of the offer & evaluation</i>	0,1	13 200	0	0	0	0	13 200	n.q.	300 000		
2. Financial operations (ex-ante)	0,7	92 400	0	0	0	0	92 400	n.q.	4 479 418		
3. Supervisory checks (ex-post)	0,1	13 200	0	0	0	0	13 200	n.q.		0	0
Overall cost/benefits of control	1,0	132 000	0,0	0	0,0	0	132 000	n.q.	4 779 418	0	0

The SG quantifies above the costs of the resources and inputs required for carrying out the controls described in annex 5 and estimates, as far as possible, their benefits in terms of the amount of errors and irregularities prevented, detected and corrected by these controls.

Overall, during the reporting year, the controls carried out by the SG for the management of the budget appropriations were cost effective, as the estimated quantifiable benefits exceeded the cost by a proportion of 1 to 36. The benefits of ex ante control include the value of some transactions for which only small encoding corrections were performed.

In addition, there were a number of non-quantifiable benefits (avoiding reputational damage) resulting from the controls. Furthermore, the SG considers that the necessity of these controls is undeniable, as the totality of the appropriations would be at risk if they were not in place.

Fraud prevention and detection

The SG has developed its anti-fraud strategy as foreseen in the Commission's overall anti-fraud strategy. All the resulting measures have been identified. Almost all measures need to be implemented by the end of 2014. No temporary measures are necessary until full implementation.

The controls aimed at preventing and detecting fraud are not essential unlike those intended to ensure the legality and regularity of the transactions. The SG now screens the population of transactions/contracts in order to identify those at a higher risk of fraud and subjects them to more in-depth monitoring controls. No cases were transmitted to OLAF/IDOC for investigation in 2013. In addition, during the same period, OLAF initiated no cases which concern the activities of the SG, based on other sources of information.

2.2 Budget implementation tasks entrusted to other services and entities.

This section reports and assesses the elements that support the assurance on the achievement of the internal control objectives as regards the results of the SG's supervisory controls on the budget implementation tasks carried out by other Commission services and entrusted entities distinct from the Commission.

In 2013, the AOD of SG gave crossed sub-delegations to DG DIGIT (5.896.132 EUR commitment appropriations) and OIB (74.264 EUR commitment appropriations) for the development and/or maintenance of specific IT systems.

As stipulated in the crossed sub-delegation act, DG DIGIT and OIB reported to the SG by the end of July covering the first semester of 2013 and by the end of January 2014 covering the second semester of 2013. There was no evidence of problems or deviations from procedures in their financial management for the budget lines crossed sub-delegated to them. Moreover, there is a follow-up in GovIS, which enables the SG to see the progress of IS projects, and the budget lines covered by the crossed sub-delegations are included in the SG financial reporting in order to follow the execution on commitments and payments. There were no incidents.

The management information reported by the services and entities is deemed reliable and was sufficient to draw assurance conclusions. The SG's supervision arrangements are based on the principle of controlling 'with' the relevant entity. There were no additional actions from the responsible AOD needed (e.g. control "around the entity") before being able to conclude on assurance.

2.3 Assessment of audit results and follow up of audit recommendations

This section reports and assesses the observations and conclusions reported by auditors which could have a material impact on the achievement of the internal control objectives, and therefore on assurance, together with any management measures taken in response to the audit recommendations.

The SG was audited in 2013 by the IAC.

During this period of reference, the IAC completed two audits, one on Risk Management in the SG and another on Legality and Regularity of selected SG financial transactions. The IAS completed two audits, one on Staff Allocation in the Commission Services and another on the AAR process in the Commission.

Consequently, the IAC expressed the opinion that the internal control system in place provided reasonable assurance regarding the achievement of the business objectives set up for the processes audited, except for a number of qualifications related to linkage of risks to the objectives of the organisation, awareness of roles in risk identification/assessment, reporting on potential risk for the register and coordination to ensure a SG level perspective on the exercise.

Management has accepted all the auditors' recommendations and submitted action plans which have been assessed favourably by the auditors. The various management measures included in these action plans have been or are being implemented as foreseen.

As regards the implementation of recommendations issued in previous years, the relevant action plans are being implemented as planned and are on schedule.

As a result of the assessment of the risks underlying the auditors' observations, together with the management measures taken in response, the management of the SG believes that the recommendations issued do not raise any assurance implications and are being implemented as part of the on-going continuous efforts in terms of further improvements.

3. ASSESSMENT OF THE EFFECTIVENESS OF THE INTERNAL CONTROL SYSTEMS

The Commission has adopted a set of internal control standards, based on international good practice, aimed at ensuring the achievement of policy and operational objectives. In addition, concerning financial management, compliance with these standards is a compulsory requirement.

The SG has put in place the organisational structure and the internal control systems suited to the achievement of the policy and control objectives, in accordance with the standards and having due regard to the risks associated with the environment in which it operates.

In order to evaluate the effectiveness of the SG system of controls in its entirety, the model explained in the [guidelines on assessing the effectiveness of the Internal Control System](#) has been applied. The evidence required to support the assessment has been gathered from management knowledge gained from daily operations, management reviews conducted, audit reports and results of key controls. The functioning of the internal control systems was also closely monitored throughout the year by the systematic registration of exceptions (under ICS 8) and internal control weaknesses (ICS 12). The underlying causes behind these exceptions and weaknesses were analysed and corrective and alternative mitigating controls were implemented when necessary.

ICS 5 (Objectives and Performance Indicators), ICS 7 (Operational Structure), ICS 8 (Processes and Procedures) and ICS 12 (Information and Communication) were prioritised in 2013. Although prioritised also in 2012 and having attained considerable progress during that year, ICS 12 was prioritised again in 2013 in order to keep up efforts to achieve further results in terms of embedding communication in the SG organisational culture.

Regarding ICS 5, efforts to improve the compliance of the SG 2013 Management Plan with the standing instructions led to an increase in compliance to over 90%. After an IAC analysis of the Management Plan, all units were informed about the remaining shortcomings in relation to performance management. Furthermore, it was repeated that a clear link between the SG Management Plan and the unit management plans should be established.

Regarding ICS 7, the IT systems of the SG need to use all possible synergies to the maximum extent possible. The 'dorsale décisionnelle' project was operationally launched in July and will come up with results in 2014, taking into account the 2014 reorganisation of the SG. For this reason, the 2013 measures cannot be considered as fully implemented. This ICS is therefore prioritised in 2014 again.

Concerning ICS 8, a completely revamped guide to procedure was launched in February 2013. As the work needs to continue in 2014, the 2013 measures cannot be considered as fully implemented. This ICS is therefore prioritised in 2014 again.

Concerning ICS 12, based on bilateral meetings between the communication unit and all SG units, the SG communication action plan was approved in early 2013 and reviewed on a monthly base together with the assistants of the Directors. The communication

sector in the directorate 'Resources' was transferred on 01/01/2014 to the directorate 'Relations with other Institutions' in order to extend its scope of activities.

In conclusion, the internal control standards are effectively implemented with the exception of standards 7 and 8. As 2014 prioritised ICSs, adequate measures have been defined in the 2014 SG Management Plan.

4. MANAGEMENT ASSURANCE

This section reviews the assessment of the elements reported in Parts 2 and 3 and draws conclusions supporting of the declaration of assurance and, namely, whether it should be qualified with reservations.

4.1 Review of the elements supporting assurance

The information reported in Parts 2 and 3 stems from the results of management and auditor monitoring contained in the reports listed. These reports result from a systematic analysis of the evidence available. This approach provides sufficient guarantees as to the completeness and reliability of the information reported and results in a complete coverage of the budget delegated to the Secretary General.

The information provided in this report is complete and reliable.

The intrinsic risk for administrative expenditure managed by the SG including procurement is relatively low because of the limited budget as well as the centralised and direct mode of budget implementation. The risks are effectively mitigated by means of controls put in place.

Further assurance is obtained by the risk management process put in place, and the very limited number and significance of exceptions and internal control weaknesses reported in 2013. Management has obtained satisfactory evidence that the internal control system in its entirety is implemented effectively in the SG.

Results from audits during the reporting year give an overall positive feedback and did not include any critical findings. The residual risk from audit recommendations remaining open from previous years is not considered to have a bearing on the declaration of assurance.

Assurance letters have been received for crossed sub-delegations given to other DGs.

As a conclusion, the AOD of the SG has obtained reasonable assurance for the budget delegated to her.

4.2 Reservations and overall conclusion on assurance

Not applicable

DECLARATION OF ASSURANCE

I, the undersigned,

Secretary General

In my capacity as authorising officer by delegation

Declare that the information contained in this report gives a true and fair view².

State that I have reasonable assurance that the resources assigned to the activities described in this report have been used for their intended purpose and in accordance with the principles of sound financial management, and that the control procedures put in place give the necessary guarantees concerning the legality and regularity of the underlying transactions.

This reasonable assurance is based on my own judgement and on the information at my disposal, such as the results of the self-assessment, ex-post controls, the work of the internal audit capability, [the observations of the Internal Audit Service - delete this if not applicable] [and the lessons learnt from the reports of the Court of Auditors - delete this if not applicable] for years prior to the year of this declaration.

Confirm that I am not aware of anything not reported here which could harm the interests of the institution.

Place: Bruxelles, date: 31-3-2014
SIGNED

Catherine Day

² True and fair in this context means a reliable, complete and correct view on the state of affairs in the service.