

2018

Annual Activity Report

Annexes

EUROSTAT



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

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

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

Luxembourg, 29 March 2019

Signed

Luc BRIOL

Acting Director in charge of Risk Management and Internal Control

¹ C(2017)2373 of 19.04.2017

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

Human resources

Objective: The DG deploys effectively its resources in support of the delivery of the Commission's priorities and core business, has a competent and engaged workforce, which is driven by an effective and gender-balanced management and which can deploy its full potential within supportive and healthy working conditions.		
Indicator 1: Percentage of female representation in middle management Source of data: DG HR		
Baseline 2015: 52,9%	Target 2019: 50%	Latest known results (16/12/2018): 49%
Indicator 2: Percentage of staff who feel that the Commission cares about their well-being Source of data: Commission staff survey		
Baseline 2014: 41.7%	Target 2020: 50%	Latest known results: 2019: 61%
Indicator 3: Staff engagement index Source of data: Commission staff survey		
Baseline 2014: 70%	Target 2020: at least 60%	Latest known results: 2019: 70%
Indicator 4: Efficient organisation fully adapted to business needs: percentage of staff on temporary allocations Source of data: Eurostat HR Plan 2015-2017		
Baseline 2014: 7-8%	Target 2020: Maintain the share of staff on temporary allocations to 7-8%	Latest known results (31/12/2018): 4%

Eurostat progressed well towards its target of 4 first female appointments in middle management positions by November 2019, as it already appointed 2 women on head of unit posts in 2018, which brings the female representation in middle management to almost 50%.

Eurostat also continued taking care of the staff engagement and wellbeing by contributing to the organisation of the Health Day, anti-smoking measures, social, cultural and sports activities. In 2018 Eurostat continued making progress towards its 2020 target of 50% of staff members who feel that the Commission cares about their well-being.

Eurostat carried out its internal staff opinion survey in late 2017 and analysed the results in 2018. Staff job satisfaction features among the most important results. A very high percentage of respondents (86.4%), replied that they like working in Eurostat always or most of the time. Compared to the previous year the rate is slightly higher. Similarly, a high percentage of respondents (85.4%) agreed that Eurostat is a good place to work. Job satisfaction due to work-life balance rates also high, i.e. 66%. A significant share of respondents (41%) agreed with the assertion that Eurostat implements a fair equal opportunities policy, although this view is not shared by 14% of the respondents. Traditionally, this statement has a high number of "no opinions" and this SOS exercise was no different: one respondent in four expressed no opinion.

In 2018, aiming at optimising its efficiency and the use of resources, Eurostat carried out a human resources review. The trigger for such a review was the perception that the previous internal redeployment system, applied in Eurostat, with around 7-8% of staff assigned to project-type of jobs, internally called temporary allocations, was inefficient. The main result of the review was the conversion of around 30 project-type of jobs into process-type of jobs in the relevant parts of the statistical production, thus increasing Eurostat's focus on its main activities. The remaining temporary allocations represent around 4% of staff. Further reviews of the use of these posts are foreseen for 2019-2020.

Main outputs in 2018:			
Output	Indicator	Target	Latest known results (end 2018)
An efficient organisation and optimal use of HR	A screening of HR allocation within the DG is carried out aiming at establishing the best use of HR to fulfil the mission and priorities of the DG	Annual screening	Done
A more equally balanced middle management (in terms of gender)	Female first time appointments to management position, out of the 9 expected vacancies, by end 2019	4 by end 2019	Ongoing
Fit, integrated and productive staff	Wellbeing (physical and social) activities provided to Eurostat staff in Eurostat premises	10 types of activities provided every week	Done
An established HR strategy, aligned to the priorities of the DG, comprising work force planning, staff development and learning and development	Strategy approved by senior management	By end of 2018	Postponed to 2019 once the new senior management team is fully established. Instead, a screening of HR allocations within ESTAT was carried out in 2018

Better regulation

Objective: Prepare new policy initiatives and manage the EU's acquis in line with better regulation practices to ensure that EU policy objectives are achieved effectively and efficiently.			
Indicator 1: Percentage of Impact assessments submitted by EUROSTAT to the Regulatory Scrutiny Board that received a favourable opinion on first submission.			
Source of data: EUROSTAT (coordinated by EUROSTAT Unit A5 and if needed confirmed by SG Unit C.1)			
Baseline 2015	Interim Milestone 2016	Target 2020	2018
0%	Positive trend compared to DG's 2015 situation.	Positive trend compared to DG's 2017 situation.	No IA submitted in 2018
Indicator 2: Percentage of the DG's primary regulatory acquis covered by retrospective evaluation findings and Fitness Checks not older than five years.			
Explanation: Better Regulation principles foresee that regulatory acquis is evaluated at regular intervals. As evaluations help to identify any burdens, implementation problems, and the extent to which objectives have been achieved, the availability of performance feedback is a prerequisite to introduce corrective measures allowing the acquis to stay fit for purpose.			
Relevance of Indicator 2: The application of better regulation practices would progressively lead to the stock of legislative acquis covered by regular evaluations to increase.			
Source of data: EUROSTAT (coordinated by EUROSTAT Unit A5 based in particular on REFIT reporting)			
Baseline 2015	Interim Milestone 2016	Target 2020	2018

20%	Positive trend compared to baseline	Positive trend compared to interim milestone	Latest known results: 23.5% (unchanged from 2017)
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In 2018, Eurostat performed a mid-term evaluation of the European Statistical Programme (ESP) within the frame of the Commission's proposal for a new Multiannual Financial Framework. The evaluation covered the years 2015-2017.

Information management

Objective: Information and knowledge in your DG is shared and reusable by other DGs. Important documents are registered, filed and retrievable		
Indicator 1: Percentage of registered documents that are not filed (ratio)		
Source of data: Hermes-Ares-Nomcom (HAN) statistics		
Baseline 2015	Target 2020	2018
1,17%	0%	Latest known results: 0.68%
Indicator 2: Percentage of HAN files readable/accessible by all units in the DG		
Source of data: HAN statistics		
Baseline 2015	Target 2016	2018
43,70%	50%	Latest known results: 33.47%
Indicator 3: Percentage of HAN files shared with other DGs		
Source of data: HAN statistics		
Baseline 2015	Target 2016	2018
0,15%	0.17%	Latest known results: 20.52%

- Indicator 1: Percentage has remained very low because of several actions by the DMO (Document Management Officer)/CAD (Centre d'Administration des Documents) team, notably continuous controls, monthly notification sheet sent to Directors for follow up together with training and information sessions provided on regular basis. The percentage is slightly higher than in 2017, which is mainly due to lack of human resources to deal with the filing at the end of the year. Nevertheless, the number of registered but not filed documents is very low.
- Indicator 2: Overall, better knowledge and understanding of the importance of high quality document management have contributed to increasing the specifications of the files (e.g. related to visibility, sub folders, restrictions). Two main factors explain the lower percentage of the indicator in 2018 compared to 2017 and compared to the target: firstly, an increased number of electronic files related to procurement contracts and grant agreements, for which access is limited to the Unit concerned. Secondly, the substantial increase of the percentage of indicator 3, which means that fewer files fall into the category of files that are only visible within Eurostat.
- Indicator 3: The number of files made visible to other DGs has continued to increase substantially as a result of the established practice that, after closure, Eurostat should extend a file's visibility to all DGs, as well as of the centralised document management system in place in Eurostat that ensures consistent implementation of the practice.

Main outputs in 2018:			
Output	Indicator	Target	Latest known results (end 2018)
Official Document Life Cycle: Documents collected, delivered, registered, filed, archived and preserved	Outgoing mail is treated within 24 hours.	100 %	100 %
	Incoming mail is registered, assigned and delivered within 24 hours	100 %	100 %
	Appraisal and post-DUA treatment is done error free in accordance with the Intermediate Archive Management Centralisation project whose description is available at Ares(2015)1727870 and the operational procedure at Ares(2015)2559786	100 %	100 %
	All Eurostat staff trained by end 2018	100 %	100 %
Inter-Service Consultation: Co-ordination of Inter-Service Consultations' procedures; internal training on Decide application	ISC answered within the deadlines	100 %	100 %
	ISC launched in accordance with the requirements and specifications defined by the concerned service(s)	100 %	100 %
Intermediate Archive Management Centralisation	Transfer the responsibility of managing the Eurostat intermediate archive rooms from units to the DMO	100 %	100 %

External Communication

The total budget spent in 2018 is estimated at 3.1 MEUR.

Annual communication spending (based on estimated commitments):			
Baseline (2017)	Target (2018)	Total amount spent	Total of FTEs working on external communication
3.2 M EUR	3.4 M EUR	3.1 M EUR	14 FTE

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

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

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

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

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

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

Baseline: November 2014	Target: 2020	2018
Total "Positive": 39% Neutral: 37 % Total "Negative": 22%	Positive image of the EU ≥ 50%	Latest known results (November 2018): Total "Positive": 43%

		Neutral: 36 % Total "Negative": 20% (Don't know: 1%)
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Main outputs in 2018:			
Output	Indicator	Target	Latest known results (end 2018)
Make of Eurostat's website an attractive and easy source of information on European statistics for citizens.	Number of visits	+3% in 2018 compared to 2017	Number of IP addresses: +16% in 2018/2017 (6,293,265 in 2018 vs 5,411,520 in 2017)
Full range of traditional publications (including news releases) oriented to users' needs, all available via the website.	Number of publications downloaded	+3% in 2018 compared to 2017	+9% in 2018/2017 (4,970,120 in 2018 vs 4,556,357 in 2017)
Increased number of users and continuous development of Statistics Explained	Number of pages views	+5% in 2018 compared to 2017	+33% in 2018/2017 (23,770,767 in 2018 vs 17,860,548 in 2017)

The three indicators, which were selected in the past, no longer properly reflect the current use of the Eurostat website and the behaviours of its users. They must be analysed together with more global indicators on the final use of Eurostat statistics, in particular the number of mentions of Eurostat in media and social media (+60%) and the number of data extractions from our website (+24%). These better show the growing interest of European citizens in Eurostat data and products.

ANNEX 3: Draft annual accounts and financial reports

Annex 3 Financial Reports - DG ESTAT - Financial Year 2018**Table 1 : Commitments****Table 2 : Payments****Table 3 : Commitments to be settled****Table 4 : Balance Sheet****Table 5 : Statement of Financial Performance****Table 5 Bis: Off Balance Sheet****Table 6 : Average Payment Times****Table 7 : Income****Table 8 : Recovery of undue Payments****Table 9 : Ageing Balance of Recovery Orders****Table 10 : Waivers of Recovery Orders****Table 11 : Negotiated Procedures (excluding Building Contracts)****Table 12 : Summary of Procedures (excluding Building Contracts)****Table 13 : Building Contracts****Table 14 : Contracts declared Secret****Table 15 : FPA duration exceeds 4 years**

Additional comments

The accounting situation presented in the Balance Sheet and Statement of Financial Performance does not include the accruals and deferrals calculated centrally by the services of the Accounting Officer.

Table 1. Commitments The turnover on the commitment appropriations of the 29 02 chapter is triggered downwards by multi-annual appropriations available that were not committed in 2018. The turnover on commitment planned to be used by Eurostat in its 2018 Financing Decision was of 99.84% Amounts of cross-sub delegated appropriations to Eurostat are not included in the table.

Table 2. Payments The turnover on the payment appropriations of 29 02 chapter is triggered downwards by multi-annual appropriations available that were not paid in 2018 and are expected to be made in the coming years. The turnover on payments for the annual appropriations 2018 (Voted Budget and Efta, co-delegations excluded) was 99.99% Amounts of cross-sub delegated appropriations to Eurostat are not included in the table.

Table 11. In 2018 Eurostat recorded 3 (out of 26) negotiated procedures (PN 134); as in 2017 there were no negotiated procedures (PN 134), there is an increase by 12 percentage points in comparison to the previous year. 2 of them referred to cases where there is a monopoly.

TABLE 1: OUTTURN ON COMMITMENT APPROPRIATIONS IN 2018 (in Mio €)					
			Commitment appropriations authorised	Commitments made	%
			1	2	3=2/1
Title 09 Communications networks, content and technology					
09	09 04	Horizon 2020	2	2	100,00 %
Total Title 09			2	2	100,00%
Title 29 Statistics					
29	29 01	Administrative expenditure of the 'Statistics' policy area	6,32	6,29	99,54 %
	29 02	The European statistical programme	67,27	62,08	92,29 %
Total Title 29			73,59	68,37	92,91%
Total DG ESTAT			75,59	70,37	93,10 %

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

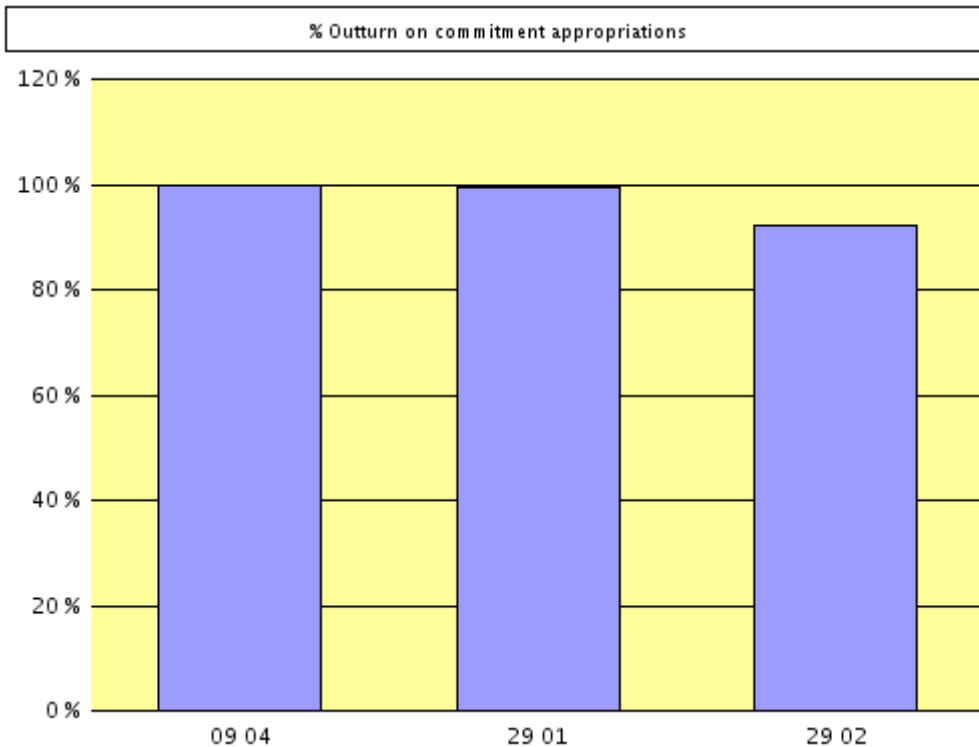


TABLE 2: OUTTURN ON PAYMENT APPROPRIATIONS IN 2018 (in Mio €)

Chapter		Payment appropriations authorised *	Payments made	%	
		1	2	3=2/1	
Title 07					
07	07 02	Environmental policy at Union and international level	2,05	2,05	99,93 %
Total Title 07			2,05	2,05	99,93%
Title 09 Communications networks, content and technology					
09	09 04	Horizon 2020	1,82	1,82	100,00 %
Total Title 09			1,82	1,82	100,00%
Title 29 Statistics					
29	29 01	Administrative expenditure of the 'Statistics' policy area	0,91	0,62	67,63 %
	29 02	The European statistical programme	77,18	60,24	78,06 %
Total Title 29			78,09	60,86	77,94%
Title 34					
34	34 02	Climate action at Union and international level	1,46	1,46	99,93 %
Total Title 34			1,46	1,46	99,93%
Total DG ESTAT			83,43	66,2	79,34 %

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

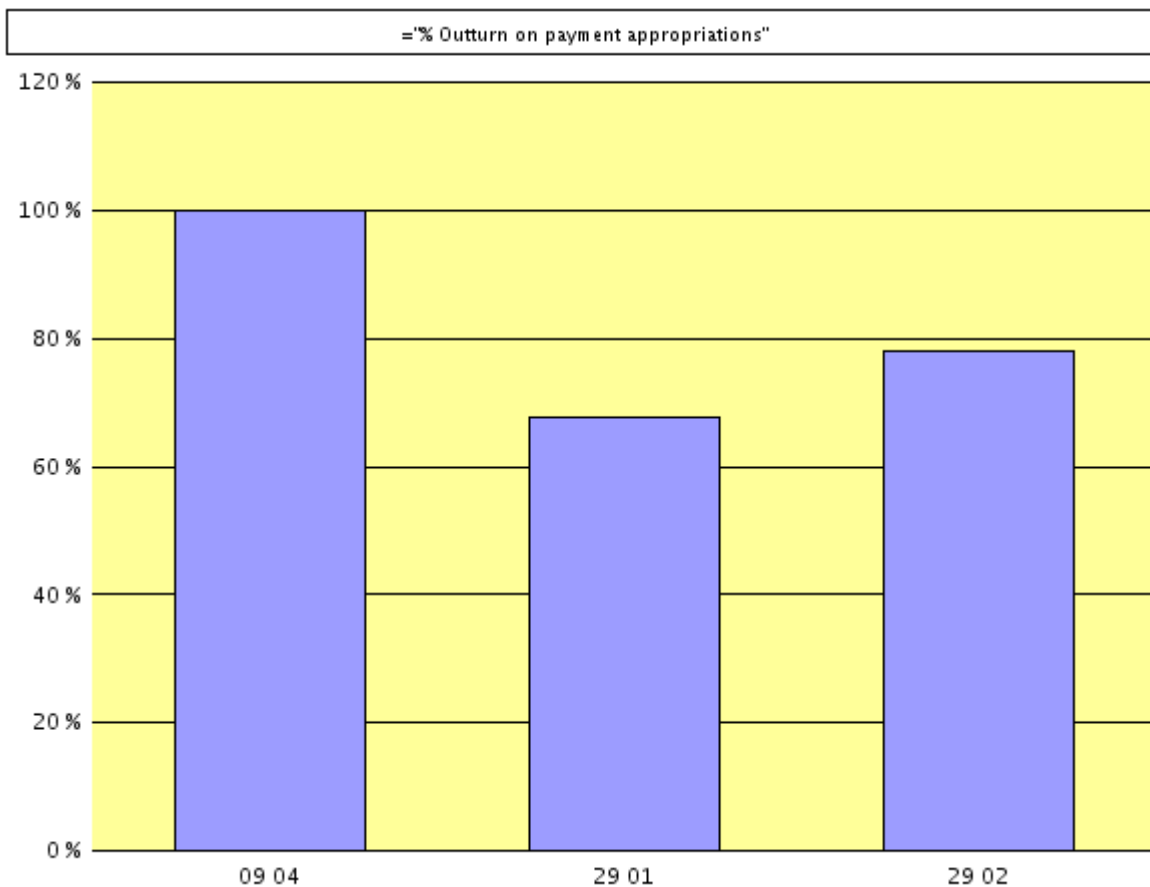
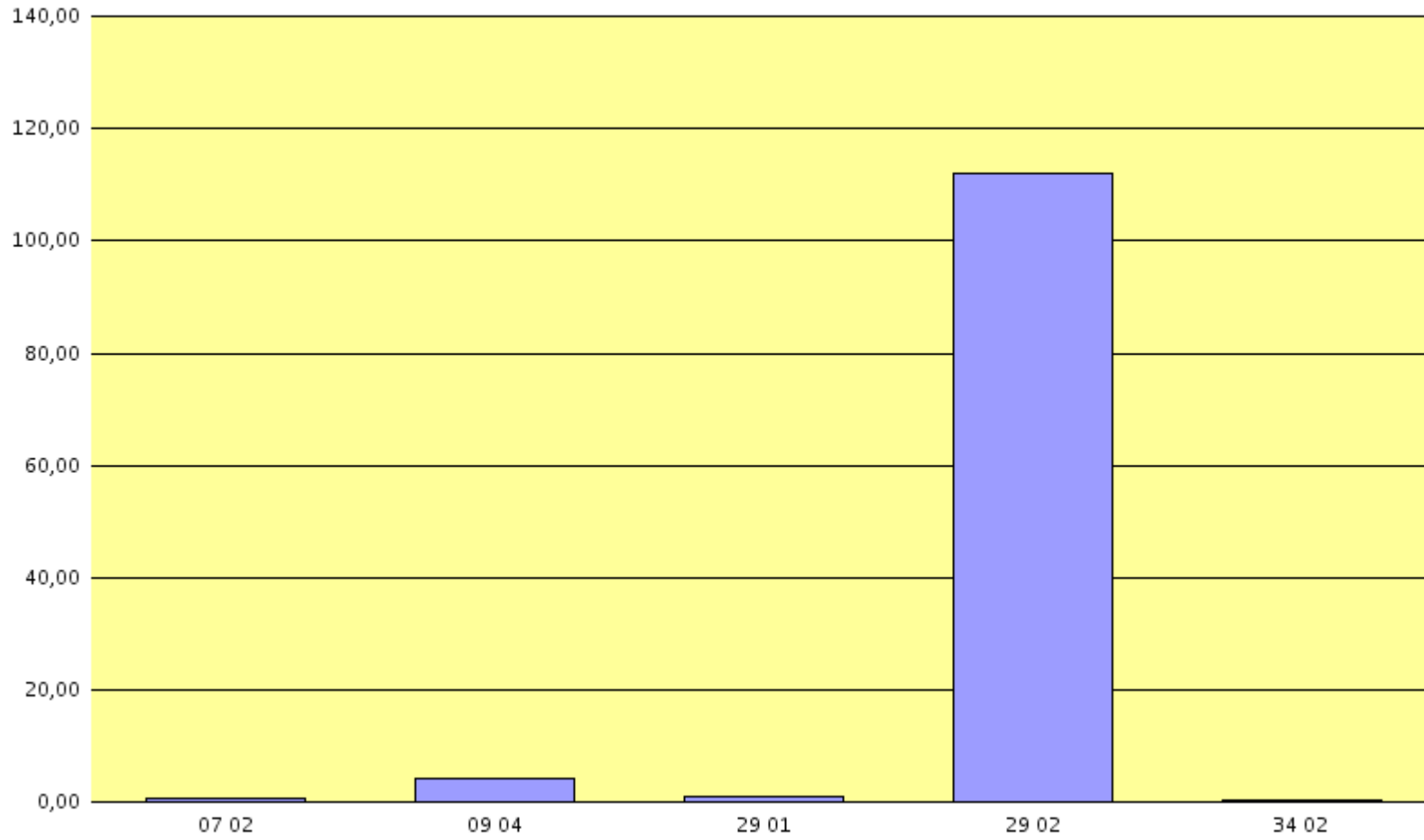


TABLE 3 : BREAKDOWN OF COMMITMENTS TO BE SETTLED AT 31/12/2018 (in Mio €)

Chapter			2018 Commitments to be settled				Commitments to be settled from financial years previous to 2018	Total of commitments to be settled at end of financial year 2018	Total of commitments to be settled at end of financial year 2017
			Commitments 2018	Payments 2018	RAL 2018	% to be settled			
			1	2	3=1-2	4=1-2/1	5	6=3+5	7
Title 07 :									
07	07 02	Environmental policy at Union and international level	0	0,00	0	0,00 %	0,75	0,75	2,81
Total Title 07			0	0,00	0	0,00%	0,75	0,75	2,81
Title 09 : Communications networks, content and technology									
09	09 04	Horizon 2020	2	0,00	2	100,00 %	2,15	4,15	4,26
Total Title 09			2	0,00	2	100,00%	2,15	4,15	4,26
Title 29 : Statistics									
29	29 01	Administrative expenditure of the 'Statistics' policy area	6,29	5,13	1,16	18,50 %	0,00	1,16	1,11
	29 02	The European statistical programme	62,08	4,62	57,46	92,56 %	54,44	111,90	115,76
Total Title 29			68,37	9,75	58,62	85,75%	54,44	113,06	116,86
Title 34 :									
34	34 02	Climate action at Union and international level	0	0,00	0	0,00 %	0,54	0,54	2,00
Total Title 34			0	0,00	0	0,00%	0,54	0,54	2
Total DG ESTAT			70,37	9,75	60,62	86,15 %	57,87	118,5	125,93

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

"Breakdown of Commitments remaining to be settled (in Mio EUR)"



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

TABLE 4 : BALANCE SHEET ESTAT

BALANCE SHEET	2018	2017
A.I. NON CURRENT ASSETS	8.507.316,64	5.178.432,26
A.I.1. Intangible Assets	8.507.316,64	5.178.432,26
A.I.2. Property, Plant and Equipment	0,00	0,00
A.II. CURRENT ASSETS	18.770.946,01	18.691.652,51
A.II.2. Current Pre-Financing	18.763.907,19	18.696.042,28
A.II.3. Curr Exch Receiv & Non-Ex Recoverables	7.038,82	-4.389,77
ASSETS	27.278.262,65	23.870.084,77
P.II. CURRENT LIABILITIES	-63.157,73	-5.713.584,3
P.II.4. Current Payables	-63.157,73	-5.713.584,30
P.II.5. Current Accrued Charges & Defrd Income	0,00	0,00
LIABILITIES	-63.157,73	-5.713.584,3
NET ASSETS (ASSETS less LIABILITIES)	27.215.104,92	18.156.500,47
P.III.2. Accumulated Surplus/Deficit	251.236.134,12	191.165.806,37
Non-allocated central (surplus)/deficit*	-278.451.239,04	-209.322.306,84
TOTAL	0,00	0,00

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

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

TABLE 5 : STATEMENT OF FINANCIAL PERFORMANCE ESTAT

STATEMENT OF FINANCIAL PERFORMANCE	2018	2017
II.1 REVENUES	-3.570.800,43	-4.263.294,76
II.1.1. NON-EXCHANGE REVENUES	-4.911.316,35	-4.387.168,95
II.1.1.5. RECOVERY OF EXPENSES	-570.196,35	-44.372,95
II.1.1.6. OTHER NON-EXCHANGE REVENUES	-4.341.120,00	-4.342.796,00
II.1.2. EXCHANGE REVENUES	1.340.515,92	123.874,19
II.1.2.1. FINANCIAL INCOME	-546,00	
II.1.2.2. OTHER EXCHANGE REVENUE	1.341.061,92	123.874,19
II.2. EXPENSES	85.498.569,07	64.333.622,51
II.2. EXPENSES	85.498.569,07	64.333.622,51
II.2.10. OTHER EXPENSES	17.243.678,69	17.765.727,94
II.2.2. EXP IMPLM BY COMMISS&EX.AGENC	72.325.662,34	50.433.366,87
II.2.4. EXP IMPL BY 3RD CNTR & INT ORG (IM	62.449,85	
II.2.6. STAFF AND PENSION COSTS	-4.136.387,50	-3.872.225,00
II.2.8. FINANCE COSTS	3.165,69	6.752,70
STATEMENT OF FINANCIAL PERFORMANCE	81.927.768,64	60.070.327,75

Explanatory Notes (facultative):

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

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TABLE 5bis : OFF BALANCE SHEET ESTAT

OFF BALANCE	2018	2017
OB.1. Contingent Assets	5.737.384	4.234.966
GR for performance	230.285,00	230.285,00
GR for pre-financing	5.507.099,00	4.004.681,00
OB.2. Contingent Liabilities	0	0
OB.2.7. CL Legal cases OTHER	0,00	0,00
OB.4. Balancing Accounts	-5.737.384	-4.234.966
OB.4. Balancing Accounts	-5.737.384,00	-4.234.966,00
OFF BALANCE	0,00	0,00

Explanatory Notes (facultative):

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

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TABLE 6: AVERAGE PAYMENT TIMES FOR 2018 - DG ESTAT

Legal Times							
Maximum Payment Time (Days)	Total Number of Payments	Nbr of Payments within Time Limit	Percentage	Average Payment Times (Days)	Nbr of Late Payments	Percentage	Average Payment Times (Days)
30	1388	1306	94,09 %	15,51	82	5,91 %	40,5
45	1	1	100,00 %	44			
60	207	191	92,27 %	30,16	16	7,73 %	74
90	389	354	91,00 %	46,15	35	9,00 %	120,11

Total Number of Payments	1985	1852	93,30 %		133	6,70 %	
Average Net Payment Time	25,74			22,89			65,48
Average Gross Payment Time	27,82			25,05			66,35

Suspensions							
Average Report Approval Suspension Days	Average Payment Suspension Days	Number of Suspended Payments	% of Total Number	Total Number of Payments	Amount of Suspended Payments	% of Total Amount	Total Paid Amount
0	29	142	7,15 %	1985	17.037.036,50	17,91 %	95.144.124,06

Late Interest paid in 2018			
DG	GL Account	Description	Amount (Eur)
ESTAT	65010100	Interest on late payment of charges New FR	3 165,69
			3 165,69

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

TABLE 7 : SITUATION ON REVENUE AND INCOME IN 2018

Chapter	Revenue and income recognized			Revenue and income cashed from			Outstanding balance	
	Current year RO	Carried over RO	Total	Current Year RO	Carried over RO	Total		
	1	2	3=1+2	4	5	6=4+5	7=3-6	
50	PROCEEDS FROM THE SALE OF MOVABLE AND IMMOVABLE PROPERTY	459,67	0	459,67	459,67	0	459,67	0
52	REVENUE FROM INVESTMENTS OR LOANS GRANTED, BANK AND OTHER INTEREST	546	0	546	546	0	546	0
57	OTHER CONTRIBUTIONS AND REFUNDS IN CONNECTION WITH THE ADMINISTRATIVE OPERATION OF THE INSTITUTION	7.422,82	0	7.422,82	384	0	384	7.038,82
60	CONTRIBUTIONS TO UNION PROGRAMMES	4.341.120	0	4.341.120	4.341.120	0	4.341.120	0
66	OTHER CONTRIBUTIONS AND REFUNDS	33.116,96	0	33.116,96	33.116,96	0	33.116,96	0
Total DG ESTAT		4.382.665,45	0	4.382.665,45	4.375.626,63	0	4.375.626,63	7.038,82

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

Annex 3 Financial Reports - DG ESTAT
Report printed on 25/03/2019

TABLE 8 : RECOVERY OF PAYMENTS
(Number of Recovery Contexts and corresponding Transaction Amount)

Year of Origin (commitment)	Total undue payments recovered		Total transactions in recovery context (incl. non-qualified)		% Qualified/Total RC	
	Nbr	RO Amount	Nbr	RO Amount	Nbr	RO Amount
2013			1	17.550,15		
2014			1	1.972,12		
2015			1	11.076		
2017			1	4.490,81		
2018			2	5.450,7		
Sub-Total			6	40.539,78		

EXPENSES BUDGET	Error		Irregularity		OLAF Notified		Total undue payments recovered		Total transactions in recovery context (incl. non-qualified)		% Qualified/Total RC	
	Nbr	Amount	Nbr	Amount	Nbr	Amount	Nbr	Amount	Nbr	Amount	Nbr	Amount
INCOME LINES IN INVOICES									1	594,00		
NON ELIGIBLE IN COST CLAIMS	1	0,87	10	26.955,96			11	26.956,83	42	385.665,96	26,19%	6,99%
CREDIT NOTES	3	43.335,3	25	1.263.101,32			28	1.306.436,62	50	2.455.308,81	56,00%	53,21%
Sub-Total	4	43.336,17	35	1.290.057,28			39	1.333.393,45	93	2.841.568,77	41,94%	46,92%
GRAND TOTAL	4	43.336,17	35	1.290.057,28			39	1.333.393,45	99	2.882.108,55	39,39%	46,26%

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

TABLE 9: AGEING BALANCE OF RECOVERY ORDERS AT 31/12/2018 FOR ESTAT

	Number at 1/01/2018	Number at 31/12/2018	Evolution	Open Amount (Eur) at 1/01/2018	Open Amount (Eur) at 31/12/2018	Evolution
2018		2			7.038,82	
		2			7.038,82	

TABLE 10 : RECOVERY ORDER WAIVERS IN 2018 >= EUR 60.000

	Waiver Central Key	Linked RO Central Key	RO Accepted Amount (Eur)	LE Account Group	Commission Decision	Comments
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Total DG ESTAT	
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Number of RO waivers	
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There are no waivers below 60 000 €

None of your Recovery Order Waivers (if any) reaches EUR 60.000

TABLE 11 : CENSUS OF NEGOTIATED PROCEDURES - DG ESTAT - 2018**Internal Procedures > € 60,000**

Negotiated Procedure Legal base	Number of Procedures	Amount (€)
Art. 134.1(b) (Without prior publication) Technical or artistic reasons, or reasons connected with the protection of exclusive rights	2	578.486,00
Art. 134.1(e) (Without prior publication) Additional services and works which, through unforeseen circumstances, have become necessary	1	498.801,00
Total	3	1.077.287,00

TABLE 12 : SUMMARY OF PROCEDURES OF DG ESTAT EXCLUDING BUILDING CONTRACTS

Internal Procedures > € 60,000

Procedure Legal base	Number of Procedures	Amount (€)
Exceptional Negotiated Procedure without publication of a contract notice (Art. 134 RAP)	3	1.077.287,00
Negotiated procedure middle value contract (Annex 1 - 14.2)	1	125.500,00
Negotiated Procedure with at least five candidates below Directive thresholds (Art. 136a RAP)	4	400.496,76
Open Procedure (Art. 104(1) (a) FR)	9	5.551.134,00
Open Procedure (Art. 122.2 IR)	1	449.950,00
Open Procedure (Art. 127.2 RAP)	3	8.659.509,00
Open procedure (FR 164 (1)(a))	3	680.016,02
Restricted Procedure (Art. 104(1) (b) FR)	2	12.264.590,00
Total	26	29.208.482,78

Additional Comments:

TABLE 13 : BUILDING CONTRACTS

Legal base	Contract Number	Contractor Name	Description	Amount (€)

TABLE 14 : CONTRACTS DECLARED SECRET

LC Responsible Organi	LC Contract/Grant Type	LC Date	Legal base	Contract Number	Contractor Name	Description	Amount (€)

TABLE 15 : FPA duration exceeds 4 years - ESTAT

None of your FPA (if any) exceeds 4 years

ANNEX 4: Materiality criteria

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

Quantitative criteria for defining significant weaknesses:

The Commission Communication (COM (2003) 28 final) from 21.1.2003 provides in its annex guidelines covering inter alia the concept of materiality. These guidelines propose an indicative materiality threshold of 2%:

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

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

Qualitative criteria for defining significant weaknesses:

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

1. Significant control system weaknesses

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

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

Eurostat regularly carries out assessments of the implementation of the internal control principles in order to detect weaknesses in its internal control framework. In addition, Eurostat performs ex ante and ex post controls on its financial transactions. Ex post controls on grant agreements are tailored to identify errors within the cost claims transmitted by Eurostat beneficiaries and shall classify them into isolated cases or systemic or repetitive weaknesses. Those controls can also identify weaknesses in the internal control system of beneficiaries and propose corrective actions. The duration and corrective actions are taken into account. As regards procurements, the control objective is to ensure that transactions are in conformity with applicable rules and regulations.

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

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

The achievement of this objective is supported by the fact that Eurostat concludes grant

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

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

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

4. Assessment of reputational events

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

ANNEX 5: Relevant Control Systems for budget implementation (RCSs)

GRANTS – Direct management

Stage 1 – Ex-ante

A - Programming, evaluation and selection of proposals

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

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

Main risks <i>It may happen (again) that...</i>	Mitigating controls	Coverage, frequency and depth	Cost-Effectiveness indicators (three E's)
<ul style="list-style-type: none"> The annual work programme and the subsequent invitations to submit proposals do not adequately reflect the policy objectives, priorities, are incoherent and/or the essential eligibility, selection and award criteria are not adequate to ensure the evaluation of the proposals. 	<ul style="list-style-type: none"> Hierarchical validation within the authorising department. Inter-service consultation, including all relevant DGs. Adoption by the Commission. Explicit allocation of responsibility to individual officials reflecting the programming circuits. Checklist based verification for invitations to submit proposals. Implementation of anti-fraud strategy. 	<p>Coverage:</p> <ul style="list-style-type: none"> 100% projects included in AWP. 100% of invitations to submit proposals. <p>Depth:</p> <ul style="list-style-type: none"> In-depth analyses of the projects, including financial aspects. Checklist (proposals) includes a list of the requirements of the regulatory provisions identified. 	<p>Effectiveness:</p> <ul style="list-style-type: none"> Number of control failures; number of exceptions in EUR Number of invitations for proposals¹ successfully concluded/number of invitations for proposals planned in the MP/WP in % Total number of awards/total call for proposals in % <p>Efficiency and economy:</p> <ul style="list-style-type: none"> Cost of control (all stages in total) in EUR Cost of control / value of payments executed during the year in %

¹ According to Article 5 of Regulation (EC) No 223/2009, NSIs and other national authorities responsible for the development, production and dissemination of European statistics as designated by Member States may receive grants without a call for proposals in accordance with Article 168(1)(d) of Regulation (EC, Euratom) No 2342/2002. They receive invitations to submit proposals.

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

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

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

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

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

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

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

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

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

Stage 2 - Ex post controls

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

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

PROCUREMENTS (including BA budget) - Direct management

Stage 1 – Procurement

A - Planning

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Stage 4 – Supervisory measures

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

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

IT SECURITY AND DATA INTEGRITY

Stage 1: IT Security Policy

Main control objective: Define and disseminate Eurostat information security policy

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

Stage 2: Protection of IT infrastructure and data integrity

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

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

Stage 3: Access to IT infrastructure and data

Main control objective: Monitor the access to IT infrastructure

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

Stage 4: Controls of accesses and use in IT infrastructure and information

Main control objectives: Monitoring of accesses to Eurostat infrastructure

Main risks <i>It may happen (again) that...</i>	Mitigating controls	Coverage, frequency and depth of controls	Cost-Effectiveness indicators (three E`s)
<ul style="list-style-type: none"> ▪ Wrong manipulation of IT assets. ▪ Cyber-attack on Eurostat IT environment. ▪ Information is corrupted by hackers or wrong manipulation. 	<ul style="list-style-type: none"> ▪ In-depth analysis and monitoring of access controls and IT assets (servers, applications) logs implemented through Splunk and/or ArcSight. ▪ Periodical and correct performance of the backups of the infrastructure. 	<p>Coverage: All IT assets Frequency: Real-time</p>	<p>Effectiveness:</p> <ul style="list-style-type: none"> ▪ Alerts provided by Splunk/ArcSight ▪ Monthly ArcSight reports of incidents in Eurostat environment <p>Benefit: Secure dissemination of statistics.</p> <p>Efficiency & Economy:</p> <ul style="list-style-type: none"> ▪ Cost of SPLUNK/ArcSight monitoring by DIGIT

SAFEGUARDING OF SENSITIVE INFORMATION

Stage 1: Management of sensitive information in Eurostat

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

Main risks <i>It may happen (again) that...</i>	Mitigating controls	Coverage, frequency and depth of controls	Cost-Effectiveness indicators (three E`s)
<ul style="list-style-type: none"> Sensitive information is not correctly understood/identified 	<ul style="list-style-type: none"> Definition of sensitive information in Eurostat. Yearly inventory of sensitive information as declared by Eurostat units (1st inventory launched 2015). Definition of protection measures to be applied for sensitive information. Periodic information to Staff. 	<p>Coverage: 100%</p> <p>Frequency: Yearly</p>	<p>Effectiveness:</p> <ul style="list-style-type: none"> Number of units reporting use of sensitive and classified information Number of modifications from former inventory (for 2018) <p>Benefit: Better knowledge of the location and use of sensitive information. Better understanding of the concept and management of sensitive information by staff.</p> <p>Efficiency & Economy:</p> <ul style="list-style-type: none"> Estimation of staff involved in Yearly inventory of all information managed by Eurostat units and its classification (in FTE)

Stage 2: Protection of sensitive information in Eurostat

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

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

Stage 3: Access to sensitive information

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

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

Stage 4: Controls of accesses to sensitive information

Main control objectives: Real-time monitoring of accesses to sensitive information

Main risks <i>It may happen (again) that...</i>	Mitigating controls	Coverage, frequency and depth of controls	Cost-Effectiveness indicators (three E`s)
<ul style="list-style-type: none"> ▪ Breach of sensitive information 	<ul style="list-style-type: none"> ▪ Continuous monitoring all accesses on identified information. ▪ Periodic revision of the database with access rights and association to Eurostat staff mobility. ▪ Encryption of sensitive information. 	<p>Coverage: All identified sensitive information</p> <p>Frequency: real-time</p>	<p>Effectiveness:</p> <ul style="list-style-type: none"> ▪ Number of alerts provided in monthly reporting ▪ Number of revisions of the access rights database ▪ Number of incidents related to breach of confidentiality ▪ Number of encrypted files <p>Benefit: Real-time protection and monitoring of accesses</p> <p>Efficiency & Economy:</p> <ul style="list-style-type: none"> ▪ SPLUNK/ArcSight monitoring and reporting by DIGIT (in EUR) ▪ Lancrypt SW licences and management costs ▪ Estimation of the customisation of the software (in FTE)

GNI

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

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

Not applicable

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

Not applicable

ANNEX 8: Decentralised agencies (if applicable)

Not applicable

ANNEX 9: Evaluations and other studies finalised or cancelled during the year²

Study project ID	Title	Study reason	Study internal ID	Study overview	Study start and end dates	Study cost	Note	Title of the deliverable
6962	Review of the functioning of the Regulation (EU) No 1337/2011 (Permanent crops)	General study	ESTAT-EV2018-01-L	Permanent crops	03/01/2018 - 31/12/2018	€0	N/A	Review of the functioning of the Regulation (EU) No 1337/2011 (Permanent crops) COM (2019) 50 final
6964	Report to EP and Council to evaluate the implementation of the measures provided for in Article 2 of Decision No 1608/2003/EC (Science and Technology)	General study	ESTAT-ST2017-01-L	Science and technology (2017)	01/01/2018 - 31/12/2018	€0	N/A	Report to EP and Council to evaluate the implementation of the measures provided for in Article 2 of Decision No 1608/2003/EC (Science and Technology) COM (2018) 769 final
6967	Report to EP and Council on implementation of Regulation (EC) No 184/2005 on Community statistics concerning balance of payments, international trade in services and foreign direct investment	General study	ESTAT-ST2017-04-L	Balance of payments, International trade in services, Foreign direct investment	01/02/2017 - 28/02/2018	€0	N/A	Report to EP and Council on implementation of Regulation (EC) No 184/2005 COM (2018) 47 final
6969	Report to EP and Council on implementation of Regulation (EU) No 549/2013 and on the application of the granted derogations	General study	ESTAT-ST2018-01-L	European system of national and regional accounts	03/01/2018 - 31/07/2018	€0	N/A	Report to EP and Council on implementation of Regulation (EU) No 549/2013 and on the application of the granted derogations COM (2018) 506 final
6970	Report to EP and Council on the Regulation (EC) No 862/2007 (Migration & international protection statistics)	General study	ESTAT-ST2018-02-L	Migration & international protection statistics (2018)	03/01/2018 - 31/08/2018	€0	N/A	Report to EP and Council on the Regulation (EC) No 862/2007 (Migration & international protection statistics) COM (2018) 594 final

² All studies were organised by Eurostat and no other service/institution was associated.

Study project ID	Title	Study reason	Study internal ID	Study overview	Study start and end dates	Study cost	Note	Title of the deliverable
6971	Report to EP and Council on the implementation of Regulation (EC) No 1260/2013 (European demographic statistics)	General study	ESTAT-ST2018-03-L	European demographic statistics	03/01/2018 - 31/12/2018	€0	N/A	Report to EP and Council on the implementation of Regulation (EC) No 1260/2013 (European demographic statistics) COM (2018) 843 final
6972	Report to EP and Council on implementation of Regulation (EC) No 577/98 (Labour force sample survey 2018)	General study	ESTAT-ST2018-04-L	Labour force sample survey (2018)	03/01/2018 - 31/12/2018	€0	N/A	Report to EP and Council on implementation of Regulation (EC) No 577/98 (Labour force sample survey) COM (2019) 14 final
6973	Report to EP and Council on the quality of the fiscal data reported by Member State for Council regulation 479/2009 (EDP)	General study	ESTAT-ST2018-05-L	EDP (2018)	03/01/2018 - 31/03/2018	€0	N/A	Report to EP and Council on the quality of the fiscal data reported by Member State for Council regulation 479/2009 (EDP) COM (2018) 112 final
6974	Report to EP and Council on the suitability of the OOH price index for integration into the HICP coverage	General study	ESTAT-ST2018-06-L	HICP	01/01/2018 - 31/12/2018	€0	N/A	Report to EP and Council on the suitability of the OOH price index for integration into the HICP coverage COM (2018) 768 final
7306	European Public Sector Accounting Standards (EPSAS) study	General study	ESTAT-ST2016-01-CWP	EPSAS 2016	01/01/2016 - 30/06/2018	€180 000	Feasibility study	European Public Sector Accounting Standards (EPSAS) study (Findings on the long term benefits of EPSAS and public accounting harmonisation) Report by EY

ANNEX 10: Specific annexes related to "Financial Management"

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

Grants							
Ex ante controls			Ex post controls			Total**	
EC total costs (in EUR)	funds managed (in EUR)*	Ratio (%)*: <i>Total ex ante control cost in EUR ÷ funds managed in EUR</i>	EC total costs (in EUR)	total value verified and/or audited (in EUR)	Ratio (%): <i>Total ex post control cost in EUR ÷ total value verified and/or audited in EUR</i>	EC total estimated cost of controls (in EUR)	Ratio (%)*: <i>Total cost of controls ÷ funds managed</i>
5 332 586.50	44 355 279.41	12.02%	75 375.00	1 508 768	5.00%	5 407 961.50	12.19%

Procurements							
Ex ante controls			Ex post controls			Total**	
EC total cost (in EUR)	funds managed (in EUR)*	Ratio (%)*: <i>Total ex ante control cost in EUR ÷ funds managed in EUR</i>	EC total costs (in EUR)	total value verified and/or audited (in EUR)	Ratio (%): <i>Total ex post control cost in EUR ÷ total value verified and/or audited in EUR</i>	EC total estimated cost of controls (in EUR)	Ratio (%)*: <i>Total cost of controls ÷ funds managed</i>
4 742 709.54	50 274 827.85	9.43%	10 850.00	N/A	N/A	4 753 559.54	9.46%

IT Security and data integrity							
Ex ante controls			Ex post controls			Total**	
EC total cost (in EUR)	funds managed (in EUR)*	Ratio (%)*: <i>Total ex ante control cost in EUR ÷ funds managed in EUR</i>	EC total costs (in EUR)	total value verified and/or audited (in EUR)	Ratio (%): <i>Total ex post control cost in EUR ÷ total value verified and/or</i>	EC total estimated cost of controls (in EUR)	Ratio (%)*: <i>Total cost of controls ÷ funds managed</i>

271 110.00	N/A	N/A	N/A	N/A	N/A	audited in EUR	271 110.00	N/A
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Safeguarding of sensitive information							
Ex ante controls			Ex post controls			Total**	
EC total cost (in EUR)	funds managed (in EUR)*	Ratio (%)*: Total ex ante control cost in EUR ÷ funds managed in EUR	EC total costs (in EUR)	total value verified and/or audited (in EUR)	Ratio (%): Total ex post control cost in EUR ÷ total value verified and/or audited in EUR	EC total estimated cost of controls (in EUR)	Ratio (%)*: Total cost of controls ÷ funds managed
261 480.00	N/A	N/A	N/A	N/A	N/A	261 480.00	N/A

OVERALL estimated cost of control at EC level							
Ex ante controls			Ex post controls			Total**	
EC total cost (in EUR)	funds managed (in EUR)*	Ratio (%)*: Total ex ante control cost in EUR ÷ funds managed in EUR	EC total costs (in EUR)	total value verified and/or audited (in EUR)	Ratio (%): Total ex post control cost in EUR ÷ total value verified and/or audited in EUR	EC total estimated cost of controls (in EUR)	Ratio (%)*: Total cost of controls ÷ funds managed
10 607 886.04	94 630 107.26	11.21%	86 225.00	N/A	N/A	10 694 111.04	11.30%

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

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

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

Not applicable

ANNEX 12: Performance tables

General objective 11:

General objective: To help achieve the overall political objectives, the Commission will effectively and efficiently manage and safeguard assets and resources, and attract and develop the best talents		
Impact indicator: Trust in the European Commission Source of the data: Standard Eurobarometer on Public Opinion in the European Union		
Baseline (EB 83 – Spring 2015)	Latest known value (EB 90 – Autumn 2018)	Target (2020)
40% tend to trust	43% tend to trust	Increase
Impact indicator: Staff engagement index in the Commission Source of the data: European Commission		
Baseline (2014)	Latest known value (2018)	Target (2020)
65.3%	69%	Increase

Specific objective 1:

Specific objective 1: Quality statistical information is provided in a timely manner, to support the development, monitoring and evaluation of the policies of the European Union properly reflecting priorities while keeping a balance between economic, social and environmental fields and serve the needs of the wide range of users of European statistics, including other decision-makers, researchers, businesses and European citizens in general, in a cost-effective manner without unnecessary duplication of effort.	Related to spending programme(s): European Statistical Programme.	
Result indicator 1.1: Percentage of users that rate as "Very good" or "Good" the overall quality of European Statistics. It measures the users' perception of the achievement of the specific objective n. 1 "provide quality statistics" Source of data: User satisfaction survey carried out by Eurostat. Next survey is planned in 2019.		
Baseline 2012	Target 2020	Latest known results (2017)
62.9 %	Overall positive trend. The target has been set taking into account the fact that opinion surveys based on voluntary participation are typically biased (users that are satisfied may be less motivated to participate in the survey than those that have complaints). The yearly evolution of the results should be interpreted cautiously in particular taking into account the fact that the level of representativeness of the sample of respondents cannot be assessed and may vary from one year to the next.	62.4 %
Result indicator 1.2: Number of data extractions made by external users from Eurostat reference databases (EuroBase and Comext) via the Eurostat website Source of data: Eurostat - More information can be found in the monthly Monitoring report on Eurostat electronic dissemination (available on demand).		
Baseline 2012	Target 2020	Latest known results (2018)
7.87 MEUR	Positive (approximately linear) trend	16.49 MEUR

Main outputs for specific objective 1

Important items from work programmes/financing decisions/operational programmes

Description	Indicator	Target date	Latest known results (situation on 31/12/2018)
Catalogue of statistical products	Produce and disseminate all statistical products listed in the catalogue of products	2018	98.1%

Specific objective 2:

Specific objective 2: New methods of production of European statistics aiming at efficiency gains and quality improvements are implemented.		Related to spending programme(s): European Statistical Programme.
Result indicator 2: Percentage of users that rate as "Very good" or "Good" the timeliness of European Statistics for their purposes Source of data: User satisfaction survey carried out by Eurostat. Next survey is planned in 2019.		
Baseline 2012	Target 2020	Latest known results (2017)
56.3 %	Overall positive trend. The target has been set taking into account the fact that opinion surveys based on voluntary participation are typically biased (users that are satisfied may be less motivated to participate in the survey than those that have complaints). The yearly evolution of the results should be interpreted cautiously in particular taking into account the fact that the level of representativeness of the sample of respondents cannot be assessed and may vary from one year to the next.	56.1 %

Main output for specific objective 2

Important items from work programmes/financing decisions/operational programmes

Description	Indicator	Target date	Latest known results (situation on 31/12/2018)
ESS Vision 2020 portfolio of projects, which includes: European Statistical Data Exchange (ESDN), Sharing SERVices (SERV), Big Data (BIGD), Administrative data sources (ADMIN), European System of Interoperable Business Registers (ESBRs) and SIngle Market STATistics (SIMSTAT)	Achievements as laid down in the Annual Work Programme 2018	2018	93.3%

Specific objective 3:

Specific objective 3: The partnership within the European Statistical System and beyond is strengthened in order to further enhance its productivity and its leading role in official statistics worldwide.		Related to spending programme(s): European Statistical Programme.
Result indicator 3: Percentage of users that rate as "Very good" or "Good" the comparability of European Statistics among regions and countries Source of data: User satisfaction survey carried out by Eurostat. Next survey is planned in 2019.		
Baseline 2012	Target 2020	Latest known results (2017)
56.2 %	Overall positive trend. The target has been set taking into account the fact that opinion surveys based on voluntary participation are typically biased (users that are satisfied may be less motivated to participate in the survey than those that have complaints). The yearly evolution of the results should be interpreted cautiously in particular taking into account the fact that the level of representativeness of the sample of respondents cannot be assessed and may vary from one year to the next.	55.2 %

Main outputs for specific objective 3

All new initiatives and REFIT initiatives from the Commission Work Programme

Description	Indicator	Target date	State as of 31 December 2018
Proposal(s) for the next generation of programmes (under the next MFF)	Adoption by the Commission	June 2018	June 2018 (COM/2018/441 final - 2018/0231)