

ANNEXES

ANNEX 1: Statement of the Resources Director

I declare that in accordance with the Commission's communication on clarification of the responsibilities of the key actors in the domain of internal audit and internal control in the Commission¹¹⁸, I have reported my advice and recommendations to the Director-General on the overall state of internal control in the DG Education and Culture.

I hereby certify that the information provided in Section 2 of the present AAR and in its annexes is, to the best of my knowledge, accurate and exhaustive.

Brussels, 28 March 2018

(Signed)

Arturo CABALLERO BASSEDAS

¹¹⁸ Communication to the Commission: Clarification of the responsibilities of the key actors in the domain of internal audit and internal control in the Commission; SEC(2003)59 of 21.01.2003.

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

1. 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 HR-1: Percentage of female representation in middle management

Source of data: SEC(2015)336 ; targets adopted by the Commission on 15 July 2015

Baseline 2015	Target (2019)	Latest known results in 2017
33,3%	40%	35%

Main outputs in 2017:

Description	Indicator	Target	Latest known results
All work life balance actions (teleworking, meetings within regular working hours, awareness raising on discrimination issues) designed to make a management career attractive for women	Gender distribution of applications by men and women and % of women shortlisted for management positions.	A 10% move towards gender balance for management posts in 2017 and 20% in 2018. Currently 7% of women AD are Deputy HoU or HoS	Identification of high flyers within the female workforce and positive encouragement by senior management. Organisation of in-house seminars to empower females for first time appointments in management will be organised in 2018.

Indicator HR-2: Percentage of staff who feel that the Commission cares about their well-being			
Source of data: Commission staff survey 2016; target set by DG EAC's management			
Baseline 2014	Target (2019)	Latest known results in 2017	
32,9% (Commission average: 35%)	Within the 2% of the Commission average	EAC at 27% is 5 points below the Commission average. In 2017, a series of actions were implemented to improve staff scores (EAC Health Week, dedicated workshops on healthy eating, handling depression, sitting postures in the office, stretching exercise, etc). In January 2018, a targeted EU survey with the questions where EAC staff scored 4 or more point below Commission average in the Staff survey 2016 was launched. Results were analysed in February and an action plan will be put in place if needed	
Main outputs in 2017:			
Description	Indicator	Target	Latest known results
Organisation of joint actions (staff and management) in the context of a supporting organisation	% of positive replies to the EU Survey launched in January 2018	A 50% positive score. Ergonomic principles and better working conditions to be taken into account for planned office space. More well-being workshops to be organised in 2018.	In 2017, a series of actions were implemented to improve staff scores (EAC Health Week, dedicated workshops on healthy eating, handling depression, sitting postures in the office, stretching exercise, etc).

Indicator HR-3: Staff engagement index			
Source of data: Commission staff survey 2016; target set by DG EAC's management			
Baseline 2014	Target (2019)	Latest known results in 2017	
60,1% (Commission average: 65,4%)	Within the 2% of the Commission average	In 2016, DG EAC scored 64%. This target has been achieved.	
Main outputs in 2017:			
Description	Indicator	Target	Latest known results
All actions designed to make EAC a service characterised by trust, empowerment and pride in our work, especially the tools of management learning (coaching, training) and team development (away days, team coaching)	The staff engagement index produced by DG HR based on 7 items to the 2016 staff survey.	At or above Commission average.	DG EAC continues to strive to sustain the high scores on the staff engagement index by focusing on sharing knowledge management, improving internal communication and engaging senior management with staff at all levels.

2. 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.			
Management indicator BR-1 (*): Percentage of Impact assessments submitted by DG EAC to the Regulatory Scrutiny Board that received a favourable opinion on first submission¹¹⁹			
Source of data: DG EAC			
Baseline 2015	Target 2020	Latest known results in 2017	
68%: Commission average in 2014	100%	n.a. (no impact assessment submitted to the RSB in 2016)	
Main outputs in 2017:			
Description	Indicator	Target	Latest known results
Reported quarterly to DSC in the Dashboard (2014 baseline – December: 0 out of 0)	Number of impact assessments active in current year, in delay by more than 1 month	Max. 1	0 (out of 3 active impact assessments)

¹¹⁹ The opinion of the RSB will take into account the better regulation practices followed for new policy initiatives. Gradual improvement of the percentage of positive opinions on first submission is an indicator of progress made by the DG in applying better regulation practices.

Management indicator BR-2(*): Percentage of the DG EAC regulatory acquis covered by retrospective evaluation findings or Fitness Checks not older than five years¹²⁰.			
Source of data: DG EAC			
Baseline 2015	Target 2020	Latest known results2017	
80%	Positive trend compared to interim milestone	100 %	
Main outputs in 2017:			
Description	Indicator	Target	Latest known results (December 2017)
Reported quarterly to DSC in the Dashboard (2014 baseline – December: 5 out of 8)	Number of evaluations active in current year, in delay by more than 1 month	Max.1	1 (out of 6 active evaluations)
Reported quarterly to DSC in the Dashboard (2014 baseline – December: 5 out of 10)	Number of evaluations in follow-up phase, in delay by more than 1 month	Max. 2	2 (out of 10 evaluations in follow-up phase)
Reported regularly to Directors' Board (DB) (2014 baseline – no CWP item planned)	Timely adoption of the items of the CWP with DG EAC as lead service	All items to be adopted on time as planned by the Commission	No CWP item planned with DG EAC as lead service

¹²⁰ 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.

3. Information management

Objective*: Information and knowledge in your DG is shared and reusable by other DGs. Important documents are registered, filed and retrievable			
Management indicator DM-1 (* – data to be provided by DG DIGIT): Percentage of registered documents that are not filed¹²¹ (ratio)			
Source of data: <i>Hermes-Ares-Nomcom (HAN)¹²² statistics</i>			
Baseline 2015	Target 2020	Latest known results (30.11.2017)	
0.08%	Max 200 Ares documents (0.1%) ¹²³	126 Ares documents (0,06%)	
Management indicator DM-2 (* - data to be provided by DG DIGIT): Percentage of HAN files readable/accessible by all units in the DG¹²⁴			
Source of data: <i>HAN statistics</i>			
Baseline 2015	Target 2020	Latest known results (31.12.2017)	
99%	Access limitations to files applied only to those cases that need to be restricted for legal reasons (personal data, etc.) ¹²⁵	92,16%	
Main outputs in 2017			
Description	Indicator	Target	Latest known results (31.12.2017)
Reported monthly to DSC in the dashboard (2016 baseline- December: 88,69%)	% of documents with e-signatory	Min.80% of total documents	88,72%
Description	Indicator	Target	Latest known results (31.12.2017)
Reported monthly to DSC in the dashboard (2016 baseline- November: 31%)	% of files open without use in the last 12 months	Max 15% of the files created 12 months before	16,83% ¹²⁶
Management indicator DM-3 (* data to be provided by DG DIGIT): Percentage of HAN files shared with other DGs ("Commission")			
Source of data: <i>HAN statistics</i>			
Baseline 2015	Target 2020	Latest known results (31.12.2017)	
7.35% ¹²⁷	15% ¹²⁸	5%	

¹²¹ Each registered document must be filed in at least one official file of the Chef de file, as required by the e Domec policy rules (and by ICS 11 requirements). The indicator is to be measured via reporting tools available in Ares.

¹²² Suite of tools designed to implement the e-Domec policy rules.

¹²³ The period taken into account is from the implementation of Ares within DG EAC (2009). The policy of the DG is to have no more than 200 not-filed ARES documents irrespective of the total number of registered documents and the percentage that it represents. Monthly reporting is provided to senior management.

¹²⁴ The policy of DG EAC was set before the introduction of ARES: every EAC NomCom file is opened to every member of DG EAC's staff, except for those files whose content needs to be restricted for the protection of personal data or other sensitive information.

¹²⁵ To ensure the protection of personal data or other sensitive information, the access to some files need to be restricted. The 2020 target needs to be adapted accordingly.

¹²⁶ In December 2017, the Directors Steering Committee (DSC) of EAC decided that the threshold for active files not receiving any document in the last twelve months was established in 15% and that some exceptional cases should not be taken into account, if they represented the largest part of the activity of the responsible unit.

¹²⁷ The baseline in 2015 took into account files that were shared with other DGs and Services, even if it was only one service with whom a file was shared. Thus, the 2015 baseline

Management indicator DM-4: Percentage of units using collaborative tools to manage their activities		
Source of data: DG EAC		
Baseline 2015	Target 2020	Latest known results (31.12.2017)
47% of units using SharePoint	100%	75% of DG EAC staff using SharePoint

Management indicator DM-6 : existence and degree of implementation of a documented strategy to harness knowledge of DG staff		
Source of data: DG EAC - Director's Board decisions		
Baseline 2015	Target 2020	Latest known results (31.12.2017)
No Knowledge Management Strategy	Implementation of actions to be defined in the Knowledge Management Strategy	<p>Actions taken by DG EAC while waiting for DG HR to establish a roadmap for DGs:</p> <ul style="list-style-type: none"> • Development of a new taxonomy (on going) • Introduction of a user-centric method when implementing new spaces (rational and coherent navigation) • Creation of several informational working spaces related to knowledge management. • Launch of new thematic working spaces with new usability rules • Regular coachings and hands-on sessions

included files that were visible to EACEA only, but no more. The current efforts have been focused on enlarging visibility of files to "Commission" level. The latest known results for 2017 include only those files that are visible (at least) at "Commission" level.

¹²⁸ Each DG is expected to share their Ares files as widely as possible while reinforcing security on those cases that need to be restricted. 15% continues to be a prudent projection on the basis of the current baseline. This target will be adapted according to the developments of the Commission policy and to actions taken by other DGs.

4. External communication

It is reported on the impact¹²⁹ of key communication actions undertaken in section 2.2.

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.			
Management indicator EC-1 (provided in a ready-to-use form by DG COMM): Percentage of EU citizens having a positive image of the EU130			
Source of data: Standard Eurobarometer (DG COMM budget) monitored by DG COMM¹³¹			
Baseline November 2014	Target 2020	Latest known results (2016)	
Total "Positive": 39% Neutral: 37 % Total "Negative": 22%	Positive image of the EU ≥ 50%	Positive: 5% Neutral: 38% Negative: 25% (Don't know: 2%)	
Main outputs in 2017:			
Output	Indicator	Target for 2017	Latest known results
European Solidarity Corps Campaign period: January-December 2017	➤ Number of volunteers registered in the European Youth Portal registration tool	➤ Minimum 25 000 persons registered	➤ 45 000 persons registered
2017 Erasmus 30th anniversary campaign Campaign period: January-December 2017: 26 Jan. EC Press conference in Brussels; 12-15 June High level events in Berlin, Strasbourg, Varna; numerous national events all year;	<ul style="list-style-type: none"> ➤ Number of events in participating countries ➤ Number of participants (estimate) in events ➤ Reach of DG EAC's social media messages ➤ Number of unique visitors to DG EAC Erasmus+ website ➤ Number of persons aware of Erasmus+ programme / key messages 	<ul style="list-style-type: none"> ➤ 20 % increase compared to 2016 ➤ 10 % increase compared to 2016 	<ul style="list-style-type: none"> ➤ 1,900 events organised in 44 countries ➤ 92 million people viewed testimonies on the impact of ERASMUS+ and took part in competition run by the European Commission and National Agencies through Social media posts ➤ 65,000 media reports on Erasmus+ reached over 92 million people throughout Europe ➤ Over 16,000 people joined the

¹²⁹ More guidance on evaluations and setting up of KPIs in the domain of communication can be found here.

¹³⁰ 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.

¹³¹ <http://ec.europa.eu/COMMFrontOffice/publicopinion/index.cfm/General/index>

			<p>Erasmus+ Generation Online Meeting Point since its launch in mid-June which led to the collective creation of the Erasmus+ Generation Declaration, outlining 30 recommendations for the future Erasmus+ programme post-2020</p> <ul style="list-style-type: none"> ➤ 416,000 visits to E+ 30 years campaign EAC website
<p>European Week of Sport 2017 Campaign period: September 2017: 23 Sept. EC Official Opening event; Additional high level Flagship event; numerous national events during the week;</p>	<ul style="list-style-type: none"> ➤ Number of events in participating countries ➤ Number of active participants in participating countries ➤ Reach of DG EAC's social media messages ➤ Number of unique visitors to DG EAC websites 	<ul style="list-style-type: none"> ➤ 16 000 events taking place in participating countries ➤ 10 million ➤ 5 % increase compared to 2016 ➤ 5 % increase compared to 2016 	<ul style="list-style-type: none"> ➤ 37000 Events across Europe ➤ 16 millions active participants ➤ 13.500 mentions of the hashtag #BeActive and over 100.000 engagements – retweets, likes, replies, etc.
<p>European Youth Week 2017 Campaign period: April - May 2017: High level event/ conference/ workshops in Brussels; numerous national events during the week;</p>	<ul style="list-style-type: none"> ➤ Number of events in participating countries ➤ Number of persons (estimate) participating in events ➤ Reach of DG EAC's social media messages 	<ul style="list-style-type: none"> ➤ 1 200 events taking place in participating countries ➤ 150 000 persons (estimate) participating in events ➤ 10 % increase compared to 2016 	<ul style="list-style-type: none"> ➤ 1000 events in 33 countries ➤ 113 000 persons participated in events ➤ 3.3 million reached on EAC social media
<p>Erasmus+ and Creative Europe project promotion Period: January-December 2017 Project Selection Committees meeting all year; project promotion in policy and programme related stakeholder meetings;</p>	<ul style="list-style-type: none"> ➤ Number of selected good practice examples and success stories ➤ Number of unique visitors on Project Results Platforms for Erasmus+ and Creative Europe 	<ul style="list-style-type: none"> ➤ 900 good practise examples and 100 success stories ➤ 10 % increase compared to 2016 	<ul style="list-style-type: none"> ➤ 104 success stories selected ➤ 417,547 unique visitors +66.7% increase compared to unique visitors in 2016 (250,535)
<p>MSCA 20 years anniversary campaign Campaign period: Nov. 2016- Nov. 2017:</p>	<ul style="list-style-type: none"> ➤ Number of visitors to events organised in targeted countries ➤ Media impact in national newspapers ➤ Reach of DG EAC's social media messages ➤ Number of visitors of the MSCA website 	<ul style="list-style-type: none"> ➤ 2000 attendees in specific MSCA events organised in targeted countries ➤ 10 articles in national newspapers ➤ 10 % increase compared to 2016 ➤ Increase of 5% of visitors of the 	<ul style="list-style-type: none"> ➤ 30 000 attendees in specific MSCA events organised in targeted countries ➤ No data ➤ No data

<p>26-27 Sept. 2017: Science is wonderful – European Researchers' Night event in Brussels: Showcase of MSCA funded projects;</p> <p>29 Sept. 2017: European Researchers' Night events across Europe and beyond;</p>	<ul style="list-style-type: none"> ➤ Number of selected good practice examples and success stories ➤ Number of visitors ➤ Number of researchers and MSCA researchers involved <ul style="list-style-type: none"> ➤ Number of selected good practice examples and success stories ➤ Number of events ➤ Number of visitors ➤ Number of researchers and MSCA researchers involved 	<p>MSCA website</p> <ul style="list-style-type: none"> ➤ 25 % increase compared to 2016 ➤ 4000 people to be attended ➤ 65 MSCA researchers directly involved ➤ 40 events around Europe and beyond (in 25 countries) <ul style="list-style-type: none"> ➤ Over 1 million visitors ➤ Over 500 MSCA researchers within in a total of 20 000 ➤ Number of people made aware: over 43 millions 	<ul style="list-style-type: none"> ➤ Between 44 and 64% of increase Number of visitors of the MSCA website <ul style="list-style-type: none"> ➤ 4600 people attended with more than 1600 Belgian students out of this total ➤ 110 researchers directly involved ➤ 41 events around Europe and beyond (in 25 countries and 342 cities) ➤ Number of best practices: 20 ➤ Over 1,1 million visitors ➤ Over 500 MSCA researchers within in a total of 21 850
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Annual communication spending in euros (based on estimated commitments)			
	Baseline (Year n-1):2016	Target (Year n): Planned 2017	Total amount committed in 2017
Campaigns, Events	3 790 000	6 620 000	7 335 500
Support material, videos	1 463 000	706 500	980 600
Websites	602 000	628 000	641 300
Social Media	301 000	333 200	332 700
Publications	250 000	250 000	254 000
TOTAL	6 406 000	8 537 700	9 544 100

The communication budget has been considerably increased in 2017 to cater for 2 major one-off events: the Erasmus 30 years anniversary and the preparation of the European Year of Cultural Heritage 2018.

ANNEX 3: Draft annual accounts and financial reports

Annex 3 Financial Reports - DG EAC - Financial Year 2017

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

Additional comments

The current receivables in table 4 and tables 7 and 9 disclose different total amounts due to the accrued income encoded within the cut-off activities. While the figure included in tables 7 and 9 refers only to recovery orders, the table 4 also takes into account the accrued income related to the recovery of expenses on Funds LLP 2009 and 2011 Agreement

TABLE 1: OUTTURN ON COMMITMENT APPROPRIATIONS IN 2017 (in Mio €)					
			Commitment appropriations authorised	Commitments made	%
			1	2	3=2/1
Title 07 Environment					
07	07 02	Environmental policy at Union and international level	3,00	3,00	100,00 %
Total Title 07			3,00	3,00	100,00%
Title 15 Education and culture					
15	15 01	Administrative expenditure of the 'Education and culture' policy area	72,29	69,02	95,47 %
	15 02	Erasmus+	2057,51	1867,40	90,76 %
	15 03	Horizon 2020	342,73	319,04	93,09 %
	15 04	Creative Europe	10,78	10,62	98,44 %
Total Title 15			2483,32	2266,07	91,25%
Title 16 Communication					
16	16 03	Communication actions	3,00	3,00	100,00 %
Total Title 16			3,00	3,00	100,00%
Title 18 Migration and home affairs					
18	18 01	Administrative expenditure of the 'Migration and home affairs' policy area	0,02	0,02	99,68 %
Total Title 18			0,02	0,02	99,68%
Title 19 Foreign policy instruments					
19	19 05	Cooperation with third countries under the Partnership Instrument (PI)	16,52	16,52	100,00 %
Total Title 19			16,52	16,52	100,00%
Title 21 International cooperation and development					
21	21 01	Administrative expenditure of the 'International cooperation and development' policy area	2,16	2,08	96,11 %
	21 02	Development Cooperation Instrument (DCI)	30,44	30,44	100,00 %
Total Title 21			32,60	32,52	99,74%
Title 22 Neighbourhood and enlargement negotiations					
22	22 01	Administrative expenditure of the 'Neighbourhood and enlargement negotiations' policy area	3,53	3,40	96,55 %
	22 02	Enlargement process and strategy	24,76	24,76	100,00 %
	22 04	European Neighbourhood Instrument (ENI)	57,62	57,62	100,00 %
Total Title 22			85,90	85,78	99,86%
Title 34 Climate action					
34	34 02	Climate action at Union and international level	3	3	100,00 %
Total Title 34			3	3	100,00%
Total DG EAC			2627,36	2409,91	91,72 %

* 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).

% Outturn on commitment appropriations

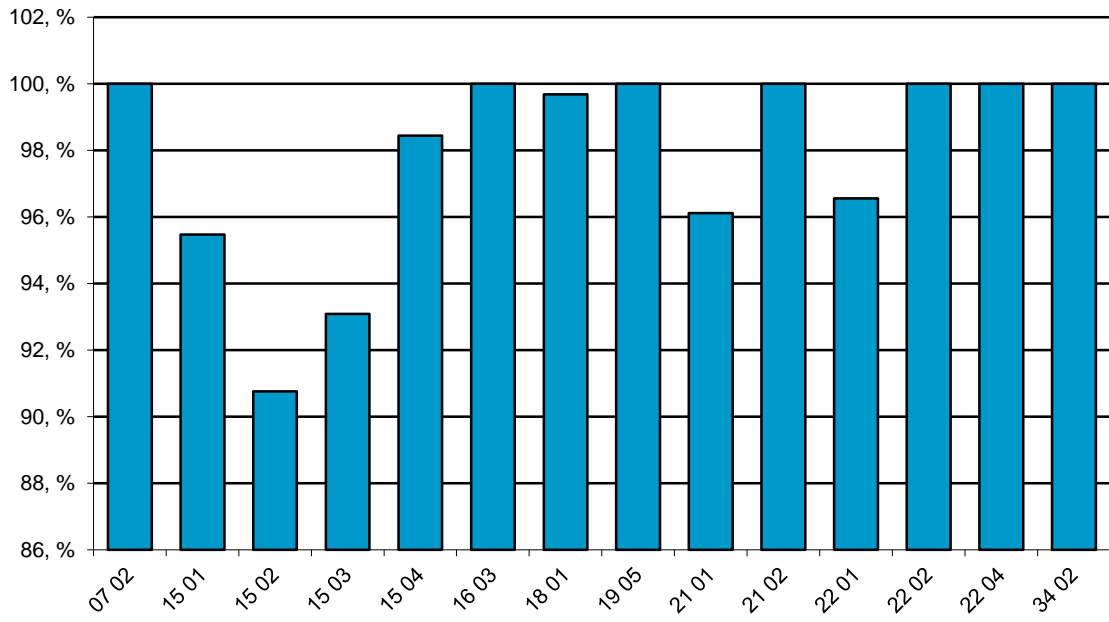


TABLE 2: OUTTURN ON PAYMENT APPROPRIATIONS IN 2017 (in Mio €)					
Chapter			Payment appropriations authorised *	Payments made	%
			1	2	3=2/1
Title 07 Environment					
07	07 02	Environmental policy at Union and international level	2,48	2,48	100,00 %
Total Title 07			2,48	2,48	100,00%
Title 15 Education and culture					
15	15 01	Administrative expenditure of the 'Education and culture' policy area	84,02	64,39	76,64 %
	15 02	Erasmus+	2037,15	1832,27	89,94 %
	15 03	Horizon 2020	337,58	305,43	90,48 %
	15 04	Creative Europe	8,18	8,15	99,70 %
Total Title 15			2466,93	2210,24	89,59%
Title 16 Communication					
16	16 03	Communication actions	3,20	3,20	100,00 %
Total Title 16			3,20	3,20	100,00%
Title 18 Migration and home affairs					
18	18 01	Administrative expenditure of the 'Migration and home affairs' policy area	0,02	0,00	0,00 %
Total Title 18			0,02	0,00	0,00%
Title 19 Foreign policy instruments					
19	19 05	Cooperation with third countries under the Partnership Instrument (PI)	15,43	14,89	96,46 %
Total Title 19			15,43	14,89	96,46%
Title 21 International cooperation and development					
21	21 01	Administrative expenditure of the 'International cooperation and development' policy area	2,16	2,08	96,11 %
	21 02	Development Cooperation Instrument (DCI)	33,42	33,42	100,00 %
Total Title 21			35,58	35,50	99,76%
Title 22 Neighbourhood and enlargement negotiations					
22	22 01	Administrative expenditure of the 'Neighbourhood and enlargement negotiations' policy area	3,53	3,40	96,55 %
	22 02	Enlargement process and strategy	28,14	24,03	85,40 %
	22 04	European Neighbourhood Instrument (ENI)	65,84	62,16	94,41 %
Total Title 22			97,50	89,59	91,89%
Title 34 Climate action					
34	34 02	Climate action at Union and international level	2,48	2,48	100,00 %
Total Title 34			2,48	2,48	100,00%
Total DG EAC			2623,62	2358,37	89,89 %

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

"% Outturn on payment appropriations"

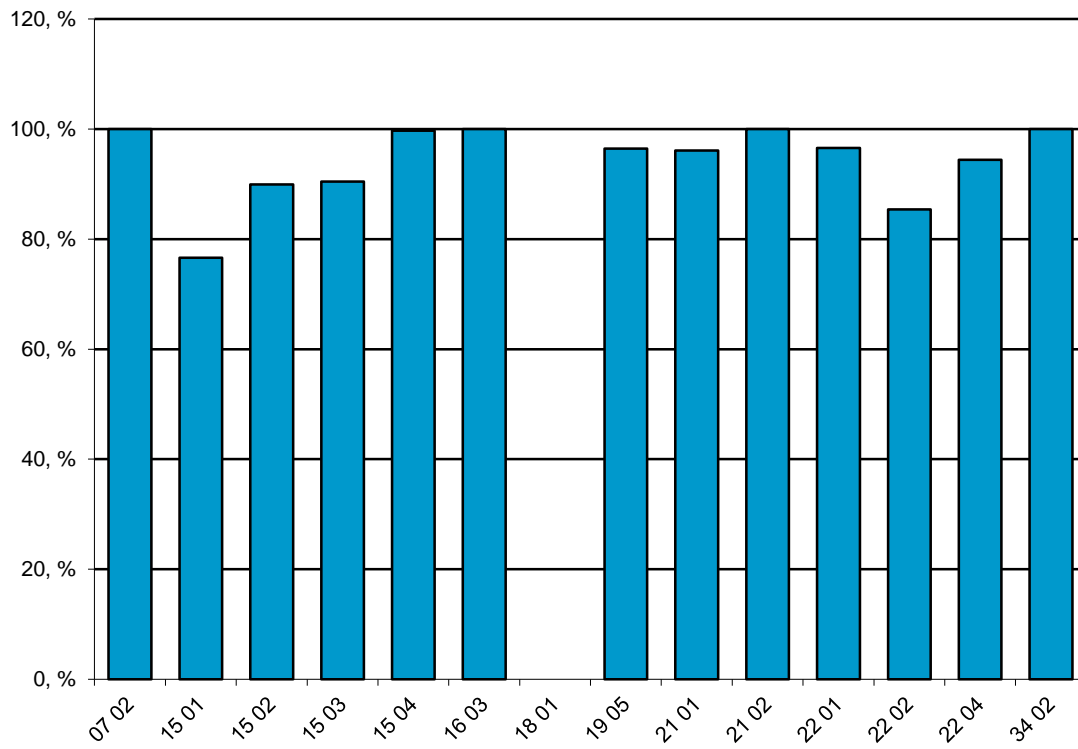


TABLE 3 : BREAKDOWN OF COMMITMENTS TO BE SETTLED AT 31/12/2017 (in Mio €)									
Chapter			2017 Commitments to be settled				Commitments to be settled from financial years previous to 2017	Total of commitments to be settled at end of financial year 2017	Total of commitments to be settled at end of financial year 2016
			Commitments 2017	Payments 2017	RAL 2017	% to be settled			
			1	2	3=12	4=12/1	5	6=3+5	7
Title 07 : Environment									
07	07 02	Environmental policy at Union and international level	3,00	2,48	0,52	17,31%	0,00	0,52	0,00
Total Title 07			3,00	2,48	0,52	17,31%	0,00	0,52	0,00
Title 15 : Education and culture									
15	15 01	Administrative expenditure of the 'Education and culture' policy area	68,99	57,48	11,51	16,68%	0,51	12,02	12,68
	15 02	Erasmus+	1867,40	1702,11	165,29	8,85%	131,85	297,14	305,46
	15 03	Horizon 2020	319,04	133,32	185,72	58,21%	0,67	186,39	172,86
	15 04	Creative Europe	10,62	5,78	4,84	45,58%	3,34	8,18	6,01
Total Title 15			2266,05	1898,70	367,35	16,21%	136,38	503,73	497,01
Title 16 : Communication									
16	16 03	Communication actions	3,00	2,40	0,60	20,00 %	0,00	0,60	0,80
Total Title 16			3,00	2,40	0,60	20,00%	0,00	0,60	0,80
Title 18 : Migration and home affairs									
18	18 01	Administrative expenditure of the 'Migration and home affairs' policy area	0,02	0,00	0,02	100,00 %	0,00	0,02	0,00
Total Title 18			0,02	0,00	0,02	100,00%	0,00	0,02	0,00
Title 19 : Foreign policy instruments									
19	19 05	Cooperation with third countries under the Partnership Instrument (PI)	16,52	7,08	9,44	57,13 %	0,51	9,94	8,31
Total Title 19			16,52	7,08	9,44	57,13%	0,51	9,94	8,31
Title 21 : International cooperation and development									
21	21 01	Administrative expenditure of the 'International cooperation and development' policy area	2,08	2,08	0,00	0,00 %	0,00	0,00	0,00
	21 02	Development Cooperation Instrument (DCI)	30,44	12,22	18,22	59,86 %	0,70	18,92	21,90
Total Title 21			32,52	14,29	18,22	56,04%	0,70	18,92	21,90
Title 22 : Neighbourhood and enlargement negotiations									
22	22 01	Administrative expenditure of the 'Neighbourhood and enlargement negotiations' policy area	3,40	3,40	0,00	0,00 %	0,00	0,00	0,00
	22 02	Enlargement process and strategy	24,76	8,32	16,44	66,39 %	0,07	16,51	15,98
	22 04	European Neighbourhood Instrument (ENI)	57,62	16,32	41,29	71,67 %	4,01	45,30	49,84
Total Title 22			85,78	28,05	57,73	67,30%	4,08	61,81	65,82
Title 34 : Climate action									
34	34 02	Climate action at Union and international level	3,00	2,48	0,52	17,31 %	0,00	0,52	0,00
Total Title 34			3,00	2,48	0,52	17,31%	0,00	0,52	0,00
Total DG EAC			2409,89	1955,48	454,40	18,86 %	141,67	596,07	593,85

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

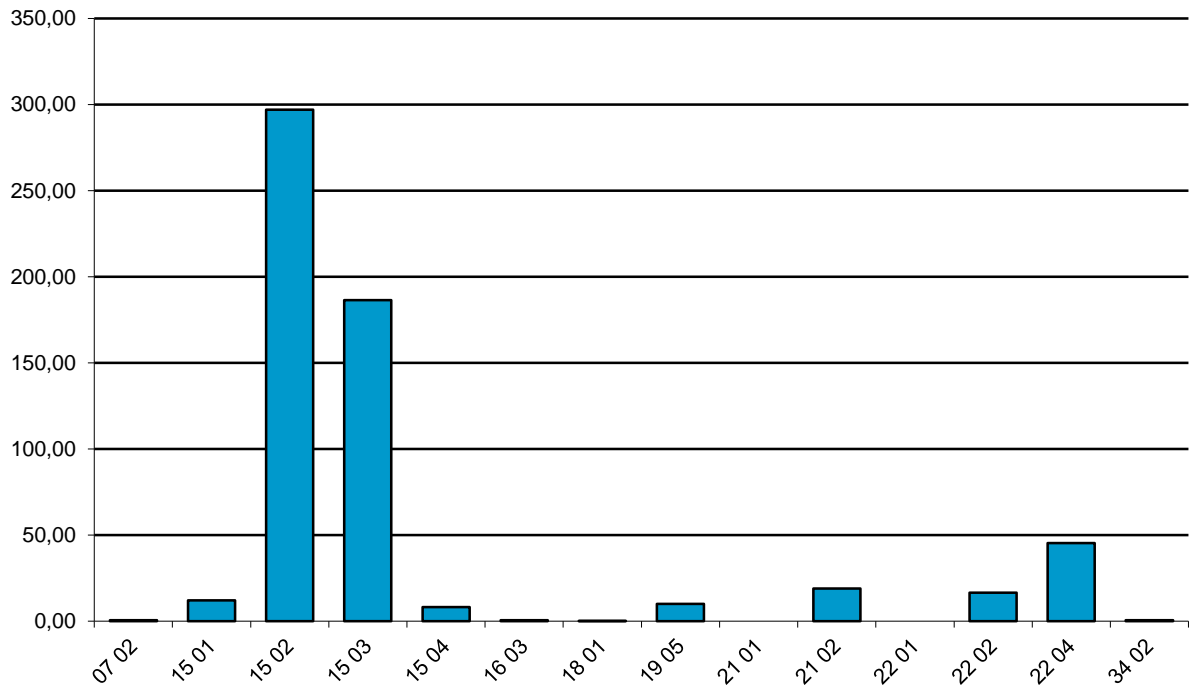


TABLE 4 : BALANCE SHEET EAC

BALANCE SHEET	2017	2016
A.I. NON CURRENT ASSETS	1.385.546.325	497.015.158
A.I.1. Intangible Assets	1.617.269	1.900.320
A.I.5. Non-Current Pre-Financing	1.383.929.056	495.114.838
A.II. CURRENT ASSETS	1.508.195.995	1.194.954.815
A.II.2. Current Pre-Financing	1.487.265.602	1.156.482.373
A.II.3. Curr Exch Receiv & Non-Ex Recoverables	6.464.361	22.533.452
A.II.6. Cash and Cash Equivalents	14.466.032	15.938.990
ASSETS	2.893.742.320	1.691.969.973
P.I. NON CURRENT LIABILITIES	(511.482)	(269.441)
P.I.2. Non-Current Provisions	(511.482)	(269.441)
P.II. CURRENT LIABILITIES	(14.922.532)	(17.308.484)
P.II.2. Current Provisions	(47.036)	
P.II.4. Current Payables	(2.126.007)	(4.558.261)
P.II.5. Current Accrued Charges & Defrd Income	(12.749.489)	(12.750.223)
LIABILITIES	(15.434.014)	(17.577.925)
NET ASSETS (ASSETS less LIABILITIES)	2.878.308.306	1.674.392.048
P.III.2. Accumulated Surplus/Deficit	5.952.237.097	4.340.910.299
Non-allocated central (surplus)/deficit*	(8.830.545.403)	(6.015.302.347)
TOTAL	0	0

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 EAC

STATEMENT OF FINANCIAL PERFORMANCE	2017	2016
II.1 REVENUES	(146.401.210)	(144.936.568)
II.1.1. NON-EXCHANGE REVENUES	(148.030.292)	(145.738.266)
II.1.1.5. RECOVERY OF EXPENSES	(5.367.291)	(1.335.265)
II.1.1.6. OTHER NON-EXCHANGE REVENUES	(142.663.001)	(144.403.001)
II.1.2. EXCHANGE REVENUES	1.629.082	801.698
II.1.2.1. FINANCIAL INCOME	(567.698)	(270.088)
II.1.2.2. OTHER EXCHANGE REVENUE	2.196.780	1.071.786
II.2. EXPENSES	1.061.012.170	1.756.263.366
II.2. EXPENSES	1.061.012.170	1.756.263.366
II.2.10. OTHER EXPENSES	69.941.268	65.337.682
II.2.2. EXP IMPL BY COMMISS&EX.AGENC. (DM)	37.015.440	33.662.506
II.2.3. EXP IMPL BY OTH EU AGENC&BODIES (IM)	305.151.638	264.437.708
II.2.4. EXP IMPL BY 3RD CNTR & INT ORG (IM)	53.050	(29.499)
II.2.5. EXP IMPL BY OTHER ENTITIES (IM)	648.842.006	1.392.849.659
II.2.6. STAFF AND PENSION COSTS	-	-
II.2.8. FINANCE COSTS	8.768	5.311
STATEMENT OF FINANCIAL PERFORMANCE	914.610.959	1.611.326.798

1) In total, the net assets position of DG EAC increased by 1,2 million euros compared to 2016 (72%). This is due to the change in the cut-off methodology. This change was discussed and then decided on by DG BUDG. In 2017, the prorata temporis methodology was applied because the approach followed in the previous years (using the signed contracts to calculate the implementation rates) was found to overestimate the work related to Erasmus+. By using the prorata temporis calculation, work in progress related to the pre-financing is materially smaller in 2017 than in 2016. Therefore, this calculation leads to a significant decrease of accrued expenses compared to the previous methodology based on signed agreements between national agencies and their beneficiaries.

2) The amount of recovery orders decreased by 71% from 2016 to 2017, coming back to their level of 2015. Following the evaluation of 2012 final projects, recovery orders towards national agencies were booked in the 2016 accounts but only cashed in 2017 and this explains why their amount in 2016 was exceptionally high.

3) Non-current and current provisions are linked to the financial provisions of the Student Loan Guarantee Facility. This corresponds to the expected losses that may arise from the guarantee portfolio, as students start to default on their payments in the coming years and as the Financial Intermediaries include more loans in the guaranteed portfolios.

4) Under the caption "Other exchange revenue", the most significant category is represented by the internal invoicing transactions between Commission services, which are offset at the Commission level. For DG EAC, these transactions lead to a debit balance of about 2 million euros of which 83% come from research studies provided by JRC in the field of education.

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 5bis : OFF BALANCE SHEET EAC

OFF BALANCE	2017	2016
OB.1. Contingent Assets	-	-
GR for pre-financing	-	-
OB.3. Other Significant Disclosures	(579.715.333)	(569.303.043)
OB.3.2. Comm against app. not yet consumed	(579.715.333)	(569.303.043)
OB.4. Balancing Accounts	579.715.333	569.303.043
OB.4. Balancing Accounts	579.715.333	569.303.043
OFF BALANCE	-	-

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

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

TABLE 6: AVERAGE PAYMENT TIMES FOR 2017 - DG EAC

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	9.672	9.364	97 %	9	308	3,18 %	36
40	1	1	100 %	27			
45	1	1	100 %	14			
50	31	30	97 %	28	1	3,23 %	130
60	341	340	100 %	20	1	0,29 %	69
75	1	1	100 %	24			
90	31	30	97 %	37	1	3,23 %	103

Total Number of Payments	10.078	9.767	1		311	0	
Average Net Payment Time	10			10			36
Average Gross Payment Time	17			16			37

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
-	108	571	0	10.078	136.948.248	0	2.358.530.580

Late Interest paid in 2017			
DG	GL Account	Description	Amount (Eur)
EAC	65010100	Interest on late payment of charges New FR	8 767,81
			8 767,81

TABLE 7 : SITUATION ON REVENUE AND INCOME IN 2017

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	
52	REVENUE FROM INVESTMENTS OR LOANS GRANTED, BANK AND OTHER INTEREST	-	11.821	11.821	-	1.786	1.786	10.035
57	OTHER CONTRIBUTIONS AND REFUNDS IN CONNECTION WITH THE ADMINISTRATIVE OPERATION OF THE INSTITUTION	1.628.164	-	1.628.164	1.628.164	-	1.628.164	-
59	OTHER REVENUE ARISING FROM ADMINISTRATIVE MANAGEMENT	1.608.519	-	1.608.519	1.608.519	-	1.608.519	-
60	CONTRIBUTIONS TO UNION PROGRAMMES	150.839.558	6.850.917	157.690.475	149.073.191	6.850.917	155.924.109	1.766.366
66	OTHER CONTRIBUTIONS AND REFUNDS	67.469.981	15.617.022	83.087.003	65.351.842	15.465.854	80.817.696	2.269.307
70	DEFAULT INTEREST AND INTEREST ON FINES	4.409	738	5.147	1.445	738	2.183	2.964
90	MISCELLANEOUS REVENUE	5.558	1.915	7.473	5.558	-	5.558	1.915
Total DG EAC		221.556.188	22.482.413	244.038.601	217.668.719	22.319.295	239.988.014	4.050.587

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

INCOME BUDGET RECOVERY ORDERS ISSUED IN 2017	Irregularity		OLAF notified		Total undue payments recovered		Total transactions in recovery context (incl. non-qualified)		% Qualified/Total RC	
	Nbr	RO Amount	Nbr	RO Amount	Nbr	RO Amount	Nbr	RO Amount	Nbr	RO Amount
2004							1	2.116,49		
2005							1	491,60		
2006							1	889,94		
2007							9	25.124,43		
2008							5	8.385,20		
2009							12	41.692,30		
2010							19	97.678,43		
2011	3	13.597,82			3	13.597,82	25	418.785,22	12%	3%
2012	5	352.622,60			5	352.622,60	39	11.730.503,95	13%	3%
2013	1	2.880,80	1	70.397,00	2	73.277,80	114	62.626.308,79	2%	0%
2014							41	19.462,52		
2015							79	249.367,46		
2016	2	3.853,25			2	3.853,25	101	2.247.597,51	2%	0%
2017	1	420,00			1	420,00	34	1.535.688,01	3%	0%
No Link							2	2.023,33		
Sub-Total	12	373.374,47	1	70.397,00	13	443.771,47	483	79.006.115,18	3%	1%

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												
NON ELIGIBLE IN COST CLAIMS	8	10.577,81	29	222.366,90			37	232.944,71	38	236.019,91	97%	99%
CREDIT NOTES	4	51.562,25	17	44.087,09			21	95.649,34	113	618.413,43	19%	15%
Sub-Total	12	62.140,06	46	266.453,99			58	328.594,05	151	854.433,34	38%	38%
GRAND TOTAL	12	62.140,06	58	639.828,46	1,00	70.397,00	71	772.365,52	634	79.860.548,52	11%	1%

TABLE 9: AGEING BALANCE OF RECOVERY ORDERS AT 31/12/2017 FOR EAC

	Number at 01/01/2017	Number at 31/12/2017	Evolution	Open Amount (Eur) at 01/01/2017	Open Amount (Eur) at 31/12/2017	Evolution
1999	1	1	0 %	8.000	8.000	0
2002	1	1	0 %	66.035	66.035	0
2003	1	1	0 %	18.667	18.667	0
2005	3	2	-33 %	86.105	33.241	-1
2008	1	1	0 %	35.260	35.260	0
2009	1		-100 %	6.586		-1
2012	1		-100 %	56.126		-1
2014	1	1	0 %	1.915	1.915	0
2016	28		-100 %	22.203.719		-1
2017		8			3.887.469	
	38	15	-61 %	22.482.413	4.050.587	-1

TABLE 10 : RECOVERY ORDER WAIVERS IN 2017 >= EUR 100.000

	Waiver Central Key	Linked RO Central Key	RO Accepted Amount (Eur)	LE Account Group	Commission Decision	Comments

Total DG EAC	
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Number of RO waivers	
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TABLE 11 : CENSUS OF NEGOTIATED PROCEDURES - DG EAC - 2017

Internal Procedures > € 60,000

Negotiated Procedure Legal base	Number of Procedures	Amount (€)
Art. 134.1(b) (Without prior publication) Work of art, technical reasons or protection of exclusive rights	1	225.000
Total	1	225.000

TABLE 12 : SUMMARY OF PROCEDURES OF DG EAC 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)	1	225.000
Negotiated Procedure with at least five candidates below Directive thresholds (Art. 136a RAP)	1	79.820
Open Procedure (Art. 104(1) (a) FR)	2	11.500.000
Open Procedure (Art. 127.2 RAP)	6	3.734.426
Restricted Procedure (Art. 104(1) (b) FR)	1	118.000
Restricted Procedure (Art. 127.2 RAP)	1	80.100
Total	12	15.737.346

TABLE 13 : BUILDING CONTRACTS

Legal base	Contract Number	Contractor Name	Description	Amount (€)

TABLE 14 : CONTRACTS DECLARED SECRET

Legal base	Contract Number	Contractor Name	Description	Amount (€)

ANNEX 4: Materiality criteria

In line with Commission guidelines, the deficiencies leading to reservations should fall within the scope of the declaration of assurance. The following types of possible deficiencies can be relevant in DG EAC's context:

- Significant repetitive errors detected during ex post controls or supervision exercises. The frequency and duration of the errors will be the determining factor to judge their significance.
- Significant weakness in one of the control systems identified by auditors, in supervision exercises, or in the assessment of the implementation of the internal control standards. A particularly relevant case for DG EAC would be identified weaknesses in the control chain of National Agencies.
- Situation where a major critical issue that is of relevance to the declaration has been identified by the European Court of Auditors, or the Internal Audit Service.
- Situation where the DG knows that it does not have sufficient evidence from internal control systems or audit coverage.
- Situation where the DG has evidence that a significant risk remain unmitigated.
- A significant risk for the reputation of the Commission.

When significant weaknesses are identified, a quantification of the amount at risk should be carried out when possible.

As the DG implements its budget through three very different implementation modes (see section 2.1-2.2), which have different risk profiles and which each have their own control and supervision arrangements, it is considered that observed quantified weaknesses should be assessed against the part of the budget spent in each specific implementation mode. As the Directors of the executive agencies are Authorising Officers by Delegation for the parts of the programmes delegated to them, they take responsibility for this spending in their declaration of assurance in the AARs of the executive agencies. Consequently, the operational spending through executive agencies is not part of the declaration of assurance of the Director General of the parent DGs, only the subsidy for the EA's operating budget. The following diagram gives an overview of the discussed basis for assessing materiality for the two other implementation modes.

Overview of basis for assessing materiality

	Erasmus+ 15.02	Horizon 2020 15.03	Creative Europe 15.04
Indirect management through NAs			
Direct management by DG EAC			

In order to better capture the multi-annual nature of programmes and control activities, a multi-annual approach to the calculation of error rates has been introduced as from AAR 2012. The error rate for Erasmus+ is based on the collected checks on beneficiaries available for the period 2014-2017. The detected error rate calculated in the 2017 AAR for the LLP and YiA programmes (2007-13) is based on audits carried out over the prior 6 years. Cashed recoveries related to the audit findings (no extension of audit findings is possible in the context of DG EAC's beneficiary population) are deducted to arrive at the residual error rate. If the amount at risk surpasses 2% of the budget for a specific implementation mode during the multiannual reporting period, a reservation should be considered.

In order to quantify the weaknesses, a detected and residual error rate is obtained through random ex post audits for each implementation mode.

Where the deficiency consists of an observed serious weakness in the control system, it will not always be possible to quantify the amount at risk based on observed errors. This can be in particular relevant for the indirect management through National Agencies, where, in the framework of the single audit model, the DG's assurance is mainly based on a verification of the functioning of the control system. In such a case, the following steps are taken to calculate the percentage of the budget at risk:

- Analyse the effectiveness of the control system of each NA/NAU combination and conclude, based on all available information (audits, visits, Declarations of Assurance, reporting...), if the system gives acceptable, partial or no assurance.
- Identify the part of the budget that has been executed through systems with acceptable, partial and no assurance.
- Deduct any relevant suspensions of payments and any financial corrections to obtain the maximum open exposure.
- As an approximation for the potential exposure, consider that 20% of the calculated maximum open exposure is at risk for NA/NAUs with no assurance; 5% of the exposure for NA/NAUs with partial assurance; the observed error rate in random testing for NA/NAUs with reasonable assurance.

ANNEX 5: Internal Control Template(s) for budget implementation (ICTs)

Procurement management

Stage 1: Programming, evaluation and selection of tenders

A - Preparation, adoption and publication of the Annual Work Programme and Calls for tender and other procurement procedures

Main control objectives: Ensuring that the tenders submitted meet the objectives, priorities and needs set by DG EAC; Compliance.

Main risks It may happen (again) that...	Mitigating controls	How to determine coverage, frequency and depth	How to estimate the costs and benefits of controls	Control indicators
<p>Risk that the annual work programme and the subsequent calls for tender or other procurement procedures do not adequately reflect the objectives and priorities or are not consistent with DG EAC legal bases.</p> <p>Risk that the needs are not well defined (operationally and economically) and that the procedure to procure was inappropriate.</p>	<p>Definition of needs and procedures to be launched in the Work program or other planning tools.</p> <p>Tenders discussed during directorial management meetings and sometimes at the level of the Directors Board.</p> <p>Planning of procedures and monitoring at the level of central financial unit, collaboration with Service Support to Directors (SuDs) and Operating Units (OU).</p>	<p>Coverage / Frequency: 100% of procurement procedures (nature of checks may differ for specific contracts under non-competitive Framework Contracts)</p> <p>Depth: In-depth analysis of procedures maybe differentiated depending on the type of procedure</p>	<p>Costs: <i>Cost of staff involved in procurement planning</i></p> <p>Benefits: <i>Qualitative benefits: Comprehensive Work Programme and planning give assurance that procedures meet DG EAC objectives, priorities and needs and that the procedures are appropriate to the needs.</i></p>	<p>Effectiveness: <i>% of number of calls and other procurement procedures launched / number of calls and other procurement procedures planned in WP or other planning tools</i></p>
<p>Risk of high quality offers not being submitted due to the choice of the procedure and/or the specifications</p>	<p>Regular preparatory meetings between central financial unit and OU before launching the procedures</p> <p>Financial circuit : Central Financial Unit validation and AOS approval on specifications</p>	<p>Coverage / Frequency: 100% of procurement procedures (nature of checks may differ for specific contracts under non-competitive Framework Contracts)</p> <p>Depth: In-depth analysis of the procedures maybe differentiated depending on the type of procedure</p>		

B - Selecting and awarding: Evaluation, ranking and selection of tenders

Main control objectives: Ensuring that the tenders submitted meet the objectives, priorities and needs set by DG EAC; Compliance; Prevention of fraud.

Main risks It may happen (again) that...	Mitigating controls	How to determine coverage, frequency and depth	How to estimate the costs and benefits of controls	Control indicators
<p>Risk of most advantageous offer not being selected, due to a deficiencies in the selection/evaluation process</p>	<p>Documented procedures available for OU together with templates on intranet (Based on Business Process Management analysis)</p> <p>Appointment of the evaluation committee members who might be assisted for important calls by independent experts</p> <p>Validation by the AO of the evaluation stage In addition, if applicable: opinion of advisory bodies</p> <p>Training sessions on new regulatory provisions for procurement given to staff involved in contracts management.</p> <p>Systematic checks on operational and legal aspects performed before signature of the contract.</p>	<p>Coverage / Frequency: 100% of procurement procedures (nature of checks may differ for specific contracts under non-competitive Framework Contracts)</p> <p>Depth: In-depth analysis of procedures maybe differentiated depending on the type of procedure</p>	<p>Costs: Cost of staff involved in the selection/evaluation of calls. If applicable, cost of the external experts</p> <p>Benefits: A robust selection/evaluation process allows the DG to cover its needs in an efficient way and limits the possible litigations High quality services provided</p>	<p>Effectiveness: <i>% of number of evaluated tenders / total number of tenders received</i></p>

Stage 2: Contracting and monitoring the execution

Main control objectives: Ensuring that the tenders submitted meet the objectives, priorities and needs set by DG EAC. Ensuring that the operational results (deliverables) are of good value and meet the objectives and conditions; ensuring that the related financial operations comply with regulatory and contractual provisions; prevention of fraud; ensuring appropriate accounting of the operations; compliance.

Main risks It may happen (again) that...	Mitigating controls	How to determine coverage, frequency and depth	How to estimate the costs and benefits of controls	Control indicators
<p>Risk of payments which are not in accordance with the applicable contractual and regulatory provisions.</p> <p>Risk of non-implementation of the contract (the tasks foreseen are not, totally or partially carried out in accordance with the technical description and requirements foreseen in the contract)</p> <p>Risk of inadequate quality or not reaching policy objectives</p>	<p>Effective external communication and guidance to the tenderers.</p> <p>Preparatory meetings for sensitive and high risk contracts.</p> <p>Operational and financial checks in accordance with the financial circuits and the provisions of the contractual documents in order to ensure that each stage (including amendment) of the procedure/work programme is correctly and fully implemented.</p> <p>Monitoring measures are put in place also at the moment of interim reports.</p> <p>Supervision and authorisation by the AO during the procedure/work programme implementation</p>	<p>Coverage / Frequency: 100% of procurement procedures</p> <p>Depth: In case of doubts at the time of payment, more in-depth controls are put in place</p>	<p>Costs: Cost of staff involved in this phase</p> <p>Benefits: Qualitative and quantitative benefits :</p> <p>Detection of errors before payment, sound financial management and respect of contractual provisions</p> <p>Reduction of the committed amounts for contracts and more efficient use of funds due to risk detection.</p> <p>Reduction of the error rate</p> <p>Operational results are of good value and meet the objectives and conditions</p>	<p>Effectiveness: Number of suspended or refused reports/total number of reports</p>

Stage 3: Ex-post controls

A - Reviews, audits and monitoring

Main control objectives: Measuring the level of error in the population after ex-ante controls have been undertaken; detect and correct any error or fraud remaining undetected after the implementation ex-ante controls; identifying possible systemic weaknesses in the ex-ante controls, or weaknesses in the rules

Main risks It may happen (again) that...	Mitigating controls	How to determine coverage, frequency and depth	How to estimate the costs and benefits of controls	Control indicators
<p>Risk of not detecting by ex-ante controls errors, non-compliance with specifications or potential frauds</p> <p>The ex-post controls focus on the detection of external errors (e.g. made by beneficiaries and contractors), which is the main driver of the error rate.</p>	<p>At intervals carry out ex-post controls and external audits of a representative sample of operations to measure the level of error in the population after ex-ante controls have been performed</p> <p>Additional sample if necessary to address specific risks</p> <p>At intervals IAC audits carried out on DG EAC procedures</p> <p>Ex-post controls and audit planning and monitoring of the action plan implementation.</p> <p>In case of systemic error being detected, extrapolation to all similar non-audited procedures.</p>	<p>MUS and random Selection Audit programme of approximately 10 MUS and 10 randomly selected items per year on procurement, with a coverage of 3%, and a 100% depth of testing.</p> <p>Period checks of procurement transactions in the context of the regular accounting control process</p>	<p>Costs: Cost of staff involved in the coordination and execution of the ex-post controls and audits.</p> <p>Benefits: Reduction in the number and budget value of the errors detected by the auditors.</p> <p>Improvement of ex-ante controls or risk approach in ex-ante controls by feeding back findings from audits.</p> <p>Improvement in rules and guidance from feedback from audits.</p>	<p>Effectiveness: Consistent error rate data for the AAR.</p>

Grants direct management

Stage 1: Programming, evaluation and selection of proposals

A - Preparation, adoption and publication of the Annual Work Programme and Calls for proposals and other grants procedures

Main control objectives: Ensuring that the proposals submitted meet the objectives and priorities set by DG EAC; Compliance; Prevention of fraud

Main risks It may happen (again) that...	Mitigating controls	How to determine coverage, frequency and depth	How to estimate the costs and benefits of controls	Control indicators
<p>The annual work programme and the subsequent calls for proposals or other grant procedures do not adequately reflect the objectives and priorities, are incoherent and/or the essential eligibility, selection and award criteria are not adequate to ensure the evaluation of the proposals.</p> <p>The annual work programmes are not consistent with DG EAC legal bases.</p>	<p>Hierarchical validation within the authorising department</p> <p>Inter-service consultation, including all relevant DGs; adoption by the Commission</p> <p>Explicit allocation of responsibility.</p> <p>Validation of calls or other grant procedures by the central financial unit before launching the procedure</p>	<p>Coverage / Frequency: 100%</p> <p>Depth: All work programmes and calls or other grant procedures are thoroughly reviewed at all levels, including for operational and legal aspects. In-depth controls are put in place for riskier grant procedures.</p>	<p>Costs: estimation of cost of staff involved in the preparation and validation of the annual work programmes and calls or other grant procedures.</p> <p>Benefits: Qualitative benefits. A good Work Programme and well prepared calls or other grant procedures give assurance that applications meet DG EAC objectives and priorities. Clear planning/programming ensure simplification of procedures Quantitative benefits: number of applications or number of work program objectives met.</p>	<p>Effectiveness: % of number of calls or other grant procedures launched / number of calls or other grant procedures planned in WP</p>
<p>In the preparation of simplified form of grants, the categories of eligible costs are not clearly identified in advance</p>	<p>Methodologies on calculating simplified form of grants have been prepared. Commission decisions were taken on their use.</p>	<p>Coverage / Frequency: 100% of procedures concerned by simplified forms of grants</p> <p>Depth: in-depth analysis for</p>	<p>Costs: estimation of cost of staff involved in the preparation and implementation of simplified form of grant</p>	<p>Effectiveness: % number of grant procedures concerned by simplified forms of grants/total number of grant</p>

Main risks It may happen (again) that...	Mitigating controls	How to determine coverage, frequency and depth	How to estimate the costs and benefits of controls	Control indicators
	<p>The method for determining lump sums, unit costs or flat-rate financing is based on either adequate statistical data, certified historical data or usual accounting practices of the beneficiary.</p> <p>Regular meetings between central financial unit and Operational Unit (OU) were organised to discuss the methodologies and to harmonize the use of this form of grants at the lever of the DG</p> <p>Regular monitoring/follow-up of their implementation in DG EAC.</p>	<p>categories of costs with high degree of complexity and risk</p>	<p>Benefits: Qualitative benefits refer to simplification of grants procedures and consequent ease of application.</p>	<p>procedures</p>

B - Selecting and awarding: Evaluation, ranking and selection of proposals

Main control objectives: Ensuring that the proposals submitted meet the objectives and priorities set by DG EAC; Compliance; Prevention of fraud

Main risks It may happen (again) that...	Mitigating controls	How to determine coverage, frequency and depth	How to estimate the costs and benefits of controls	Control indicators
<p>The evaluation, ranking and selection of proposals is not carried out in accordance with the established procedures, the objectives and priorities and the eligibility, selection and award criteria defined in the annual work programme</p>	<p>Documented procedures available to operational staff with relevant guidance documents such as templates e.g., via the intranet (based on Business Process Management analysis) Appointment of the</p>	<p>100% of individual or spontaneous applications are evaluated.</p> <p>More in depth analysis can be carried out depending on the type of grants</p>	<p>Costs: estimation of cost of staff involved in the evaluation process. If applicable, cost of the external experts</p> <p>Benefits: a robust evaluation process contributes to assurance on</p>	<p>Effectiveness: <i>% of number of evaluated applications / total number of applications received</i></p>

Main risks It may happen (again) that...	Mitigating controls	How to determine coverage, frequency and depth	How to estimate the costs and benefits of controls	Control indicators
<p>and subsequent calls for proposals and/or invitations to submit proposals.</p>	<p>evaluation committee members who might be assisted for important calls by independent experts</p> <p>Evaluation committee members are selected for their technical expertise and independence (e.g. sworn declaration for conflicts of interests)</p> <p>Validation by the AO of the evaluation stage In addition, if applicable: opinion of advisory bodies; comitology where appropriate</p> <p>Training sessions on new regulatory provisions for grants given to staff involved in grant management to improve performance</p> <p>Systematic checks on operational and legal aspects performed before signature of the grant agreement or decision.</p>		<p>the good implementation of the WP</p>	

Stage 2: Contracting

Main control objectives: Ensuring that the proposals accepted meet the objectives and priorities set by DG EAC; Compliance

Main risks It may happen (again) that...	Mitigating controls	How to determine coverage, frequency and depth	How to estimate the costs and benefits of controls	Control indicators
Procedures do not comply with the regulatory framework.	<p>Documented procedures available to operational staff with relevant guidance documents such as templates e.g., via the intranet(based on Business Process Management process analysis)</p> <p>Project Officers implement evaluators' recommendations in contracting with applicants</p> <p>Hierarchical validation of proposed adjustments.</p> <p>Ex-ante verification of the proposed budget</p> <p>Signature of the grant agreement or decision by the AO.</p>	<p>100 % of proposals are checked by financial initiators and verifiers before commitment</p> <p>Depth may be differentiated depending on the nature of the grant or beneficiary</p>	<p>Costs: estimation of cost of staff involved in the contracting process.</p> <p>Benefits: Qualitative benefits: The mitigating controls put in place to ensure the respect of rules and procedures contribute to avoiding possible errors at the stage of contracting.</p>	<p>Effectiveness: % of errors or challenges to contractual procedures</p>

Stage 3: Monitoring the execution

Main control objectives: ensuring that the operational results (deliverables) from the projects are of good value and meet the objectives and conditions; ensuring that the related financial operations comply with regulatory and contractual provisions; prevention of fraud; ensuring appropriate accounting of the operations

Main risks It may happen (again) that...	Mitigating controls	How to determine coverage, frequency and depth	How to estimate the costs and benefits of controls	Control indicators
<p>The actions foreseen are not, totally or partially carried out in accordance with the technical description and requirements foreseen in the grant agreements or decisions and/or the amounts paid exceed what is due in accordance with the applicable contractual and regulatory provisions.</p>	<p>Kick-off meetings (if applicable) and "launch events" involving the beneficiaries in order to avoid beneficiary reporting errors.</p> <p>Effective external communication about guidance to the beneficiaries.</p> <p>Operational and financial checks in accordance with the financial circuits and the provisions of the contractual documents in order to ensure that each stage (including amendment) of the action/work programme is correctly and fully implemented.</p> <p>Supervision and authorisation by the AO during the action/work programme implementation.</p> <p>Audit certificates for final payments required in compliance with FR.</p>	<p>100% of the projects are controlled each time a payment is made or an amendment is issued.</p> <p>In case of doubts at the moment of the payment, more in-depth controls are put in place.</p>	<p>Costs: estimation of cost of staff involved in this phase.</p> <p>Benefits: any reduction of the committed amounts for grants due to risk materialization. (data not available so far)</p> <p>Reduction of the error rate.</p> <p>Operational results from the projects are of good value and meet the objectives and conditions</p>	<p>Effectiveness: % of errors detected at an operational or financial level</p>

Main risks It may happen (again) that...	Mitigating controls	How to determine coverage, frequency and depth	How to estimate the costs and benefits of controls	Control indicators
<p>Non-detection of grants with high risk of non-implementation when no bank guarantee is requested.</p>	<p>Methodology on evaluation of pre-financing risks and guidelines on pre-financing payments are in place in conformity with FR</p> <p>Training sessions on new regulatory provisions for grants given to staff involved in grants management</p> <p>Workshops on risk assessment for staff concerned</p> <p>Verification at the stage of payments</p>	<p>100% of grants for which a pre-financing is foreseen are subject to a risk analysis</p> <p>An in-depth evaluation of risks is carried out for each grant concerned by a pre-financing, based on a set of criteria (value, duration, type of grant, subject, financial capacity, type of payments).</p>	<p>Cost: estimation of cost of staff involved in risk analysis</p> <p>Benefits: assurance that riskier actions are identified and mitigating measures (e.g. guarantees) are taken in order to preserve EU financial interests.</p>	<p>Effectiveness: % number risk analysis/number of grants concerned by pre-financing payment</p>

Stage 4: Ex-post controls

A - Reviews, audits and monitoring

Main control objectives: Measuring the level of error in the population after ex-ante controls have been undertaken; detect and correct any error or fraud remaining undetected after the implementation ex-ante controls; identifying possible systemic weaknesses in the ex-ante controls, or weaknesses in the rules

Main risks It may happen (again) that...	Mitigating controls	How to determine coverage, frequency and depth	How to estimate the costs and benefits of controls	Control indicators
<p>Risk of not detecting by ex-ante controls errors or non-compliance with specifications or frauds</p> <p>The ex-post controls focus on the detection of external errors (e.g. made by beneficiaries, which is the main driver of the error rate.</p>	<p>At intervals carry out ex-post controls and external audits of a representative sample of operations to measure the level of error in the population after ex-ante controls have been performed.</p> <p>Additional sample to address specific risks, where appropriate.</p> <p>At intervals IAC audits carried out on DG EAC procedures</p> <p>Ex-post controls and audit planning and monitoring of the action plan implementation.</p> <p>In case of systemic error detected extrapolation to all the non-audited similar procedures.</p>	<p>MUS Selection Audit programme of approximately 10 externally contracted audits per year on projects, with a coverage of 10%, and a 100% depth of testing.</p> <p>Period checks of grant transactions in the context of the AAR and the regular accounting control process</p>	<p>Costs: Cost of staff involved in the coordination and execution of the ex-post controls and audits.</p> <p>Benefits: Reduction in the number and budget value of the errors detected by the auditors.</p> <p>Improvement of ex-ante controls or risk approach in ex-ante controls by feeding back findings from audits.</p> <p>Improvement in rules and guidance from feedback from audits.</p>	<p>Effectiveness: Consistent error rate data for the AAR.</p>

B - Implementing results from ex-post audits/controls

Main control objectives: Ensuring that the (audit) results from the ex-post controls are implemented.

Main risks It may happen (again) that...	Mitigating controls	How to determine coverage, frequency and depth	How to estimate the costs and benefits of controls	Control indicators
Risk of non-implementing of action plans for correcting errors, irregularities and cases of fraud detected	Ex-post supervision strategy, performed by external auditors, AOSD decision based on the recommendation of the auditors and proper follow up of recoveries.	100% of results are implemented	<p>Costs: Cost of staff involved in the implementation of the audit results.</p> <p>Benefits: Budget value of the errors, detected by ex-post controls/audits, which have actually been corrected</p>	<p>Effectiveness: Recovery of ineligible amounts</p>

Indirect management – National Agencies

Stage 1 – Establishment (or prolongation) of the mandate to the entrusted entity.

Main control objectives: Ensuring that the legal framework for the management of the relevant funds is fully compliant and regular (legality & regularity), delegated to an appropriate entity (best value for public money, economy, efficiency), without any conflicts of interests (anti-fraud strategy).

Main risks <i>It may happen (again) that...</i>	Mitigating controls	How to determine coverage frequency and depth	How to estimate the costs and benefits of controls	Possible control indicators
<p>The establishment (or prolongation) of the mandate of the National Agency is affected by legal issues, which would undermine the legal basis for the management of the related decentralised EU funds (via that particular National Agency).</p>	<p>Before the Commission signs a contract (Delegation Agreement) with the National Agency, DG EAC a) reviews the ex-ante compliance assessment and b) approves the work programme of the National Agency.</p> <p>After each year of programme implementation, the Independent Audit Bodies provide an audit opinion on the proper management of the funds by the NAs, on the functioning of their control system and on the probity of the accounts presented in the Yearly NA Reports.</p> <p>DG EAC has set minimum standards of control and procedures for the NAs (Guide for National Agencies, updated annually) and issued Guidelines for National Authorities in relation to the responsibilities of the Independent Audit Body.</p>	<p>Coverage/Frequency: 100%</p> <p>Depth: Checklist includes a list of the requirements of the regulatory provisions to be complied with.</p> <p>If risk materialises, funds delegated during the year(s) to the entrusted entity may be subject to error and irregularity</p>	<p>Costs: estimation of cost of staff involved in the preparation, adoption and selection work.</p> <p>Benefits: The potential error which could affect the budget amount entrusted to the National Agency, if significant (legal) errors would otherwise be detected.</p>	<p>Effectiveness: Smooth transition to new NA or to new competences of the existing NA.</p> <p>Efficiency: Timely conclusion of process.</p>

Main risks <i>It may happen (again) that...</i>	Mitigating controls	How to determine coverage frequency and depth	How to estimate the costs and benefits of controls	Possible control indicators
	Negotiation of legal base with the Legislative Authority, following which the designation of the National Authority, National Agency and Independent Audit Body.			

Stage 2 – Ex-ante (re)assessment of the entrusted entity’s financial and control framework (towards “budget autonomy”; “financial rules”).

Main control objectives: Ensuring that the entrusted entity is fully prepared to start/continue implementing the delegated funds autonomously while respecting all 5 ICOs.

Main risks <i>It may happen (again) that...</i>	Mitigating controls	How to determine coverage, frequency and depth	How to estimate the costs and benefits of controls	Possible control indicators
<p>The financial and control framework deployed by the National Agency is not fully mature to guarantee achieving all 5 ICOs (<i>legality and regularity, sound financial management, true and fair view reporting, safeguarding assets and information, anti-fraud strategy</i>).</p> <p>For the Erasmus+ programme (2014-2020):</p> <ul style="list-style-type: none"> - Ex-ante Compliance Assessments for the new National Agencies are of poor quality 	<p><u>Erasmus+ Programme (2014-2020):</u></p> <p>Guidance documents on the designation of National Agencies under Erasmus+, on the ex-ante Compliance Assessments and on the transition/handover between National Agencies</p> <p>Ex-ante assessment, conditional to sign a Delegation Agreement with the new National Agency</p> <p>Guidance to Independent Audit Bodies</p> <p>Hierarchical validation by the AOSD of the Directorate competent for the NA coordination.</p>	<p>Coverage/frequency: 100% of National Agencies</p> <p>Depth : all ex-ante assessment are analysed with the same depth, independently of the level of decentralised funds that will be entrusted to the National Agency</p>	<p>Costs: estimation of cost of staff involved in the ex-ante assessment process (which includes missions).</p> <p>Benefits: The potential error in the (average annual) total budget avoided.</p>	<p>Effectiveness: Positive performance of stakeholders achieved</p> <p>Efficiency Indicators: Timeliness of process (guidance is clear and properly applied by stakeholders)</p>

Stage 3 – Operations: monitoring, supervision, reporting (“representation” / “control around the entity”).

Main control objectives: Ensuring that the Commission is fully and timely informed of any relevant management issues encountered by the entrusted entity, in order to possibly mitigate any potential financial and/or reputational impacts (legality & regularity, sound financial management, true and fair view reporting, anti-fraud strategy).

Main risks <i>It may happen (again) that...</i>	Mitigating controls	How to determine coverage, frequency and depth	How to estimate the costs and benefits of controls	Possible control indicators
<p>Due to weak "modalities of cooperation, supervision & reporting", the Commission is not (promptly) informed of relevant management issues encountered by the National Agency, and/or does not (promptly) react upon notified issues by mitigating them or by making a critical observation and recommendation for them – which may reflect negatively on the Commission’s governance reputation and quality of accountability reporting.</p>	<p>The Commission – National Agency Agreement (for LLP/YiA) or Delegation Agreement (Erasmus+) specifying the control, accounting, audit, publication, etc. related requirements – <i>incl. the modalities on reporting back relevant and reliable control results</i></p> <p>Analysis and assessment of yearly Management Declarations, including yearly NA reports, of National Agencies.</p> <p>Analysis of ad hoc reports submitted by National Agencies throughout the year on new cases of irregularities and (potential) fraud.</p> <p>Specific instructions for NAs on prevention, detection and reporting on irregularities and fraud (as from 2016).</p> <p>Ad hoc analytical reviews of data encoded by NAs in EPlusLink (two reviews made in 2016: one on respect of legal deadlines concerning the project lifecycle and another on</p>	<p>Coverage: 100% of the National Agencies are monitored/supervised. 100% of the audit opinions provided by the Independent Audit Bodies are supervised. Frequency: annually</p> <p><u>In case of</u> operational and/or financial issues, measures are being reinforced.</p> <p>The depth is the same for all National Agencies.</p>	<p>Costs:</p> <ul style="list-style-type: none"> - estimation of cost of staff involved in the actual (regular or reinforced) monitoring and supervising the National Agencies (which includes missions) - cost of externalised financial audits of COM-NA Agreements of National Agencies <p>Benefits: Assurance on the budget amount entrusted to the National Agency.</p>	<p>Effectiveness: Conclusions reached on the basis of annual reports and Management Declarations are confirmed by monitoring visits, audits and other supervisory activities.</p> <p>Efficiency Indicators: Timeliness of delivery of Management Declarations, annual NA reports, annual audit opinions and annual reports of National Authorities</p> <p>Cost effectiveness : Long term resource monitoring</p>

Main risks <i>It may happen (again) that...</i>	Mitigating controls	How to determine coverage, frequency and depth	How to estimate the costs and benefits of controls	Possible control indicators
	primary checks) Analysis and assessment of yearly audit opinions of Independent Audit Bodies on the yearly NA Management Declarations. Analysis and assessment of the yearly reports of National Authorities on their monitoring and supervision activities (October reports). Risk-based supervisory visits to National Agencies and National Authorities Financial audits on yearly sampled of National Agencies Regular reporting to Senior Management and in AAR of the supervision results. Regular NA meetings, webinars and training of NA staff Yearly seminar/webinar with National Authorities and Independent Audit Bodies and regular updates and improvements of guidelines for them <u>If appropriate/needed:</u> - monitoring visits to National Agencies to support and provide advice - individual targeted follow-up of critical recommendations - precautionary measures			

Main risks <i>It may happen (again) that...</i>	Mitigating controls	How to determine coverage, frequency and depth	How to estimate the costs and benefits of controls	Possible control indicators
	<ul style="list-style-type: none"> - intervention, e.g. via own audits on-the-spot, - referral to OLAF 			

Stage 4 – Commission contribution: payment or suspension/interruption.

Main control objectives: Ensuring that the Commission fully assesses the management situation at the entrusted entity, before either paying out the (next) contribution for the operational and/or operating budget of the entity, or deciding to suspend/interrupt the (next) contribution (legality & regularity, sound financial management, anti-fraud strategy).

Main risks <i>It may happen (again) that...</i>	Mitigating controls	How to determine coverage, frequency and depth	How to estimate the costs and benefits of controls	Possible control indicators
<p>The Commission pays out the (next) contribution to the National Agency, while not being aware of the management issues that may lead to financial and/or reputational damage.</p>	<p>The Commission – National Agency Agreement (for LLP/YiA) or Delegation Agreement (Erasmus+) specifying the control, accounting, audit, publication, etc. related requirements</p> <p>Management review of the supervision results.</p> <p>Ex-ante Operational Verification and Financial Verification, 'in-depth' as required</p> <p>Hierarchical validation of contribution payment of operating grant and funds for decentralised actions and recovery of non-used funds for decentralised actions</p> <p><u>If appropriate/needed:</u> suspension or interruption of payments</p>	<p>Coverage: 100% of the contribution payments.</p> <p>Frequency: usually annually</p> <p>The depth is the same for all National Agencies.</p>	<p>Costs: estimation of cost of staff involved in the (in-depth) OV and FV of the contribution payments/recoveries to/from the National Agencies.</p> <p>Benefits: The potential error in the (average annual) total budget avoided.</p> <p>Benefits in case of recovery or suspension/interruption: the amount and % value of budget recovered or not paid out</p>	<p>Effectiveness: Appropriate information available to support payment or suspension decision.</p> <p>Efficiency Indicators: Timeliness of information and action when issues are noted</p>

Stage 5 – Audit and evaluation, Discharge for decentralised agencies

Main control objectives: Ensuring that assurance building information on the entrusted entity’s activities is being provided through independent sources as well, which may confirm or contradict the management reporting received from the entrusted entity itself (on the 5 ICOs).

Main risks <i>It may happen (again) that...</i>	Mitigating controls	How to determine coverage, frequency and depth	How to estimate the costs and benefits of controls	Possible control indicators
<p>The Commission has not sufficient information from independent sources on the National Agencies' management achievements, which prevents conclusions being correctly drawn on the assurance for the budget entrusted to the entity – which may reflect negatively on the Commission’s governance reputation and quality of accountability reporting.</p>	<p>The Commission – National Agency Agreement (for LLP/YiA) or Delegation Agreement (Erasmus+) specifying the control, accounting, audit, publication, etc. related requirements – incl. independent audit function and cooperation with IAS and ECA</p> <p>Assessment of ex-post yearly audit opinions provided by Independent Audit Bodies on NA Management Declarations (including yearly reports).</p> <p>Assessment of ex-post yearly reports provided by National Authorities on monitoring and supervision activities.</p> <p>NAs include in their yearly reports the results of primary controls (controls carried out by or under the responsibility of the National Agency on the actions that it manages). Types and minimum requirements for controls are set out by DG EAC and are legally binding for the National Agencies.</p>	<p>Coverage: sample as needed (random for financial audits, value-targeted, risk-based for supervisory visits).</p> <p>Frequency: multiannual planning for financial audits; no pre-determined frequency for supervisory visits</p> <p>The depth for financial audits is the same for all National Agencies. For supervisory visits, the depth is adapted to identify risks.</p>	<p>Costs: estimation of cost of staff involved in the coordination and execution of supervisory visits. Cost of the appointment of audit firms for the outsourced financial audits.</p> <p>Benefits: The potential error in the (average annual) total budget avoided</p> <p>Benefits: budget value of the errors with the beneficiaries detected and subsequently corrected.</p>	<p>Effectiveness: Assurance being provided via NA Management Declarations, audit opinions of Independent Audit Bodies and reports of National Authorities and corroborated by other supervision data.</p> <p>Efficiency: Timeliness and administrative cost of process.</p>

Main risks <i>It may happen (again) that...</i>	Mitigating controls	How to determine coverage, frequency and depth	How to estimate the costs and benefits of controls	Possible control indicators
	Own supervisory visits of <u>National Agencies and/or National Authorities</u> Yearly sample of selected National Agencies for financial audit - referral to OLAF			

Entrusted management – EACEA, REA, EIT, and EIF

Stage 1 – Establishment (or prolongation) of the mandate to the entrusted entity (“establishment act” and “delegation act”).

Main control objectives: Ensuring that the legal framework for the management of the relevant funds is fully compliant and regular (legality & regularity), delegated to an appropriate entity (best value for public money, economy, efficiency), without any conflicts of interests (anti-fraud strategy).

Main risks	Mitigating controls	How to determine coverage frequency and depth	How to estimate the costs and benefits of controls	Possible control indicators
<p>The establishment (or prolongation) of the mandate of the entrusted entity is affected by legal issues, which would undermine the legal basis for the management of the related EU funds (via that particular entity).</p> <p>The mandate is not finalised in time to allow programme implementation to proceed by the Agency/ entity.</p>	<p>Existing and long established general legal bases (since 2003 for EAs), multiple mandate extensions in the past</p> <p>Cost-benefit analysis carried out by external consultant and adjustments thereafter ensure value for money</p> <p>Standard template provided by central services and standard wording</p> <p>Hierarchical validation within the authorising department</p> <p>Inter-service consultation, including all relevant DGs</p> <p>Opinion of Council (Committee on Executive Agencies) and Parliament</p> <p>Adoption by the Commission</p> <p>Possibility to make necessary clarifications to the text in the context of revision of the Delegation Act</p> <p>Specific Financial Regulation For EIT, establishment and</p>	<p>Coverage/Frequency: 100%/once</p> <p>Depth: Standard templates include all requirements of the regulatory provisions to be complied with.</p> <p>If extreme challenge to the legality of the establishment and delegation materialises, regularity of funds delegated during the year(s) to the entrusted entity could be questioned.</p> <p>Impact of late adoption would affect effectiveness and efficiency.</p>	<p>Costs: cost of staff involved in the preparation, adoption and selection work: this is a largely unavoidable cost and arises infrequently.</p> <p>Benefits: Reputational risk of parent DGs intact. Avoidance of possible additional costs which might result from delays.</p>	<p>Effectiveness: Quality of the legal work (basic act, LFS and delegation act, etc): number of control failures; number of initially negative CIS opinions and timeliness. No litigation cases. No OLAF inquiries. No ECA criticism.</p> <p>Efficiency: Ease of application – timeliness.</p>

Main risks	Mitigating controls	How to determine coverage frequency and depth	How to estimate the costs and benefits of controls	Possible control indicators
	<p>governance process established by regulation 294/2008.</p> <p>For EIF, FAFA and Template Delegation Agreement coordinated by central services and used with only minor derogations.</p>			

Stage 2 – Ex-ante (re)assessment of the entrusted entity’s financial and control framework (towards “budget autonomy”; “financial rules”).

Main control objectives: Ensuring that the entrusted entity is fully prepared to start/continue implementing the delegated funds autonomously with respect of all 5 ICOs.

Main risks	Mitigating controls	How to determine coverage, frequency and depth	How to estimate the costs and benefits of controls	Possible control indicators
<p>The financial and control framework deployed by the entrusted entity is not fully mature to guarantee achieving all 5 ICOs (<i>legality and regularity, sound financial management, true and fair view reporting, safeguarding assets and information, anti-fraud strategy</i>).</p>	<p>Verification of the equivalence and guaranty of the system of internal control</p> <p>As EACEA and REA are well established, the mitigating controls regarding a serious breakdown in the control framework can be regarded as at “cruising speed”.</p> <p>The supervision arrangements constitute the principle control mechanism to ensure the high quality of EACEA’s and REA’s control structures are maintained.</p> <p>For EIT, full financial autonomy will be granted only after a positive ex-ante assessment of the management environment</p> <p>Prior approval by Commission for the riskier transactions (contracts above EUR 60 000 and grants).</p> <p>For EIF, the financial and</p>	<p>Coverage/frequency: DG EAC does not carry out direct controls on the underlying transactions (except for EIT’s reinforced supervision by DG EAC), but uses the supervision mechanisms in place to ensure ICOs are being achieved.</p> <p>Depth: if there was a (hypothetical) particularly serious issue, the parent DGs of the Agency can perform in-depth checks under Article 22 of the Delegation Act of EAs.</p> <p>Monitoring visits on operational matters on-the-spot also contribute to assessment of the effectiveness of the framework.</p>	<p>Costs: not applicable, no ex-ante assessment process required.</p> <p>Benefits: Reputational risk of parent DGs intact.</p>	<p>Effectiveness: Potential requirement for parent DGs to increase supervision due to deterioration in “Stage 3” indicators</p> <p>Efficiency Indicators: Deterioration in “Stage 3” indicators of time-to-pay, etc.</p>

Main risks	Mitigating controls	How to determine coverage, frequency and depth	How to estimate the costs and benefits of controls	Possible control indicators
	control framework is specified in detail by the Delegation Agreement and closely monitored by the Commission as well as using the assurance provided by the Independent Audit Body.			

Stage 3 – Operations: monitoring, supervision, reporting (“representation” / “control with the entity”).

Main control objectives: Ensuring that the Commission is fully and timely informed of any relevant management issues encountered by the entrusted entity, in order to possibly mitigate any potential financial and/or reputational impacts (legality & regularity, sound financial management, true and fair view reporting, anti-fraud strategy).

Main risks	Mitigating controls	How to determine coverage, frequency and depth	How to estimate the costs and benefits of controls	Possible control indicators
<p>Due to weak "modalities of cooperation, supervision & reporting", the Commission is not aware of relevant management issues encountered by the entrusted entity, and/or does not react on a timely basis to issues notified by mitigating them or by making a reservation for them – which may reflect negatively on the Commission’s governance effectiveness and quality of accountability reporting.</p>	<p>For EAs, Delegation Act specifying the control, accounting, audit, publication, etc. related requirements including reporting of error rates and the reservations in the context of the Annual Activity Report.</p> <p>For the EIF, monitoring via regular reporting and the Steering Committee for the instruments.</p> <p>For the EIT, oversight by Governing Board as well as representation on <i>ad hoc</i> working groups, in addition to the current second level <i>ex ante</i> check on financial transactions.</p> <p>Monitoring or supervision of the entrusted entity (e.g. ‘regular’ monitoring meetings at operational level; <u>review of reported control results and any underlying mnqt/audit reports</u>; representation and intervention in the Steering Committee, scrutiny of the Annual Activity Report, etc). Management review of the</p>	<p>Coverage: 100% of the entities are monitored/supervised.</p> <p>Frequency: regular budget and asset management reports, quarterly coordination and Steering Committee meetings, etc.</p> <p><u>For EAs, in case of</u> operational and/or financial issues, measures can be reinforced under Article 22 of the Delegation Act to any depth that is deemed appropriate.</p>	<p>Costs: estimation of cost of staff involved in the actual (regular or reinforced) monitoring of the entrusted entities.</p> <p>Benefits: The potential error in the (average annual) total budget avoided.</p>	<p>Effectiveness: Relevance and reliability of the overall performance of the supervision arrangements, and their coherence with the conclusions provided by external sources (evaluations, IAS, ECA, OLAF, complaints, etc.)</p> <p>Efficiency Indicators: Timeliness of provision of information resource monitoring of administrative cost.</p>

Main risks	Mitigating controls	How to determine coverage, frequency and depth	How to estimate the costs and benefits of controls	Possible control indicators
	supervision results. <u>If appropriate/needed:</u> - reinforced monitoring of operational and/or financial aspects of the entity - intervention, e.g. via own audits on-the-spot, - potential escalation of any major governance-related issues with entrusted entities - referral to OLAF			

Stage 4 – Commission contribution: payment or suspension/interruption.

Main control objectives: Ensuring that the Commission fully assesses the management situation at the entrusted entity, before either paying out the (next) contribution for the operational and/or operating budget of the entity, or deciding to suspend/interrupt the (next) contribution (legality & regularity, sound financial management, anti-fraud strategy).

Main risks	Mitigating controls	How to determine coverage, frequency and depth	How to estimate the costs and benefits of controls	Possible control indicators
<p>The Commission pays out the (next) contribution to the entrusted entity, while not being aware of the management issues that may lead to financial and/or reputational damage.</p>	<p>Reliance on “Stage 3” controls above, plus compliance with budget adopted by the Steering Committee/ governing board. <u>If appropriate/needed:</u> suspension or interruption of payments</p>	<p>Coverage: 100% of the contribution payments. Frequency: twice yearly as specified in the Memorandum of Understanding Depth covers the compliance and verification stages of the financial circuit.</p>	<p>Costs: estimation of cost of staff involved in the financial circuit of the contribution payments/recoveries to/from the entrusted entities. Benefits: The potential error in the (average annual) total budget avoided. Benefits in case of recovery or suspension/interruption: the amount and % value of budget recovered or not paid out due to identified irregularities.</p>	<p>Effectiveness: Number of queries regarding budgets or payments. Efficiency Indicators: Time-to-pay/recover.</p>

Stage 5 – Audit and evaluation, Discharge for decentralised agencies

Main control objectives: Ensuring that assurance building information on the entrusted entity’s activities is being provided through independent sources as well, which may confirm or contradict the management reporting received from the entrusted entity itself (on the 5 ICOs).

Main risks <i>It may happen (again) that...</i>	Mitigating controls	How to determine coverage, frequency and depth	How to estimate the costs and benefits of controls	Possible control indicators
<p>The Commission does not have sufficient information from independent sources on the entrusted entity’s management performance, which prevents conclusions being drawn on the assurance for the budget entrusted to the entity – which may reflect negatively on the Commission’s governance effectiveness and quality of accountability reporting.</p>	<p>Close review within the discharge and internal audit process of IAC, IAS and ECA findings and the entity’s response.</p> <p><u>If appropriate/needed:</u></p> <ul style="list-style-type: none"> - own ex-post audit(s) on-the-spot, by the Parent DG, <u>of the entity and/or its beneficiaries, normally only in the context of a serious breakdown in the control framework.</u> - potential escalation of any major governance-related issues with entrusted entities - referral to OLAF 	<p>Coverage: Entity’s yearly audit sample of beneficiaries and multi-annual strategy. Sample as per the audit strategies of the IAC, IAS and ECA</p> <p>Frequency: EIT’s IAC will perform multiple audits per year, ECA once a year, IAS relatively frequently.</p> <p>Normally, the sample will be statistically representative to enable drawing valid management conclusions about the entire population during the programme’s lifecycle.</p> <p>For EAs, the depth can be reinforced under Article 22 of the Delegation Act to any depth that is deemed appropriate.</p>	<p>Costs: estimation of cost of staff involved in the coordination and execution of the own audits and outsourced audits (if any).</p> <p>Benefits: The potential error in the (average annual) total budget avoided.</p> <p>Benefits: budget value of the errors with the entity’s beneficiaries detected by the own auditors, and subsequently corrected. Reputational benefits of clean audit opinion.</p>	<p>Effectiveness: Assurance being provided); consistent and credible error rate, residual error rate below tolerable threshold.</p> <p>ECA opinion on the account and legality and regularity of the underlying transactions</p> <p>Discharge granted</p> <p>Efficiency: Resource monitoring, estimation of benefits.</p>

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

This annex, which *applies only to indirect management*, includes information about implementing tasks entrusted to national or international public sector bodies and bodies governed by private law with a public sector mission.

In practice, this includes "national agencies" and bodies governed by private law with a public sector mission including PPPs such as Joint Undertakings (but not executive agencies, regulatory agencies, EIB and EIF).

This annex provides the following details for all national or international implementing entities, in the form of **a page/table for each entity** which implemented programmes in the reporting year:

1. **Programme(s) concerned:** Erasmus+ (2014-2020) and Lifelong Learning and Youth in action (2007-2013)
2. **Annual budgetary amount** entrusted entrusted to these bodies in 2017: € 1,957.6 million (see table for breakdown by national agency)
3. **Duration of the delegation:** 2014-2020
4. **Justification of the recourse to indirect management:** the recourse to national agencies and their appointment by the Member States/participant countries are set in the legal bases of the Erasmus+ programme at Articles 26, 27 and 28 of the Regulation (EU) No 1288/2013 of the European Parliament and of the Council of 11 December 2013 establishing 'Erasmus+'.
5. **Justification of the selection of the bodies** (identity, selection criteria, possible indication in the legal basis, etc.): see point 4 above.
6. **Summary description of the implementing tasks entrusted to these bodies.**

i. Management of the project life cycle of the decentralised actions of the Programme: Information and publicity at national level on the Programme and, where applicable, the calls for proposals; Information and counselling of potential applicants; Receipt and evaluation of grant applications; Establishment and supervision of evaluation committees; Decision on the award of grants; Publication of information on supported projects; Commitment of funds for projects and signing of contracts with project beneficiaries; Pre-financing payments to beneficiaries; Monitoring projects, including visits to projects and thematic monitoring meetings; Analysis and control of final activity and final financial reports; Balance payments and recovery of funds; On-the-spot checks on projects; Reporting to the Commission and to the National authority.

ii. Monitoring and evaluating the decentralised actions of the Programme: Organisation of national thematic monitoring meetings between projects and of national participation in European thematic monitoring meetings; Organisation of national valorisation meetings bringing together project coordinators and potential users and of national participation in European valorisation events; Reporting on the impact of the Programme actions at national level; Studies, analyses and surveys on the Programme actions at national level; Contribution to national reports on implementation of the Programme and to evaluation of the Programme; Contribution to achieving synergies at national level with other Community programmes.

iii. Continuation and winding up of the actions from the Lifelong Learning (2007-2013) and Youth in Action (2007-2013) programmes.

LIST OF ERASMUS+ NATIONAL AGENCIES¹³² AND 2017 BUDGET BREAKDOWN

COUNTRIES			National Agency Erasmus+	2017 Annual budgetary amount ¹³³ (€)
Belgium/DE	BE03	01_BE_DE_ALL	Jugendbüro der Deutschsprachigen Gemeinschaft VoG	1.163.212,60
Belgium/FR	BE01	01_BE_FR_EDU	Agence francophone pour l'éducation et la formation tout au long de la vie - AEF-Europe	17.226.937,00
Belgium/FR	BE04	01_BE_FR_YOU	BIJ - Bureau International Jeunesse (BIJ)	2.966.869,69
Belgium/NL	BE02	01_BE_NL_EDU	EPOS vzw	24.682.603,00
Belgium/NL	BE05	01_BE_NL_YOU	JINT	4.117.847,71
Bulgaria	BG01	02_BG_ALL	Human Resource Development Centre - HRDC	36.149.418,00
Czech Republic	CZ01	03_CZ_ALL	Dům zahraniční spolupráce (DZS) Centre for International Cooperation in Education	47.236.016,00
Denmark	DK01	04_DK_ALL	Danish Agency for Higher Education	

¹³² Abstraction is made from the Swiss LLP/YiA NA.

¹³³ Funds for grant support (decentralised funds), contribution to networks and management costs

				27.856.598,58
Germany	DE01	05_DE_HE	Nationale Agentur für EU-Hochschulzusammenarbeit im Deutschen Akademischen Austauschdienst (NA-DAAD)	112.211.054,00
	DE03	05_DE_SE	Pädagogischer Austauschdienst der Kultusministerkonferenz, Nationale Agentur für EU-Programme im Schulbereich	20.125.332,00
	DE02	05_DE_VET_AE	Nationale Agentur Bildung für Europa beim Bundesinstitut für Berufsbildung	62.905.399,00
	DE04	05_DE_YOU	JUGEND für Europa	25.941.033,00
Estonia	EE01	06_EE_ALL	Centre for Educational Programmes, Archimedes Foundation	18.309.910,00
Ireland	IE01	07_IE_SE_VET_AE_YOU		14.925.138,00
	IE02	07_IE_HE	Léargas the Exchange Bureau	
Greece	EL01	08_EL_EDU	IKY - State Scholarships' Foundation	43.772.306,50
	EL02	08_EL_YOU	INEDIVIM Youth and Lifelong Learning Foundation	6.255.311,00
Spain	ES01	09_ES_EDU	Servicio Español para la Intercionalización de la Educación (SEPIE)	153.058.566,50
	ES02	09_ES_YOU	AGENCIA NACIONAL ESPAÑOLA DE LA JUVENTUD (INJUVE) (Spanish National Agency for Youth)	17.275.386,00

France	FR01	10_FR_EDU	Agence Erasmus+ France / Education Formation	163.625.868,00
	FR02	10_FR_YOU	Institut National de la Jeunesse et de l'Education Populaire (INJEP)	19.289.723,00
Croatia	HR01	11_HR_ALL	Agencija za mobilnost i programme Euopske unije (AMPEU) Agency for Mobility and EU Programmes	21.598.953,00
Italy	IT02	12_IT_SE_HE_AE	Agenzia Nazionale Erasmus+ - INDIRE	127.069.488,00
	IT01	12_IT_VET	Agenzia Nazionale Erasmus + - ISFOL	41.530.428,00
	IT03	12_IT_YOU	Agenzia nazionale per i giovani	16.118.616,00
Cyprus	CY01	13_CY_EDU	Foundation for the Management of European Lifelong Learning Programmes	9.127.242,30
	CY02	13_CY_YOU	Youth Board of Cyprus	3.312.653,00
Latvia	LV01	14_LV_EDU	VIAA - State Education Development Agency	18.393.885,20
	LV02	14_LV_YOU	Agency for International Programmes for Youth	4.082.374,00
Lithuania	LT01	15_LT_EDU	Education Exchanges Support Foundation	23.917.806,00
	LT02	15_LT_YOU	Agency of International Youth Co-operation	4.130.409,00
Luxembourg	LU01	16_LU_EDU	Anefore asbl	8.241.460,90
Hungary	HU01	17_HU_EDU	Tempus Public Foundation	43.475.584,00
Malta	MT01	18_MT_ALL	European Union Programmes Agency	8.470.720,40
Netherlands	NL01	19_NL_EDU	Nationaal Agentschap Erasmus+ Onderwijs & Training	54.005.542,00
	NL02	19_NL_YOU	Nederlands Jeugdinstituut	7.025.149,00

Austria	AT01	20_AT_EDU	OeAD (Österreichische Austauschdienst)-Gesellschaft mit beschränkter Haftung	33.991.449,00
	AT02	20_AT_YOU	Interkulturelles Zentrum	5.516.937,00
Poland	PL01	21_PL_ALL	Foundation for the Development of the Education System	130.462.284,00
Portugal	PT01	22_PT_EDU	Agência Nacional Erasmus+ Educação e Formação	49.228.757,61
	PT02	22_PT_YOU	Erasmus+ Juventude em Ação	6.801.111,00
Romania	RO01	23_RO_ALL	Agentia Nationala pentru Programe Comunitare in Domeniul Educatiei si Formarii Profesionale	74.912.782,50
Slovenia	SI01	24_SI_EDU	CMEPIUS "Center Republike Slovenije za mobilnost in evropske programe izobraževanja in usposabljanja"	16.782.488,00
	SI02	24_SI_YOU	Zavod MOVIT NA MLADINA	4.089.506,00
Slovakia	SK01	25_SK_EDU	Slovak Academic Association for International Cooperation	25.357.632,00
	SK02	25_SK_YOU	IUVENTA – Slovak Youth Institute	4.997.064,50
Finland	FI01	26_FI_ALL	Centre for International Mobility CIMO (Kansainvälisten liikkuvuuden ja yhteistyön keskus)	34.910.165,50
Sweden	SE01	27_SE_EDU	Swedish Council for Higher Education	34.822.093,50
	SE02	27_SE_YOU	Swedish Agency for Youth and Civil Society	6.491.002,00
United Kingdom	UK01	28_UK_ALL	British Council	152.487.757,00
Iceland	IS01	29_IS_EDU	Landskrifstofa Erasmus+	9.053.202,10
Liechtenstein	LI01	30_LI_EDU	Agentur für Internationale Bildungsangelegenheiten (AIBA)	3.587.657,00

	LI02	30_LI_YOU	aha - Tipps & Infos für junge Leute	646.102,00
Norway	NO01	31_NO_EDU	Norwegian Centre for International Cooperation in Education	21.905.746,50
	NO02	31_NO_YOU	Bufdir - Barne-, ungdoms- og familiedirektoratet Bufdir – Directorate for Children, Youth and Family Affairs	4.409.885,00
Turkey	TR01	32_TR_ALL	The Centre for European Union Education and Youth Programmes	110.042.927,00
FYROM	MK01	33_MK_ALL	National Agency for European Educational Programmes and Mobility	6.409.323,30
TOTAL				1.957.589.978,09

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

ANNEX 8: Decentralised agencies

Decentralised Agencies		Policy area	Annual budgetary amount entrusted in 2017 by DG EAC
			Total (€)
EIT	European Institute for Innovation and Technology	Innovation	Total: € 303,566,373.00 of which: a) administrative expenditure: € 5,466,360 b) Operational expenditure: € 298,100,013.00

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

No used in Annex 9 MP2017	Title	Reason ¹	Scope ²	Type ³	Associated DGs	Costs (EUR)	Comments ⁴	Reference ⁵
I. Evaluations finalised or cancelled in 2017								
a. Evaluations finalised in 2017								
1	European Institute of Innovation Technology	L	Assessment of the EIT's work as defined by EIT Regulation (EC) No 294/2008 and Horizon 2020 Regulation (EU) No 1291/2013.	E		316.925 €		SWD(2017)351 SWD(2017)352 https://ec.europa.eu/education/initiatives/european-institute-innovation-technology_en
2	Erasmus + Programme	LMFF	The mid-term evaluation will assess the effectiveness, efficiency, coherence, relevance and added value of the current Erasmus + Programme as well as the long-term results and impacts of the predecessor programmes.	E	BUDG, DEVCO, EAC, EEAS, EMPL, FPI, HOME, JRC, NEAR, SG, EESC	1.323.875 €		*publication in EU Bookshop and e-Grefte pending
6	Marie Curie Skłodowska Action	LMFF	Taking into account the ex-post evaluation of Marie Curie under FP7 programme, the evaluation should provide inputs/contribution to the overall interim evaluation of Horizon 2020. This requirement stems from the legal basis for Horizon 2020.	E	RTD	457.148 €	Part of the wider Horizon 2020 interim evaluation exercise	SWD(2017)220 SWD(2017)221 https://publications.europa.eu/en/publication-detail/-/publication/98885a02-c849-11e7-9b01-01aa75ed71a1
5	Dissemination and exploitation of EAC Programmes	O	The purpose is to assess the results of the dissemination and exploitation system that is operational in EAC from July 2015.	I	CNECT	119.625 €	Evaluation of internal Commission activity, therefore no need for SWD and report not published	

b. Evaluations cancelled in 2017							
10	Operating grant agreements between EC and European Youth Forum	O	The objective is to assess the oprating grant agreements between the European Commission and European Youth Forum.	E		100.000 €	Considered premature bearing in mind the small scope of the action and that an evaluation of the action had already been carried out in 2013
13	Sport policy	O	Evaluation of Commission's various policies and actions in the field of sport with the view to inform the future policy framework and actions.	O	SANTE	150.000 €	Considered unnecessary as an evaluation of EU sport policy had already been undertaken recently
9	Agenda for Culture	O	Evaluation of the implementation and relevance of the Work Plan for Culture (2015-2018)	O	EEAS, CNECT	150.000 €	Due to new political situation that requires another approach for presenting the planned initiative in the field of culture and that is subject to new timing. An evaluation as previously planned could not serve this purpose and would not be feasible within the new required timeframe.

II. Other studies finalised or cancelled in 2017

a. Other studies finalised in 2017

Education							
1408	Measuring the contribution of higher education to innovation capacity in the EU	LMFF	The results of the study will be used for developing a more systematic framework for policy development around the contribution of higher education to innovation capacity which can be done in a next stage.	R		396.006 €	https://publications.europa.eu/en/publication-detail/-/publication/75e52dab-1442-11e7-808e-01aa75ed71a1/language-en/format-PDF/source-56318564
1501	Study on the feasibility of an education and training investment platform	LMFF	The outcomes of the study should feed into the implementation of the investment plan, in particular by elaborating specific models for accessing the EFSI fund by education and training project promoters. It should also guide Member States in the implementation of education infrastructure measures co-funded by ERDF in the 2014-2020 period.	R	EMPL	270.890 €	https://publications.europa.eu/en/publication-detail/-/publication/f0b17797-b21c-11e7-837e-01aa75ed71a1/language-en
1502	Impact of admission policy on Higher Education outcomes	LMFF	The study will map country policies and strategies for implementation on selective or open access systems at Bachelor level, analyse their impact on a range of outcomes for higher education and identify successful policy mixes and strategies	R		314.800 €	https://publications.europa.eu/en/publication-detail/-/publication/9cfdd9c1-98f9-11e7-b92d-01aa75ed71a1/language-en
1503	Promoting the relevance of higher education	LMFF	Study will identify lessons and help Commission in formulation of CSRs. The focus will be on effective use of labour market and skills forecasts, graduate tracking and approaches to steering student behaviour.	R	EMPL	395.500 €	publication in EU Bookshop pending
1505	State of the art of university-business cooperation in Europe: drivers, challenges, and opportunities in the EU Member States	LMFF	The study should provide for the collection of robust data in MS and develop proposals for new data sources. The outcomes should be relevant for EC, HEI, Business community and national and regional policy makers	R		467.450 €	publication in EU Bookshop pending

1507	Study on mainstreaming innovative teaching and school organisation practices - barriers and solutions	LMFF	The study will describe tools and policy pointers for mainstreaming innovative pedagogies and school organisation practices. It will analyse systemic barriers and solutions to schools being 'innovative' and will propose new models for change. It will make recommendations that can help stakeholders at national, regional, and school level in their efforts of managing change in order to mainstream innovative methods and approaches.	R		366.400 €		publication in EU Bookshop pending (Catalogue N° NC-01-17-315-EN-N)
1508	Preparing Teachers for Diversity: the Role of Initial Teacher Education	LMFF	A mapping and analysis of policies, strategies and initiatives in MS, EFTA and candidate countries. The outcomes of this study will feed into the new initiative on the modernisation of School Education.	R		211.575 €		https://publications.europa.eu/en/publication-detail/-/publication/b347bf7d-1db1-11e7-aeb3-01aa75ed71a1/language-en/format-PDF/source-56318593
1604	Study on governance and management practices in school systems	LMFF	The results of this study will be used in the Working Group Schools when discussing about governance and structural reforms to support Member States in their effort to optimise the organisation of their school systems both for the purpose of providing high-quality inclusive education and for efficiency of investment.	R		183.425 €		https://publications.europa.eu/en/publication-detail/-/publication/a8e8bec8-c84a-11e7-9b01-01aa75ed71a1/language-en/format-PDF/source-56371595
1608	HESS (Higher Education for Smart Specialisation)	LMFF	The results will be used as valuable input to the upcoming revision of the modernisation Agenda of HE. Examples of good practices will help promote the important role of HEIs for regional innovation system and facilitate mutual learning. The study will support synergies between DG EAC work and activities of other services, in particular DG Regio.	R	REGIO, RTD	250.000 €		http://s3platform.jrc.ec.europa.eu/hess
1620	Study to support the revision of Diploma Supplement and analyse the feasibility of the digitisation at European level	LMFF	This study will provide input and analysis to feed the discussion and activities of the Advisory Group on the Diploma Supplement.	R		137.100 €		https://publications.europa.eu/en/publication-detail/-/publication/1ae19aac-6a9a-11e7-b2f2-01aa75ed71a1/language-en/format-PDF/source-56348673

Research and innovation: studies related to programme implementation							
1515	Study on European Industrial Doctorates – towards increased employability and innovation	LMFF		R		96.300 €	https://publications.europa.eu/en/publication-detail/-/publication/c6abb4b4-3c3e-11e7-a08e-01aa75ed71a1/language-en/format-PDF/source-56319334
1609/16 10	Analysis of Business Participation and Entrepreneurship in the Marie Skłodowska-Curie actions (FP7 and Horizon 2020)	LMFF	Conclusions will support refinement of DG EAC's policy towards increasing the employability of researchers while at the same time promoting cross-fertilisation between education, research and market innovation. Results from the study will help define by which means MSCA may best boost research and innovation entrepreneurship while supporting its key actors. Outcomes may help shape future MSCA Work Programme.	R		369.200 €	https://publications.europa.eu/en/publication-detail/-/publication/decfab92-5ae2-11e7-954d-01aa75ed71a1/language-en/format-PDF/source-56348003
1611	Mid-term review of Marie Skłodowska-Curie actions unit costs	LMFF	Results from this study will determine the level of the MSCA researcher- and institutional unit costs applicable for the years 2018-2020 (cfr. Commission Decision C(2013)8194 final of 27.11.2013).	R		91.200 €	https://publications.europa.eu/en/publication-detail/-/publication/0f44192e-5499-11e7-a5ca-01aa75ed71a1/language-en/format-PDF/source-56319394
1613	Impact of transnational volunteering through the European Voluntary Service	LMFF	The results of the study will be used concretely to revise, strengthen and prepare the European Voluntary Service for the future, in particular in view of the budget increase in Erasmus+ from 2017. The study will also feed into future policy development in the transnational volunteering area, notably in the context of the development of the EU Youth Strategy (2010-2018).	R	EACEA	236.750 €	https://publications.europa.eu/en/publication-detail/-/publication/01a810b3-3712-11e7-a08e-01aa75ed71a1/language-en/format-PDF/source-56326044

1618	Update of Simplified grants for Erasmus+	LMFF	The Commission Decisions adopting the use of simplified grants in the Erasmus+ programme foresaw the need for a mid-term revision of the methodology used for the establishment of the simplified grants. The methodologies used for determining the original simplified grants were based in many cases on statistically robust datasets of real costs. However, after the introduction of simplified costs, the same information on real costs is no longer available. This will require the use of other similar objective means in order to keep the approved methodologies up to date. The study will be used to help determine the best way to update the approved methodologies in the absence of robust datasets of real costs.	R		344.790 €		http://www.ppmi.lt/en/project/study-on-the-mid-term-review-of-simplified-grants-used-in-the-erasmus-programme-352.html
Youth								
1509	Quality systems and frameworks for youth work in the EU	LMFF	The study intends to feed into a cycle of work undertaken as part of the OMC in the youth field	R	EACEA	221.800 €		https://publications.europa.eu/en/publication-detail/-/publication/47840260-28b3-11e7-ab65-01aa75ed71a1/language-en/format-PDF/source-56325989
1510	Taking the future into their own hands - Youth work and entrepreneurial learning	LMFF	The outcomes of the study will feed discussions on the Youth Work Plan 2016-18 as well as provide evidence for defining priorities and fields of actions of the future EU Youth Strategy.	R	EACEA	248.800 €		https://publications.europa.eu/en/publication-detail/-/publication/8f5910d8-6b64-11e7-b2f2-01aa75ed71a1/language-en/format-PDF/source-56326107

1612	Impact of Internet and social media on youth participation and youth work	LMFF	The outcomes of the study will be used for - Developing, identifying and testing new techniques and tools in European trainings, seminars and youth projects as well as through cross-sectoral cooperation opportunities offered by the Erasmus+ programme; - Developing new ways of engaging with young people in policy making e.g. within the Structured Dialogue; - Informing the policy framework at EU level (EU youth strategy, EU Work Plan in the field of youth, Council conclusions) and at national levels.	R		72.000 €		publication in EU Bookshop pending
1619	Study on the feasibility of developing and implementing an Erasmus+ Virtual Exchange initiative for young people	LMFF	The study should help to better understand how this initiative could be created and run, the technological options for delivery of it, the non-technical process requirements, and the potential costs for the whole scheme. The outputs from this research will be used to develop the first pilot exchanges, and secure funding for its longer-term implementation.	R		179.850 €		https://ec.europa.eu/education/sites/education/files/erasmus-virtual-exchange-study_en.pdf
Sport								
1511	Gender based violence in sport	LMFF	Study aims to improve evidence-based policy-making on gender-based violence in sport in line with the requests from the policy level and to address citizens' concerns.	R		198.000 €		https://publications.europa.eu/en/publication-detail/-/publication/4dc77ce2-d893-11e6-ad7c-01aa75ed71a1
1512	Study on the contribution of sport to the employability of young people in the context of the Europe 2020 Strategy	LMFF	The study is in line with one of the key priorities of the COM, which is employability of young people. Sport contributes to combatting youth unemployment, to enhancing young people's employability and to ensuring labour market participation of vulnerable young people facing specific challenges. This study will also contribute to strengthen DG EAC's narrative regarding the contribution of sport policy to the Commission's priorities.	R	EACEA	199.186 €		https://publications.europa.eu/en/publication-detail/-/publication/e189cc96-b543-11e7-837e-01aa75ed71a1/language-en

1614	Economic impact of sport through Sport Satellite Accounts	LMFF	The study will provide an update of the 2012 Study on the contribution of sport to economic growth and employment in the EU (i.e. the EU-wide Multiregional Input-Output Table for Sport) based on a revised Vilnius Definition using the most recent data for the EU-28 and reporting in GDP. It should also support national efforts to develop national SSAs.	R		80.000 €		publication in EU Bookshop pending
1615	An evaluation of the anti-doping laws and practices in the EU Member States in light of the General Data Protection Regulation	LMFF	The aim is to offer practical guidance to Member States on compliance with data protection rules in the sport sector arising from the forthcoming General Data Protection Regulation, in particular with regards to the implementation of the World Anti-Doping Code and the Convention of the Council of Europe on the Manipulations of Sport Competitions.	R		187.450 €		https://publications.europa.eu/en/publication-detail/-/publication/50083cbb-b544-11e7-837e-01aa75ed71a1/language-en/format-PDF/source-56357304
1712	Mapping and analysis of education schemes for coaches from a gender perspective	LMFF	The objective is to identify good practices with regards to gender equality modules and educational materials that take into account the specific needs for male and female coaches and coaching of boys/ girls and men/women. Finally, the study researched on the existing codes of conduct or ethical guidelines in sport organisations and sport education.	R		44.150 €		https://ec.europa.eu/sport/sites/sport/files/library/documents/sport-gender-mapping-analysis_en.pdf
1713a	Ad-hoc sport policy studies Title 1: Physical activity at the workplace	LMFF	The overall objectives are to support the European Commission's work, enhance evidence-based policy making, and strengthen the impact and added value of policies by providing reliable knowledge, evidence, analysis, and policy guidance in the field of sport. The specific topics of the ad-hoc studies could include amongst others match-fixing, sport diplomacy, good governance, grassroots sport, traditional sports and games, HEPA, economic dimension and social inclusion.	R	EACEA	31.363 €		https://eacea.ec.europa.eu/sites/eacea-site/files/presentation_of_the_study_on_physical_activity_at_the_workplace.pdf

1713b	Ad-hoc sport policy studies Title 2: Sport diplomacy	LMFF	The overall objectives are to support the European Commission's work, enhance evidence-based policy making, and strengthen the impact and added value of policies by providing reliable knowledge, evidence, analysis, and policy guidance in the field of sport. The specific topics of the ad-hoc studies could include amongst others match-fixing, sport diplomacy, good governance, grassroots sport, traditional sports and games, HEPA, economic dimension and social inclusion.	R		26.225 €		publication in EU Bookshop pending
1713c	Ad-hoc sport policy studies Title 3: Update on change drivers and economic and legal implications of transfers of players	LMFF	The overall objectives are to support the European Commission's work, enhance evidence-based policy making, and strengthen the impact and added value of policies by providing reliable knowledge, evidence, analysis, and policy guidance in the field of sport. The specific topics of the ad-hoc studies could include amongst others match-fixing, sport diplomacy, good governance, grassroots sport, traditional sports and games, HEPA, economic dimension and social inclusion.	R		36.050 €		publication in EU Bookshop pending
1713d	Support to Sport Action Network (study on the contribution of sport to regional development through the Structural Funds)	LMFF	The overall objectives are to support the European Commission's work, enhance evidence-based policy making, and strengthen the impact and added value of policies by providing reliable knowledge, evidence, analysis, and policy guidance in the field of sport. The specific topics of the ad-hoc studies could include amongst others match-fixing, sport diplomacy, good governance, grassroots sport, traditional sports and games, HEPA, economic dimension and social inclusion.	R		49.885 €		publication in EU Bookshop pending

Culture								
1513	Mapping the creative value chains - A study on the economy of culture in the digital age	LMFF	The study will analyse the value chains in all the non-audiovisual cultural and creative sectors and identify the points where an action at EU level could have a real added value. The results will influence the EAC's policy approach on cultural and creative sectors.	R	CNECT, GROW, ESTAT	130.300 €		https://publications.europa.eu/en/publication-detail/-/publication/4737f41d-45ac-11e7-aea8-01aa75ed71a1/language-en/format-PDF/source-56347087
1514	Crowd-funding: Reshaping the crowd's engagement in Culture	LMFF	The study will help DG EAC to identify the necessary tools to promote culture as a catalyst for innovation and to maximise the sectors' contribution to growth and jobs	R	CNECT, GROW	430.600 €		https://publications.europa.eu/en/publication-detail/-/publication/7e10916d-677c-11e7-b2f2-01aa75ed71a1/language-en/format-PDF/source-search
1517	Audience development - how to place audiences at the centre of cultural organisations	LMFF	The output will be used to fine-tune the Programme guidelines, focusing on the perceived gaps that exist in the understanding of audience development across cultural organisations.	R		136.608 €		https://publications.europa.eu/en/publication-detail/-/publication/cc36509d-19c6-11e7-808e-01aa75ed71a1/language-en/format-PDF/source-56319489
1617	Study on safeguarding cultural heritage from natural and man-made disasters	LMFF	The outcome would serve to examine the overall needs to improve action at EU level, the strengths and gaps in the existing frameworks and how a possible coordination mechanism could be established.	R		94.231 €		publication in EU Bookshop pending

a. Other studies cancelled in 2017

Education							
1701 (bis)	Diversity of the student body and geographic concentration - policies and practices against school segregation in the EU	LMFF	The study should map existing policies/measures in EU-28 aiming to promote mixity or avoid segregation in the learning environment; provide a critical assessment of these policies (to the extent that evidence is available); and provide examples of policies and measures that appear to work (or fail) in- or outside the EU and identify the key success factors. The report should devote particular attention to the situation of disadvantaged groups, including recently-arrived migrants, asylum seekers and refugees.	R		250.000 €	
1708	Assessment of the implementation of the 2006 Council Recommendation on Key Competences for Lifelong Learning	LMFF	The study should inform on the way the Recommendation was implemented in Member States, used to inform curricula reform and helped to disseminate and understand the concept of key competences. First results should be available in the second half of 2017 to inform the review of the key competences framework.	R		200.000 €	A study on key competences with a redefined scope is included in 2018 planning
1716	Feasibility Study of Evaluating Teachers' Cognitive Skills	LMFF	The proposed study will utilise the Commission sponsored OECD PIAAC online tool (Education and Skills Online) for data collection on teachers' cognitive skills in a restricted sample of countries (two or three). The intention is to carry out a feasibility study in order to check if a) teachers can be identified according to desired operational and statistical criteria (e.g. core subject teachers in lower secondary schools), b) if these teachers can be properly sampled and c) if sampled teachers can be convinced to complete the test. Further the study will see the test results in context with structural features of the national educational systems in question, and assess whether comparisons across national systems are feasible.	R		300.000 €	

1702	The advantages and limits of performance-based funding in Higher Education	LMFF	The issue of PBF arises in the context of Europe 2020 National Reform Programmes and the Country Specific Recommendations and is likely to become an even more prominent question in the future given the need to maximise the effectiveness of public spending. The study will assist policy-makers in considering optimum design of PBF, and strengthen the capacity of the Commission in this field to provide relevant and well-justified CSRs.	R		250.000 €		
1703	Innovative and entrepreneurial higher education institutions – measuring the impact	LMFF	The results of the study will feed in the unit's work on supporting the development of entrepreneurial and innovative higher education institutions in Europe. Communication channels associated with HEInnovate will also serve as a dissemination platform.	R		250.000 €	Study 1504 postponed to 2016 (1607) EAC/11/2016; study 1607 postponed to 2017; study 1703 postponed to 2018	
Youth								
1715	Promoting non-discrimination among young people in Europe through youth work and non-formal learning	LMFF	Objectives of the study are to explore how youth work and non-formal/informal learning can contribute to promoting non-discrimination among young people in Europe at time of the 'refugee crises', youth unemployment and mobility. It will examine in particular concepts, (innovative) methods and practices used in youth work and non-formal/informal learning.	R		150.000 €		
Sport								
1717	Study on improving the evidence base for HEPA policies	LMFF		R		300.000 €	study will be done by the WHO	

¹ Reason why the evaluation/other study was carried out, please align with Annex 3 of the MP 2016. The individual symbols used have the following meaning: L - legal act, LMFF - legal base of MFF instrument, FR - financial regulation, REFIT, REFIT/L, CWP - 'evaluate first', O - other (please specify in Comments)

² specify what programme/regulatory measure/initiative/policy area etc. has been covered

³FC – fitness check, E – expenditure programme/measure, R – regulatory measure (not recognised as a FC), C – communication activity, I – internal Commission activity, O – other – please specify in the Comments

⁴Allows to provide any comments related to the item (in particular changes compared to the planning). When relevant, the reasons for cancelling evaluations/ other studies also needs to be explained in this column.

⁵For evaluations the references should be 1) number of its Evaluation Staff Working Document and number of the SWD's executive summary; 2) link to the supportive study of the SWD in EU bookshop. For other studies the references should be the link to EU bookshop or other reference where the 'other study' is published via different point.

ANNEX 10: Specific annexes related to "Financial Management"

For more details, please refer to Sections 2.1.1, 2.1.2 and/or 2.1.4.

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

For more details, please refer to AAR Section 2.1.3.

ANNEX 12: Performance tables

The performance indicators reported in this annexe reflect the set of indicators of the **Strategic Plan 2016-2020**¹³⁴, and are reported upon such as to ensure full coherence with others reporting document such as the Programme Statements which accompany the Draft Budget for a given year.

Each specific **objective** is linked to a single general objective, the one to which it contributes the most according to its title, its corresponding outputs and indicators laid down in the legal basis of the relevant programme, although it might also contribute to a lesser extent to another general objective.

Indicators reflect most of the legal requirements of the 2014-2020 programmes in terms of reporting. Indicators highlighted with an asterisk (*) are from the programme legal basis. Their definition is included in the legal basis, however where additional specifications were added, these are in italic. More indicators and detailed information is provided in Programme Statements which accompany the Draft Budget for a given year.

As mentioned in the Strategic Plan, in the tables below, the **baseline** refers to 2013 if not specified otherwise. Certain targets have been set –where specified– either in the legal bases (indicators with an asterisk), or in agreement with Member States in other fora (e.g. Europe 2020, ET 2020, Open Method of Coordination). Other targets were set by DG EAC senior management, generally by extrapolation of past performance.

With regards to the **Erasmus+** indicators, results reflect the outcomes of activities and actions funded by the appropriations from the budget of the Union (aka EU 28) funding. As such, figures do not reflect the total outputs of the programme, which is also funded by other sources such as appropriations arising from the participation of the EFTA/EEA countries, appropriations from external assigned revenues arising from the participation of the other countries into the Programme and appropriations corresponding to internal assigned revenues from recoveries. Specific figures relating to the total output of the programme can be found in the relevant sections of Part 1.

¹³⁴ https://ec.europa.eu/info/publications/strategic-plan-2016-2020-education-and-culture_en

A- Indicators for jobs and growth / competitiveness (general objective 1A)

General objective 1-A

Under the overarching Commission objective of "**A New Boost for Jobs, Growth and Investment**", EU level intervention aims at **competitiveness** through education, innovation, youth, culture and sport

Related to
**Erasmus+
Horizon 2020
Creative Europe**

Through this general objective, DG Education and Culture contributes as well to the following other General Objectives of the Commission:

- A connected Digital Single Market (education, sport, culture)
- A deeper and fairer Economic and Monetary Union (European Semester and country-specific recommendations in the field of education)
- A reasonable and balanced Free Trade Agreement with the US (culture)
- A stronger Global Actor (education, youth, culture)

1- Education and innovation

* **Commission-level impact indicator 2: Tertiary education attainment** (Europe 2020 headline target)

Definition: Percentage of 30 – 34 year olds with completed tertiary education (*International Standard Classification of Education (ISCED 2011) levels 5 to 8*).

Source: Eurostat; The Labour Force Survey (annual average based on quarterly data). [Bookmark](#)

Programme Statement Erasmus+: General Objective 1 – Indicator 2

Baseline 2013	Milestones foreseen						Target Europe 2020
	2014	2015	2016	2017	2018	2019	
Latest know situation 37,1% ¹³⁵			39%		39,5%		At least 40 %
	Actual results						
	37,9 %	38,7 %	39.1%				

* **Commission-level impact indicator 8: Investment in R&D** (Europe 2020 headline target)

Definition: Percentage of EU GDP invested in R&D (combined public and private investment)

Source: Eurostat¹³⁶ [Bookmark](#)

Programme Statement H2020: General Objective 1 – Indicator 1

Baseline 2012	Milestones foreseen						Target Europe 2020
	2014	2015	2016	2017	2018	2019	
2.01%							At least 3 %
	Actual results						
	2.03%	2.03%	2.03%				

¹³⁶ Please note that Eurostat periodically revises its published data to reflect new or improved information, also for previous years. The latest published data is available by clicking on "bookmark". The "latest known value" column reflects the data that was available at the time of the preparation of the AARs 2017 and it is the reference point for the AARs of Commission services.

Impact indicator 3: Employability of young people

Definition: The share of employed people aged 20-34 having successfully completed upper secondary or tertiary education 1-3 years before the reference year of the survey and who are no longer in education or training.

Source: The Labour Force Survey (annual average based on quarterly data) Unit. [Bookmark](#)

Baseline 2014	Milestones foreseen						Target 2020
	2014	2015	2016	2017	2018	2019	
76%		76.9%	78.0%	79.0%	80.0%	81.0%	82%
	Actual results						
	76.0%	76.9%	78.3%				

Impact indicator 6: Learning mobility in higher education

Definition: % of higher education graduates (*ISCED 1997 level 5+6*) who have had a higher education-related study or training period (including work placements) abroad, (*representing a minimum of 15 ECTS credits or lasting a minimum three months*)

Source: Eurostat, UOE data collection

Baseline 2013 ¹³⁷	Milestones foreseen						Target Europe 2020 (ET2020)
	2014	2015	2016	2017	2018	2019	
A first estimate for 2013 is 2.9% (degree mobility only)		8%		17%			20%
	Actual results ¹³⁸						

* Impact indicator 9: Share of researchers in the EU

Definition: Share of researchers in the EU active population. *Researchers are professionals engaged in the conception or creation of new knowledge, products, processes, methods and systems, and in the management of the projects concerned.*

Source: Eurostat, 2018

Programme Statement H2020: General Objective 1 – Indicator 3

Baseline 2011	Milestones foreseen						Target 2020
	2014	2015	2016	2017	2018	2019	
1.06%			1.21%				1.33%
	Actual results						
	1.17%	1.2% estimated					

¹³⁷ The data collection needed for the indicator is under development through the European Statistical System. This work is coordinated by Eurostat.

¹³⁸ The data collection is based on Commission Regulation 912/2013. The first full data transmission on learning mobility of tertiary graduates (degree and credit mobility) is scheduled under this Regulation for November 2017 (to be published spring 2018), referring to the academic year 2015/16.

Specific Objective 1.1: To improve the level of key competences and skills, in particular through increased opportunities for **learning mobility** and strengthened cooperation with the world of work in education and training with particular regard to the relevance of these key competences and skills for the labour market and their contribution to a cohesive society;¹³⁹

Related to
Erasmus+

Management mode: Direct DG Direct Executive Agencies Indirect (through National Agencies)

*** Output indicator 14: Learning mobility opportunities through Erasmus+**

Definition: Number of students and trainees participating in the Programme, by country, sector, action and gender.¹⁴⁰

Source: EU reporting through Erasmus+ IT tool

Programme Statement Erasmus+: Specific Objective 1 – Indicator 2

Baseline 2013	Milestones foreseen						Target 2020
	2014	2015	2016	2017	2018	2019	
Higher education (HE) 260 (in 1000)	236	239	248	270	319	356	412
	Actual results						
	234	239	256	287			
Vocational education and training (VET):41(in 1000)	78	78	80	87	99	121	131
	Actual results						
	90	96	105	127			

*** Result indicator 15: Better skills for participants**

Definition: % of Erasmus + participants declaring that they have improved their key competences

Source: Individual participant report to be submitted under Erasmus+

Programme Statement Erasmus+: Specific Objective 1 – Indicator 1

Baseline 2012	Milestones foreseen						Target 2020
	2014	2015	2016	2017	2018	2019	
81 % ¹⁴¹		83 %		85 %			88 %
	Actual results ¹⁴²						
	92,5%	92,5%	92,8%	89,7%			

Result Indicator 16: Employability of participants

Definition: % of Erasmus + participants indicating that participation in the programme contributed to finding a job

Source: Second individual participant report to be submitted under Erasmus

Baseline Pre-2014	Milestones foreseen						Target 2020
	2014	2015	2016	2017	2018	2019	

¹³⁹ Including Erasmus+' specific objective "(a) to improve the level of key competences and skills, with particular regard to their relevance for the labour market and their contribution to a cohesive society, in particular through increased opportunities for learning mobility and through strengthened cooperation between the world of education and training and the world of work;"

¹⁴⁰ See preliminary comment as regards breakdown.

¹⁴¹ According to the Erasmus impact study published in September 2014, "81% of Erasmus students perceive an improvement in their transversal skills when they come back".

¹⁴² Result indicator: the final figures can only be provided when all projects will be finalised. Source data extracted from finalised mobilities surveys in EU28, managing bodies only

42% ¹⁴³		44%		46%			50%
	Actual results						
	80%	80%	79%	80%			

*** Output indicator 17: Staff supported by the programme**

Definition: Number of staff supported by the Programme, by country¹⁴⁴ and *in the sector of education and training*

Source: EU reporting through Erasmus+ IT tool

Programme Statement Erasmus+: General Objective 1 – Indicator 5

Baseline 2013 ¹⁴⁵	Milestones foreseen						Target 2020
	2014	2015	2016	2017	2018	2019	
- Higher education (HE):46 Number in 1 000	49		50				70
	Actual results ¹⁴⁶						
	43	45	46	54			
- Vocational education and training (VET):9 Number in 1 000	23		11				15
	Actual results						
	20	17	18	18			
- Schools: 13 Number in 1 000	21		15				20
	Actual results						
	18	18	21	29			
- Adult: 2 Number in 1 000	6		3				5
	Actual results						
	5	4	4	6			

*** Output indicator 18: Participants with special needs or fewer opportunities**

Definition: Number of participants with special needs or fewer opportunities supported by the programme

Source: EU reporting through Erasmus+ IT tool

Programme Statement Erasmus+: General Objective 1 – Indicator 6

Baseline 2013	Milestones foreseen						Target 2020
	2014	2015	2016	2017	2018	2019	
Special needs (LLP) 8 Number in 1 000	15			15			40
	Actual results ¹⁴⁷						
	9	10	11	15			

¹⁴³ The 2014 Erasmus impact study established a link between the participation in mobility programmes and subsequent employability. "Based on their personality traits (participants) have a better predisposition for employability even before going abroad. By the time they return they have increased their advantage by 42% on average".

¹⁴⁴ See preliminary comment as regards breakdown

¹⁴⁵ Reporting on the performance of the programme in a specific year (n) including detailed reports (breakdown) on the indicators annexed to the basic act will be produced by Q2 of the following year (n+1) and published on the Erasmus+ website. Figures updated to EU 28.

¹⁴⁶ Provisional data at awarded level based on participants regarding call year. The actual results are based on EU28.

¹⁴⁷ Actual results are reported in EU 28 for all Key Action in line with E+ annual report

Specific Objective 1.2: To foster quality improvements, innovation excellence and internationalisation, in particular through enhanced transnational cooperation **at the level of institutions/organisations** between education and training providers and other stakeholders¹⁴⁸

Related to
Erasmus+

Management mode: Direct DG Direct Executive Agencies Indirect (through National Agencies)

Result indicator 19: Innovation from participating organisations

Definition: % of organisations that have developed/adopted innovative methods and/or materials, improved capacity; outreach methodologies, etc.

Source: Final report to be submitted by the beneficiary organisations under Erasmus+

Baseline 2012	Milestones foreseen						Target 2020
	2014	2015	2016	2017	2018	2019	
50%		55%		65%			70%
	Actual results ¹⁴⁹						

Specific Objective 1.3: To promote at **policy level**, in particular through enhanced policy cooperation, the dissemination of good practices and better use of Union transparency and recognition tools in education and training: the emergence of a European area of skills and qualifications, policy reforms at national level for the modernisation of education and training systems in a lifelong perspective, and digital learning¹⁵⁰

Related to
Erasmus+

Management mode: Direct DG Direct Executive Agencies Indirect (through National Agencies)

* Output indicator 22: Formal recognition of participation

Definition: % of Erasmus + participants who have received a certificate, diploma or other kind of formal recognition of their participation in the Programme

Source: EU reporting through Erasmus+ IT tool

Programme Statement Erasmus+: Specific Objective 3 – Indicator 1

Baseline 2013	Milestones foreseen						Target 2020
	2014	2015	2016	2017	2018	2019	
HE 100 %		100 %		100 %			100 %
	Actual results ¹⁵¹						
	100%	100%	100%	100%			
VET 65 %		68 %		70 %			75%
	Actual results ¹⁵²						
	71.2%	73.6%	74.2%	81.3%			

¹⁴⁸ Including Erasmus+' specific objective "(b) to foster quality improvements, innovation excellence and internationalisation at the level of education and training institutions, in particular through enhanced transnational cooperation between education and training providers and other stakeholders;"

¹⁴⁹ Result not available

¹⁵⁰ Including Erasmus+' specific objective "(c) to promote the emergence and raise awareness of a European lifelong learning area designed to complement policy reforms at national level and to support the modernisation of education and training systems, in particular through enhanced policy cooperation, better use of Union transparency and recognition tools and the dissemination of good practices;"

¹⁵¹ Result indicator: the final results can only be provided when all the formal recognitions have been delivered (year N=3).

¹⁵² Result indicator: the final results can only be provided when all the formal recognitions have been delivered (year N=3).

Specific Objective 1.4: To support the Union's external action, including its development objectives, through targeted capacity-building in partner countries, cooperation between Union and partner-country institutions or other stakeholders and the promotion of mobility, and to enhance the **international dimension** of activities in education and training by increasing the attractiveness of European higher education institutions¹⁵³

Related to
Erasmus+

Management mode: Direct DG Direct Executive Agencies Indirect (through NAs as from 2015)

*** Result indicator 23: Involvement of non-EU higher education institutions from partner countries¹⁵⁴**

Definition: The number of partner country higher education institutions (HEIs) involved in *credit and degree* mobility and cooperation actions, *i.e. capacity building projects under the Erasmus+ programme and having signed an institutional agreement with an EU HEI*

Source: The mobility tool used by NAs for decentralised actions and the EACEA Pegasus database

Programme Statement Erasmus+: Specific Objective 4 – Indicator 1

Baseline 2013	Milestones foreseen						Target 2020
	2014 ¹⁵⁵	2015	2016	2017	2018	2019	
1 000 ¹⁵⁶	0	1000	1 100		1 200		1 300
	Actual results						
	EM = 1 HEIs = 0	902	1 033	853 ¹⁵⁷			

*** Output Indicator 24: EU students and staff going to partner countries and vice versa**

Definition: Number of higher education students *and staff*¹⁵⁸ receiving support (*a grant*) to study in a partner country, as well as the number of students *and staff* coming from a partner country to a Programme country

Source: The mobility tool used by NAs for decentralised actions and the EACEA Pegasus database

Programme Statement Erasmus+: Specific Objective 4 – Indicator 2

Baseline 2013	Milestones foreseen						Target 2020
	2014 ¹⁵⁹	2015	2016	2017	2018	2019	
HE students and staff going to a partner country (in 1 000)	0	3,8	4	4,3	3,6	3	3,9
	Actual results						
	0	9	13	16			
HE students and staff coming from a partner country (in 1 000)	0	15	16	17	14	15	15
	Actual results						
	0	19	23	25			

¹⁵³ Including Erasmus+' specific objective "(d) to enhance the international dimension of education and training, in particular through cooperation between Union and partner-country institutions in the field of VET and in higher education, by increasing the attractiveness of European higher education institutions and supporting the Union's external action, including its development objectives, through the promotion of mobility and cooperation between the Union and partner-country higher education institutions and targeted capacity-building in partner countries;"

¹⁵⁴ Erasmus+ is divided between Programme countries that contribute financially to the Programme and have a National Agency, and Partner countries (those countries outside the Programme countries, that participate without financial contribution).

¹⁵⁵ International actions were only launched at the end of 2014.

¹⁵⁶ These figures come from the numbers of non EU HEIs having participated in Erasmus Mundus (EM) and Tempus from 2009 to 2013.

¹⁵⁷ Provisional. The figure will be updated when all projects are finalized.

¹⁵⁸ Under Heading 4, students as well as staff are supported.

¹⁵⁹ International actions were only launched at the end of 2014

Specific Objective 1.7: Excellent science – **Marie Skłodowska-Curie actions** – to ensure optimum development and dynamic use of Europe's intellectual capital of researchers in order to generate new skills and innovation and, thus, to realise its full potential across all sectors and regions

Related to
Horizon 2020

Management mode: Direct DG Direct Executive Agencies Indirect (through other)

*** Output indicator 28: Cross-sector and cross-country circulation of researchers (MSCA)**

Definition: Number of Researchers, including PhD candidates, funded through the Marie Skłodowska-Curie actions (MSCA)

Source: CORDA, reports/estimations from Research Executive Agency

Programme Statement H2020: Specific Objective 3 – Indicator 1

Baseline 2007 - 2013	Milestones foreseen ¹⁶⁰						Target for Horizon 2020
	2014	2015	2016	2017	2018	2019	
50000 researchers (~10 000 PhD candidates)	7 500 researchers (~3 000 PhD candidates)	16 500 (~6 000 PhD candidates)	25 000 (~10 000 PhD candidates)	34 000 researchers (~13 000 PhD candidates)	43 500 (~17 400 PhD candidates)	53 500 (~21 400 PhD candidates)	65000 researchers (~25 000 PhD candidates)
	Actual results						
	7 700 researchers (~3 400 PhD candidates)	15 400 researchers (~6 800 PhD candidates) ¹⁶¹	25 000 researchers (~ 11 000 PhD candidates)	36 000 researchers (~14 000 PhD candidates)			

Result Indicator 29: Employability of MSCA researchers

Definition: Number of MCA/MSCA fellows in employment positions two years after the end of their fellowship (only for individual actions)¹⁶²

Source: MCA/MSCA follow-up questionnaires, which are submitted to the REA by former fellows after their fellowship.

Baseline 2013 ¹⁶³	Milestones foreseen						Target 2020
	2014	2015	2016	2017	2018	2019	
95.4%				95%			95% ¹⁶⁴
	Actual results						
			95%				

Result Indicator 30: Participation of women in MSCA

Definition: % of women participating in the MSCA actions.

Source: CORDA

¹⁶⁰ Cumulative figures based on the EU28 budget.

¹⁶¹ Provisional results to be revised upwards when all 2015 calls can be considered.

¹⁶² As the first data for the MSCA will only be available in 2019, it is proposed to cumulate MCA/MSCA data.

¹⁶³ The baseline still concerns the Marie Curie actions under the 7th Framework Programme, where all data are not yet available. Data for MSCA under Horizon 2020 will only be available in 2019. Due to the limited number of follow-up questionnaires received so far, this indicator may fluctuate considerably over time.

¹⁶⁴ This percentage reflects the questionnaires for FP7 projects. Data on H2020 will be available as of 2019 given that the indicator is based on the follow-up questionnaire expected 2 years after the project finishes.

Baseline 2013	Milestones foreseen						Target 2020
	2014	2015	2016	2017	2018	2019	
36.7%				38%			40%
	Actual results						
			43%	40.8%			

Result Indicator 31: Excellence of MSCA researchers

Definition: Number of peer-reviewed publications resulting from MCA/MSCA funded projects

Source: Project reporting; Continuous open data acquisition¹⁶⁵

Baseline 2012	Milestones foreseen						Target 2020
	2014	2015	2016	2017	2018	2019	
5500				10 000			15 000
	Actual results ¹⁶⁶						
			26.000	32 500			

Result Indicator 32: Involvement of private and other sector in MSCA

Definition: % of non-academic sector institutions and SMEs as host organisations in actions supported by MSCA

Source: CORDA, reports/estimations from Research Executive Agency

Baseline 2012	Milestones foreseen						Target 2020
	2014	2015	2016	2017	2018	2019	
24.3% (of which 73.8% SMEs)			27%				30%
	Actual results ¹⁶⁷						
			36%	26%			

Specific Objective 1.8: The European Institute of Innovation and Technology – to integrate the knowledge triangle of research, innovation and higher education and thus to reinforce the Union's innovation capacity and address societal challenges

Related to
Horizon 2020

Management mode: Direct DG Direct Executive Agencies Indirect (EIT)

* Result indicator 33: Involvement of organisations in Knowledge and Innovation Communities (KICs)

Definition: Number of organisations from universities, business and research integrated in KICs

Source: EIT Annual Activity Report and EIT monitoring data

Programme Statement H2020: Specific Objective 18 – Indicator 1

Baseline (2010 - 2012)	Milestones foreseen ¹⁶⁸						Target for Horizon 2020 ¹⁶⁹
	2014	2015	2016	2017	2018	2019	
200 (with 3 KICs)	240	450	500	800 (revised)			1200 (revised)
	Actual results						
	550	800	1097 (revised)	1156 (preliminary result ¹⁷⁰)			

¹⁶⁵ Last data available was for 2012.

¹⁶⁶ Figures are estimates based on FP7 and H2020 projects

¹⁶⁷ Figures are estimates based on FP7 and H2020 projects

¹⁶⁸ Annual figure.

¹⁶⁹ Target and milestones were revised. The initial number foreseen for the performance information has been revised in order to reflect the inclusion of additional KICs.

¹⁷⁰ Final figure for 2017 will be known after the final evaluation of the Final Report of the KICs, and should be available before summer 2018.

***Result Indicator 34: Innovative deliverables inside KICs**

Definition: Number of innovations, start-ups and spin-offs resulting from collaboration inside the knowledge triangle: Number of start-ups and spin-offs created by KICS students/researchers/professors; Number of innovations in existing businesses developed by KIC students/researchers/professors

Source: EIT Annual Activity Report and EIT monitoring data

Programme Statement H2020: Specific Objective 18 – Indicator 2

Baseline (2010 - 2012)	Milestones foreseen ¹⁷¹						Target 2020 ^{Error!} Bookmark not defined.
	2014	2015	2016	2017	2018	2019	
33 start-ups and spin-offs	30	280	400	500 (revised)			600 start-ups and spin-offs
	Actual results						
	181	250 (revised)	286 (revised)	339 (preliminary result ¹⁷²)			
210 innovations	300	800	1500	2200			6 000 innovations
	Actual results						
	1184	2145	3904 (revised)				

Result Indicator 35: Leverage effect of the EIT on other financial sources

Definition: % of KICs own contribution to their total budget in relation to EIT funding

Source: EIT Annual Activity Report

Baseline 2013	Milestones foreseen ¹⁷³						Target 2020
	2014	2015	2016	2017	2018	2019	
360 million Euro	670	850	640 (revised)				7008 million Euros (revised ¹⁷⁴) from non- EIT financial sources mobilised, corresponding to 75% funding of the total KICs budget
	Actual results						
			26.8%				

¹⁷¹ Cumulative figure.

¹⁷² Final figure for 2017 will be known after the final evaluation of the Final Report of the KICs, and should be available before summer 2018.

¹⁷³ Annual figure.

¹⁷⁴ In comparison to MP 2015, the amount of the leverage effect has been adapted to take into account the impact of the contribution of the EIT to the EFSI. This implies a reduction slightly higher than 1 billion.

2- Youth

Specific Objective 2.2: To foster quality improvements, innovation excellence and internationalisation, in particular through enhanced transnational cooperation **at the level of institutions/organisations** between organisations in the youth field and other stakeholders¹⁷⁵.

Related to
Erasmus +

Management mode: Direct DG Direct Executive Agencies Indirect (through other)

* Output indicator 42: Users of Eurodesk

Definition: The number of users of Eurodesk (*As a support organisation to Erasmus+, Eurodesk, a network of 1.200 youth professionals work with Eurodesk in 34 countries in 2016, makes information on learning mobility accessible to young people and youth professionals.*)

Source: Eurodesk Brussels Link

Programme Statement Erasmus+: Specific Objective 8 – Indicator 1

Baseline 2013	Milestones foreseen						Target 2020
	2014	2015	2016	2017	2018	2019	
140 000 information enquiries answered through the Euro desk network	140 000	140 000	140 000	140 000	140 000	140 000	140 000
	Actual results						
	258 500	266 000	338 381 ¹⁷⁶	338 116			

3. Sport

Specific Objective 3.2: To support **good governance in sport** and dual careers of athlete

Related to
Erasmus +

Management mode: Direct DG Direct Executive Agencies Indirect (through other)

* Result indicator 46: Results increasingly used to improve good governance in sport and dual careers

Definition: Percentage of participants (*expressed as % of Erasmus + sport organisations*) who have used the results of cross-border projects to improve good governance and dual careers

Source: Final reports to be submitted by the beneficiary organisations under preparatory actions and then Erasmus+ sport

Programme Statement Erasmus+: Specific Objective 13 – Indicator 1

Baseline 2009-2013	Milestones foreseen						Target 2020
	2014	2015	2016	2017	2018	2019	
0% (new EU action, no baseline available) ¹⁷⁷				50 %			75 %
	Actual results ¹⁷⁸						

¹⁷⁵ Including Erasmus+' specific objective "(b) to foster quality improvements in youth work, in particular through enhanced cooperation between organisations in the youth field and/or other stakeholders;"

¹⁷⁶ This figure has significantly increased because of the European Solidarity Corps kick off which generated a lot of interest and enquiries across the network.

¹⁷⁷ In line with DG EAC Strategic Plan 2016-2020.

¹⁷⁸ Result indicator: the final results can only be provided when all the projects will be finalised.

4- Culture

* Impact indicator 13: Contribution of cultural and creative sectors to the EU economy

Definition: The cultural and creative sectors' level, change in and share of employment and share of gross domestic product

Source: EU competitiveness report 2010

Programme Statement Creative Europe: General Objective 2– Indicator 1

Baseline 2010	Milestones foreseen						Target 2020
	2014	2015	2016	2017	2018	2019	
In 2010 between 3 % and 3,8 % of the total European workforce ¹⁷⁹					In view of economic crisis, to safeguard 2010 figures		4 % of the total European workforce; 4,8 % of total European GDP;
Actual results							
In 2010 between 3,3 % and 4,5 % of total European GDP ¹⁸⁰	2,9% of total number of people in employment ¹⁸¹						

Specific Objective 4.1: To support the capacity of the European cultural and creative sectors to operate transnationally and internationally¹⁸²

Related to
Creative Europe

Management mode: Direct DG Direct Executive Agencies Indirect (through other)

* Result indicator 49: Internationalisation of EU-supported cultural operators (Creative Europe)

Definition: The scale of international activities of cultural and creative organisations and the number of transnational partnership projects created *and funded by the Creative Europe programme with the participation of operators from more than 3 countries*

Source: Projects final reports

Programme Statement Creative Europe: Specific Objective 1 – Indicator 1

Baseline 2012	Milestones						Target 2020
	2014	2015	2016	2017	2018	2019	
7 000 transnational partnerships involving at least 3 countries, latest known result at end 2012	available as of 2017-18		426 from Culture 310 from MEDIA	7 600			Creation of 8 000 transnational partnerships involving at least 3 countries
Actual results							
				10 094			

¹⁷⁹ 3,3 % of EU's active population (TERA consultants 2014, <http://www.teraconsultants.fr/en/issues/The-Economic-Contribution-of-the-Creative-Industries-to-EU-in-GDP-and-Employment>
3,8 % of EU workforce (Ernst and Young France 2014, <http://www.createurope.eu/en/wp-content/uploads/2014/11/study-full-en.pdf>

¹⁸⁰ 4,2 % of EU GDP (TERA consultants 2014); 4,4 % of EU GDP (Ernst and Young France 2014),

¹⁸¹ Culture statistics, 2016 edition, eurostat

¹⁸² Including Creative Europe's specific objective " (a) to support the capacity of the European cultural and creative sectors to operate transnationally and internationally;"

*** Result Indicator 50: Professionals with better skills and employability** (Creative Europe)

Definition: Number of learning experiences and activities (*expressed as number of professionals*) with learning experience (artists, cultural and creative operators) supported by the Creative Europe programme which have improved the competences and increased the employability of cultural and creative players

Source: Projects final reports

Programme Statement Creative Europe: Specific Objective 1 – Indicator 2

Baseline 2012	Milestones foreseen						Target 2020
	2014	2015	2016	2017	2018	2019	
140 000 professionals with learning experiences				190 000			240 000 professionals with learning experiences
	Actual results						
			Not available				

Specific Objective 4.3: To support transnational **policy** cooperation in order to foster policy development, innovation, creativity, audience building and new business models¹⁸³

Related to
Creative Europe

Management mode: Direct DG Direct Executive Agencies Indirect (through other)

*** Result indicator 53: Influence of EU cultural cooperation on national policy making**

Definition: Number of Member States making use of the results of the Open Method of Coordination in their national policy development

Source: Voluntary reports by EU MS

Programme Statement Creative Europe: Specific Objective 4 – Indicator 1

Baseline 2013	Milestones foreseen						Target 2020
	2014	2015	2016	2017	2018	2019	
10 Member States	12	13	14	15	16	17	20
	Actual results						
	12	13	14				

Specific Objective 4.4: To strengthen the **financial capacity** of small and medium-sized enterprises and organisations in the cultural and creative sectors in a sustainable and balanced way across countries and sectors¹⁸⁴.

Related to
Creative Europe

Management mode: Direct DG Direct Executive Agencies Indirect (through EIB)

*** Output indicator 55: Guaranteed loan supply**

Definition: The volume of loans guaranteed to *SMEs in cultural and creative sectors* in the framework of the Guarantee facility, categorised by national origin, size and micro, small and medium-sized organisations

Source: annual report from the European Investment Fund

Programme Statement Creative Europe: Specific Objective 3 – Indicator 1

¹⁸³ Including Creative Europe's specific objective " (d) to foster policy development, innovation, creativity, audience development and new business and management models through support for transnational policy cooperation".

¹⁸⁴ Including Creative Europe's specific objective "(c) to strengthen the financial capacity of SMEs and micro, small and medium-sized organisations in the cultural and creative sectors in a sustainable way, while endeavouring to ensure a balanced geographical coverage and sector representation". This part of the cross sectoral strand of Creative Europe will be managed jointly with DG CNECT.

Baseline 2013	Milestones foreseen						Target 2020
	2014	2015	2016	2017	2018	2019	
20 million EUR guaranteed loans (MEDIA Production Guarantee Fund, end 2013) ¹⁸⁵				180 million EUR	250 million EUR		0,5 billion EUR
	Actual results						
			none				

*** Result indicator 58: Leverage effect of guaranteed loans**

Definition: The leverage effect of guaranteed loans in relation to the indicative leverage effect (1:5,7) achieved by SMEs in cultural and creative sectors in the framework of the Guarantee facility

Source: annual report from the European Investment Fund

Programme Statement Creative Europe: Specific Objective 3 – Indicator 6

Baseline 2011 ¹⁸⁶	Milestones foreseen						Target 2020
	2014	2015	2016	2017	2018	2019	
1:5,7 (estimated)				1:5,7	1:5,8	1:5,9	1:6
	Actual results						
			0				

*** Result Indicator 60: Diversity of guaranteed loan beneficiaries**

Definition: Number, national origin and sub-sectors of final beneficiaries benefiting from the Guarantee facility, categorised by national origin, size and sectors

Source: annual report from the European Investment Fund

Programme Statement Creative Europe: Specific Objective 3 – Indicator 4

Baseline 2013	Milestones foreseen						Target 2020
	2014	2015	2016	2017	2018	2019	
48 beneficiaries from audiovisual sector from 8 Member States (MEDIA Production Guarantee Fund, end 2013) ¹⁸⁷				1 500 beneficiaries from 5 sub- sectors, from 7 participating countries	3000 beneficiaries from 5 sub- sectors, from 10 participating countries		7 000 beneficiaries from 5 sub-sectors, from 15 participating countries
	Actual results						
			0				

¹⁸⁵ Breakdowns by national origin, size and sectors of SMEs or organisations and by participating financial intermediaries categorised by national origin are provided in the annual report from the European Investment Fund.

¹⁸⁶ There is no EU wide financial instrument for the sector. An estimated ratio of 1:5,7 according to the ex-ante impact assessment for the Creative Europe programme.

¹⁸⁷ Breakdowns by national origin, size and sectors of SMEs or organisations are provided in the annual report from the European Investment Fund.

B – Indicators for jobs and Growth / social inclusiveness (general objective B)

General objective 1-B

Under the overarching Commission objective of "**A New Boost for Jobs, Growth and Investment**", EU level intervention aims at **social inclusiveness** based on European values through education, youth, culture and sport

Related to
**Erasmus+
Horizon 2020
Creative Europe**

Through this general objective, DG Education and Culture contributes as well to the following other General Objectives of the Commission:

- Towards a New Policy on Migration (education)
- A Stronger Global Actor (education, youth, culture)
- A Union of democratic Change (education, youth, culture)

1- Education and innovation

* **Commission-level impact indicator 1: Share of early leavers from education and training** (Europe 2020 headline target)

Definition: Proportion of 18-24 year olds (1) who have only lower-secondary education and (2) are not enrolled in education or training¹⁸⁸.

Source: Eurostat; The Labour Force Survey (annual average based on quarterly data) [Bookmark](#)

Programme Statement Erasmus+: General Objective 1 – Indicator 1

Baseline 2013	Milestones foreseen						Target 2020
	2014	2015	2016	2017	2018	2019	
Latest known situation 11,9% ¹⁸⁹	11,7 %	11,4 %	10,8%	10,6%	10,4%	10,2 %	10 %
	Actual results						
	11,2 %	11,0%	10,7% ¹⁹⁰				

Impact indicator 4: Early childhood education and care

Definition: The share of the population aged 4 to the age when the compulsory primary education starts which are participating in early childhood education and care (ECEC)

Source: Eurostat, UOE

Baseline 2012	Milestones foreseen						Target 2020
	2014	2015	2016	2017	2018	2019	
93.9%		94.3%		94.5%			95 %
	Actual results						

¹⁸⁸ More specifically (1) who have only at most lower secondary (International Standard Classification of Education (ISCED) level 0, 1, 2 ; and (2) who declared not having received any education or training in the four weeks preceding the survey.

¹⁸⁹ http://ec.europa.eu/eurostat/tgm/table.do?tab=table&init=1&language=en&pcode=t2020_40&plugin=1

¹⁹⁰ http://ec.europa.eu/eurostat/tgm/table.do?tab=table&init=1&language=en&pcode=t2020_40&plugin=1

Impact indicator 5: Low achievement in basic skills at school

Definition: The share of 15-year old Europeans failing to reach level 2 in reading, mathematics and science as measured by the OECD's PISA survey

Source: OECD's Programme for International Student Assessment (PISA). Results reported every 3 years.

Baseline 2012	Milestones foreseen						Target 2020
	2014	2015	2016	2017	2018	2019	
Reading: 17,8% Maths 22,1% Science 16,6%		19.7% 22.2% 20.6%			15% 17% 14%		Less than 15% for all indicators
	Actual results						
		19.7% 22.2% 20.6%					

Specific Objective 1.5: To improve the teaching and learning of **languages** and promote the Union's broad linguistic diversity and intercultural awareness¹⁹¹.

Related to **Erasmus+**

Management mode: Direct DG Direct Executive Agencies Indirect (through other)

* Result indicator 25: Language skills of participants

Definition: % of Erasmus+ participants in long-term mobility declaring that they have increased their language skills

Source: Individual participant report to be submitted under Erasmus+

Programme Statement Erasmus+: Specific Objective 5 – Indicator 1

Baseline 2010 ¹⁹²	Milestones foreseen						Target 2020
	2014	2015	2016	2017	2018	2019	
HE: 94 %		95 %		96%			98 %
	Actual results ¹⁹³						
	97.6%	97.5%	97.2%	96.6%			
VET: 81 %				87 %			90 %
	Actual results ¹⁹⁴						
	97.1%	96.3%	96.1%	95.5%			

Specific Objective 1.6: To promote excellence in teaching and research activities in European integration through **Jean Monnet** activities worldwide¹⁹⁵.

Related to **Erasmus+**

Management mode: Direct DG Direct Executive Agencies Indirect (through other)

* Output indicator 26: Students trained through Jean Monnet activities

Definition: Number of Students receiving training through Jean Monnet activities

Source: Online Reporting Tool for the Jean Monnet Programme (which in the future should be connected to Pegasus to allow the creation of statistics)

Programme Statement Erasmus+: Specific Objective 6 – Indicator 1

¹⁹¹ Including Erasmus+' specific objective (e).

¹⁹² In order to compare data, "long-term" mobility is considered here as from 2 months and over across all sectors.

¹⁹³ Result indicator: the final figures can only be provided when all the declaration have been received (year N=3).

¹⁹⁴ Result indicator: the final figures can only be provided when all the declaration have been received (year N=3).

¹⁹⁵ Including Erasmus+' specific objective (f)

Baseline 2007	Milestones foreseen						Target 2020
	2014	2015	2016	2017	2018	2019	
120 000	215 000	235 000	260 000	285 000	310 000	335 000	360 000
	Actual results						
	246 000	225 000	286 000	248 000			

Result Indicator 27: Worldwide scope of Jean Monnet activities

Definition: Number of countries where Jean Monnet activities have been performed successfully, increasing knowledge in partner countries

Source: Online Reporting Tool for the Jean Monnet to be connected to Pegasus

Baseline 2013	Milestones foreseen						Target 2020
	2014	2015	2016	2017	2018	2019	
78 countries	78	80	81	82	83	84	85
	Actual results						
			86	89			

2- Youth

Impact indicator 10: Youth out-of-school participation

Definition: Percentage of young people declaring that they have participated in any out-of-school organisation (youth organisation, NGO, sport club...) during the last year.

Source: Eurobarometer, every two years

Comment: see section on Youth strategy under general objective 1.B

Baseline 2013	Milestones foreseen						Target 2020
	2014	2015	2016	2017	2018	2019	
56%				58%			60%
	Actual results						
		49%		53% ¹⁹⁶			

Specific Objective 2.1: To improve the level of key competences and skills, in particular through increased opportunities for **learning mobility** and strengthened cooperation with the world of work in **the field of youth** including for young people with fewer opportunities, those active in youth work or youth organisations and youth leaders with particular regard to participation in democratic life in Europe and the labour market, active citizenship, intercultural dialogue, social inclusion and solidarity¹⁹⁷.

Related to
Erasmus+

Management mode: Direct DG Direct Executive Agencies Indirect (through other)

* Result Indicator 36: Learning mobility opportunities through Erasmus+

Definition: Number of young people engaged in mobility actions supported by the Programme, by country, sector, action and gender

Source: EU reporting through Erasmus+ IT tool

¹⁹⁶<http://ec.europa.eu/commfrontoffice/publicopinion/index.cfm/Survey/getSurveyDetail/instruments/FLASH/se arch/youth/surveyKy/2163>

¹⁹⁷ Including Erasmus+' specific objective "(a) to improve the level of key competences and skills of young people, including those with fewer opportunities, as well as to promote participation in democratic life in Europe and the labour market, active citizenship, intercultural dialogue, social inclusion and solidarity, in particular through increased learning mobility opportunities for young people, those active in youth work or youth organisations and youth leaders, and through strengthened links between the youth field and the labour market;"

Programme Statement Erasmus+ : Specific Objective 7 – Indicator 3

Baseline 2012	Milestones foreseen						Target 2020
	2014	2015	2016	2017	2018	2019	
Youth: 59 (in 1000)	69	70	70	77	92	107	124
	Actual results						
	95	92	102	110			

*** Result indicator 37: Better skills for participants**

Definition: % of *Erasmus+* participants declaring that they have improved their key competences and/or their skills relevant for employability

Source: Individual participant report to be submitted under Erasmus+

Programme Statement Erasmus+ : Specific Objective 7 – Indicator 1

Baseline 2012	Milestones foreseen						Target 2020
	2014	2015	2016	2017	2018	2019	
Youth 75%			77%				80%
	Actual results						
	93.1%	92.9%	93.2%	93.4%			

Result Indicator 38: Social and political participation of young people

Definition: % of Erasmus + young participants declaring being better prepared to participate in social and political life

Source: Individual participant report to be submitted under Erasmus+

Baseline 2011	Milestones foreseen						Target 2020
	2014	2015	2016	2017	2018	2019	
78%		80%		80%			
	Actual results						
	65%	66%	66%	63%			

*** Result indicator 39: Language skills of participants**

Definition: % of *Erasmus+* participants in voluntary actions declaring that they have increased their language skills

Source: Individual participant report to be submitted under Erasmus+

Programme Statement Erasmus+ : Specific Objective 7 – Indicator 2

Baseline 2010 ¹⁹⁸	Milestones foreseen						Target 2020
	2014	2015	2016	2017	2018	2019	
87%		90%		92%			95%
	Actual results						
	96.5%	96.4%	96.1%	94.7%			

*** Output indicator 40: Staff supported by the programme**

Definition: Number of staff supported by the Programme, by country and *for the sector youth*¹⁹⁹.

Source: EU reporting through Erasmus+ IT tool

Programme Statement Erasmus+ : General Objective 1 – Indicator 5

Baseline	Milestones foreseen	Target 2020
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¹⁹⁸ In order to compare data, "long-term" mobility is considered here as from 2 months and over across all sectors.

¹⁹⁹ See preliminary comment as regards breakdown.

2013 ^{200/201}	2014	2015	2016	2017	2018	2019	
- Youth: 16 Number in 1 000	21	21	22	23	24	25	26
	Actual results						
	34	31	29	32			

*** Output indicator 41: Participants with special needs or fewer opportunities**

Definition: Number of participants with special needs or fewer opportunities supported by the programme (*Erasmus+, youth*)

Source: EU reporting through Erasmus+ IT tool

Programme Statement Erasmus+: General Objective 1 – Indicator 6

Baseline 2013	Milestones foreseen						Target 2020
	2014	2015	2016	2017	2018	2019	
Fewer opportunities (Youth) 18,7 Number in 1 000	47			21,6			37
	Actual results						
	40	45	52	59			

Specific Objective 2.3: To promote at **policy** level, in particular through enhanced policy cooperation, the dissemination of good practices and better use of Union transparency and recognition tools in the field of youth: evidence-based youth policy, as well as the recognition of non-formal and informal learning, with a view to complementing policy reforms at local, regional and national level²⁰².

Related to
Erasmus +

Management mode: Direct DG Direct Executive Agencies Indirect (through other)

*** Result indicator 43: Formal recognition of participation**

Definition: % of Erasmus + participants who have received a certificate (for example a Youthpass), diploma or other kind of formal recognition of their participation in the Programme

Source: EU reporting through Erasmus+ IT tool

Programme Statement Erasmus+: Specific Objective 9 – Indicator 1

Baseline 2010	Milestones foreseen						Target 2020
	2014	2015	2016	2017	2018	2019	
26 %		35 %		45 %			65 %
	Actual results ²⁰³						
	76.8%	78.1%	81.0%	83.0%			

Specific Objective 2.4: To support the Union's external action, including its development objectives, through targeted capacity-building in partner countries, cooperation between Union and partner-country institutions or other stakeholders and the promotion of mobility, and to enhance the **international dimension** of activities in the field of youth in particular as regards the role of youth workers and support structures for young people²⁰⁴.

Related to
Erasmus +

²⁰⁰ Reporting on the performance of the programme in a specific year (n) including detailed reports (breakdown) on the indicators annexed to the basic act will be produced by Q2 of the following year (n+1) and published on the Erasmus+ website. Figures updated to EU 28.

²⁰¹ In line with DG EAC Strategic Plan 2016-2020

²⁰² Including Erasmus+' specific objective "(c) to complement policy reforms at local, regional and national level and to support the development of knowledge and evidence-based youth policy as well as the recognition of non-formal and informal learning, in particular through enhanced policy cooperation, better use of Union transparency and recognition tools and the dissemination of good practices;"

²⁰³ Result indicator: the final results can only be provided when all the certificates will be received.

²⁰⁴ Including Erasmus+' specific objective "(d) to enhance the international dimension of youth activities and

Management mode: Direct DG Direct Executive Agencies Indirect (through other)

*** Result indicator 44: Involvement of EU and non-EU youth organisations**

Definition: Number of youth organisations from both Programme countries and partner countries involved in international mobility and cooperation actions under the Erasmus+ programme

Source: The mobility tool used by NAs for decentralised actions and the EACEA Pegasus database

Programme Statement Erasmus+: Specific Objective 10 – Indicator 1

Baseline 2011	Milestones foreseen						Target 2020
	2014	2015	2016	2017	2018	2019	
5 300	5 500		5 600		5 800		6 000
	Actual results						
	7700	6 173	6 925	7 044			

3- Sport

Impact indicator 11 : Reduction of the share of EU population who does not practice any sport / physical activity

Definition: Percentage of people in the EU aged over 15 and who never exercise or play sport

Source: Eurobarometer (2009; 2014)

Comment: see sections on Challenges under general objective 1.A and 1.B

Baseline 2009	Milestones foreseen						Target 2020
	2014	2015	2016	2017	2018	2019	
39%	(actual:42%)				38%		36%
	Actual results						

Specific Objective 3.1: To tackle cross-border threats to integrity of sport such as doping, match-fixing, violence as well as all kind of intolerance and discrimination

Related to
Erasmus+

Management mode: Direct DG Direct Executive Agencies Indirect (through other)

*** Result indicator 45: Results increasingly used to fight against threats to sport**

Definition: Percentage of participants (*expressed as Erasmus+ sport organisations*) that use the results of cross-border projects to combat threats to sport

Source: Final reports to be submitted by the beneficiary organisations under preparatory actions and then Erasmus+ sport

Programme Statement Erasmus+: Specific Objective 11 – Indicator 1

Baseline 2009-2013	Milestones foreseen						Target 2020
	2014	2015	2016	2017	2018	2019	
0% (new EU action, no baseline available) ²⁰⁵	6,6 %			50 %			75 %
	Actual results ²⁰⁶						

the role of youth workers and organisations as support structures for young people in complementarity with the Union's external action, in particular through the promotion of mobility and cooperation between the Union and partner-country stakeholders and international organisations and through targeted capacity-building in partner countries."

²⁰⁵ In line with DG EAC Strategic Plan 2016-2020.

²⁰⁶ Result indicator: the final results can only be provided when all the projects will be finalised.

Specific Objective 3.3: To promote voluntary activities in sport, together with social inclusion, equal opportunities and **health-enhancing physical activity** through increased **participation in, and equal access to sport**

Related to
Erasmus+

Management mode: Direct DG Direct Executive Agencies Indirect (through other)

*** Result indicator 47: Results increasingly used to enhance social inclusion, equal opportunities and sport participation rates**

Definition: Percentage of participants (*expressed as % of Erasmus + sport organisations*) who have used the results of cross-border projects to enhance social inclusion, equal opportunities and participation rates

Source: Final reports to be submitted by the beneficiary organisations under preparatory actions and then Erasmus+ sport

Programme Statement Erasmus+: Specific Objective 13 – Indicator 1

Baseline 2009-2013	Milestones foreseen						Target 2020
	2014	2015	2016	2017	2018	2019	
0% (new EU action, no baseline available)				50 %			75 %
	Actual results ²⁰⁷						

*** Result indicator 48: Size of membership of sport organisations**

Definition: Size of membership of sport organisations (*% of small grassroots less than 1000 members*) applying for, and taking part in, the Programme, by country²⁰⁸.

Source: Applications submitted under the Erasmus+ Sport call for proposals

Programme Statement Erasmus+: Specific Objective 13 – Indicator 2

Baseline	Milestones foreseen						Target 2020
	2014	2015	2016	2017	2018	2019	
% (new EU action, no baseline available)				30 %			50%
	Actual results ²⁰⁹						

* Size of membership of sport organisations (% of small grassroots less than 1000 members in the projects)

4- Culture

*** Impact indicator 12: Access of EU citizens to European cultural works**

Definition: The number of people accessing European cultural and creative works, including, where possible, works from countries other than their own.

Source: Special Eurobarometer 399 on Cultural access and participation (2013)²¹⁰; mid-term evaluation, 2013.

Programme Statement Creative Europe: General Objective 1 – Indicator 1

²⁰⁷ Result indicator: the final results can only be provided when all the projects will be finalised.

²⁰⁸ Reporting on the performance of the programme in a specific year (n) including detailed reports (breakdown) on the indicators annexed to the basic act will be produced by Q2 of the following year (n+1) and published on the Erasmus+ website

²⁰⁹ Result indicator: the final results can only be provided when all the projects will be finalised.

²¹⁰ The population used for extrapolating the number of people covers the EU28 as well as CH, NO, and IS i.e. 516.8 million people.

Baseline 2013	Milestones						Target 2020
	2014	2015	2016	2017	2018	2019	
Europeans declaring that they benefited from the following items from another European country: 1. 160 million read a book (31%); 2. 140 million watched or listened to a cultural programme on TV/radio (27%); 3. 98 million visited a historical monument or site (19%); 4. 67 million went to a musical performance (13%); 5. 52 million attended a performance, festival, etc (10%); 6. 31 million saw a ballet, dance performance, or opera (6%); 7. 21 million went to a theatre performance (4%)					To be assessed during mid-term evaluation on data until 2017		Increase of 2% in comparison to 2017 results

Specific Objective 4.2: To promote the transnational **circulation** of cultural and creative works and operators and reach new audiences in Europe and beyond, with a particular focus on children, young people, people with disabilities and under-represented groups²¹¹.

Related to
Creative Europe

Management mode: Direct DG Direct Executive Agencies Indirect (through other)

*** Result Indicator 51: Audience of the Creative Europe programme**

Definition: Number of people directly and indirectly reached through projects supported by the Programme

Source: Future projects final reports and mid-term programme evaluation

Programme Statement Creative Europe: Specific Objective 2 – Indicator 5

Baseline	Milestones foreseen						Target 2020
	2014	2015	2016	2017	2018	2019	
No baseline, first known results (2017) available in 2018					To be assessed during mid-term evaluation of the programme based on data until 2017 and subsequently during the impact assessment in 2017/2018		Increase of 5% in comparison to 2017 results
	Actual results						
				3.2 million			

*** Result Indicator 52: Projects addressed to children, young people and under-represented groups, and people reached**

Definition: Number of projects addressed to children, young people and under-represented groups and the estimated number of people reached.

Source: Future projects final reports and mid-term programme evaluation

²¹¹ Including Creative Europe's specific objective " (b) to promote the transnational circulation of cultural and creative works and transnational mobility of cultural and creative players, in particular artists, as well as to reach new and enlarged audiences and improve access to cultural and creative works in the Union and beyond, with a particular focus on children, young people, people with disabilities and under-represented groups;"

Programme Statement Creative Europe: Specific Objective 2 – Indicator 6

Baseline	Milestones foreseen						Target 2020
	2014	2015	2016	2017	2018	2019	
No baseline, first known results (2017) available in 2018 for the first time					To be assessed during mid-term evaluation of the programme based on data until 2017 and subsequently during the impact assessment in 2017/2018		Increase of 7 % in comparison to 2017 results
	Actual results						
				1.6 million young			