



2019

Annual Activity Report

Annexes

**Directorate General
Human Resources and
Security**



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ANNEX 1: STATEMENT OF THE RESOURCES DIRECTOR AND OF THE INTERNAL CONTROL COORDINATOR

Statement of the Resources Director

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

I hereby certify that the information provided in Section 1 of the present Annual Activity Report and in its annexes is, to the best of my knowledge, accurate and complete.

Brussels, 31 March 2020

Signed

Bertrand Saint Aubin

Head of Unit Planning and Policy Steering and DG HR Business Correspondent

Statement of the Internal Control Coordinator

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

I hereby certify that the information provided in Section 2 of the present Annual Activity Report and in its annexes is, to the best of my knowledge, accurate and complete.

Brussels, 31 March 2020

Signed

Christina VLASSIS

Head of Unit Finance, Procurement and Internal Control

¹ C(2017)2373 of 19.04.2017.

ANNEX 2: REPORTING – HUMAN RESOURCES, BETTER REGULATION, INFORMATION MANAGEMENT AND EXTERNAL COMMUNICATION

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

Organisational Management

<p>Objective: The DG effectively deploys 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.</p>		
<p>Indicator: Percentage of female representation in middle management</p> <p>Source of data: Sysper</p>		
Baseline (Year)	Target (Year)	Latest known results (Year)
34.6% (2015)	40% (2020)	44.11% (16/2/20)
<p>Indicator: Staff engagement index</p> <p>Source of data: Annual Staff Survey Results 2018</p>		
Baseline (Year)	Target (Year)	Latest known results (Year)
64,9%	75% (2020)	70% (2018)
<p>Indicator: Percentage of staff who feel that the Commission cares about their well-being</p> <p>Source of data: Sysper</p>		
Baseline (Year)	Target (Year)	Latest known results (Year)
35,3% (2014)	65% (2020)	58% (2018)

Information management aspects

Objective 2: Information and knowledge in the DG is shared and reusable by other DGs. Important documents are registered, filed and retrievable		
Indicator Percentage of registered documents that are not filed (ratio)		
Source of data: Hermes-Ares-Nomcom (HAN)		
Baseline (Year)	Target (Year)	Latest known results (Year)
1,82% (2015)	0%(2020)	2.8%(2019)
Indicator number of HAN files shared with other DGs		
Source of data: HAN		
Baseline (Year)	Target (Year)	Latest known results (Year)
0,13% (2015)	0,13% (2020)	31.02% ² (2019)
Indicator number of cases where an important document could not be retrieved and resulted in a report to the DMO (register of 'exceptions' to be created)		
Source of data: DMO		
Baseline (Year)	Target (Year)	Latest known results (Year)
0 (2015)	0 (2020)	0 (2019)
Indicator Percentage of briefings managed in accordance with a uniform business process and using a common tool		
Source of data: BASIS implemented in 2016		
Baseline (Year)	Target (Year)	Latest known results (Year)
0%(2015)	100% (2020)	100% (2019)
Indicator number of HAN files readable/ accessible by all units in the DG		
Source of data: HAN statistics		
Baseline (Year)	Target (Year)	Latest known results (Year)
0,22% (2015)	0,22% (2020)	0.17%
Indicator Percentage of units using collaborative tools to manage their activities		
Source of data:		
Baseline (Year)	Target (Year)	Latest known results (Year)
-	40	³
Indicator Existence and degree of implementation of a documented strategy to harness knowledge of DG staff		
Source of data: DMO		
Baseline (Year)	Target (Year)	Latest known results (Year)
Strategy to be developed & implemented	Strategy adopted, implemented and assessed	Strategy adopted and implemented

² Following the reorganization of 2016 and the creation of the AMC's in 2017 thousands of shared files were created (AMC/DG's) – this practice has now been stopped and in the following weeks the shared files will be closed; situation will be totally different next year.

³ BASIS is not used as a tool in the DMO team

ANNEX 3. FINANCIAL REPORTS - DG HR - FINANCIAL YEAR 2019

Table 1 : Commitments

Table 2 : Payments

Table 3 : Commitments to be settled

Table 4 : Balance Sheet

Table 5 : Statement of Financial Performance

Table 5 Bis: Off Balance Sheet

Table 6 : Average Payment Times

Table 7 : Income

Table 8 : Recovery of undue Payments

Table 9 : Ageing Balance of Recovery Orders

Table 10 : Waivers of Recovery Orders

Table 11 : Negotiated Procedures

Table 12 : Summary of Procedures

Table 13 : Building Contracts

Table 14 : Contracts declared Secret

Table 15 : FPA duration exceeds 4 years

Additional comments

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

Table 12 Summary of Procedures

Please note that two procedures were recorded in the financial system for technical reasons but should not be considered as procedures awarded in 2019 and should therefore not be taken into consideration. (see details in Table 12)

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

Refresh date : 27/03/2020

TABLE 1: OUTTURN ON COMMITMENT APPROPRIATIONS IN 2019 (in Mio €) for DG HR					
Note : The figures are those related to the provisional accounts and not yet audited by the Court of Auditors			Commitment appropriations authorised	Commitments made	%
			1	2	3=2/1
Title 01 Economic and financial affairs					
01	01 01	Administrative expenditure of the 'Economic and financial affairs' policy area	0.55	0.55	100.00 %
Total Title 01			0.55	0.55	100.00 %
Title 02 Internal market, industry, entrepreneurship and SMEs					
02	02 01	Administrative expenditure of the 'Internal market, industry, entrepreneurship and SMEs' policy area	1.04	1.04	100.00 %
Total Title 02			1.04	1.04	100.00 %
Title 03 Competition					
03	03 01	Administrative expenditure of the 'Competition' policy area	0.14	0.14	100.00 %
Total Title 03			0.14	0.14	100.00 %
Title 04 Employment, social affairs and inclusion					
04	04 01	Administrative expenditure of the 'Employment, social affairs and inclusion' policy area	1.03	1.03	100.00 %
Total Title 04			1.03	1.03	100.00 %
Title 05 Agriculture and rural development					
05	05 01	Administrative expenditure of the 'Agriculture and rural development' policy area	0.53	0.53	100.00 %
Total Title 05			0.53	0.53	100.00 %
Title 06 Mobility and transport					
06	06 01	Administrative expenditure of the 'Mobility and transport' policy area	0.29	0.29	100.00 %
Total Title 06			0.29	0.29	100.00 %
Title 07 Environment					
07	07 01	Administrative expenditure of the 'Environment' policy area	0.58	0.58	100.00 %
Total Title 07			0.58	0.58	100.00 %
Title 08 Research and innovation					
08	08 01	Administrative expenditure of the 'Research and innovation' policy area	0.68	0.68	100.00 %
Total Title 08			0.68	0.68	100.00 %
Title 09 Communications networks, content and technology					
09	09 01	Administrative expenditure of the 'Communications networks, content and technology' policy area	0.34	0.34	100.00 %
Total Title 09			0.34	0.34	100.00 %
Title 10 Direct research					
10	10 01	Administrative expenditure of the 'Direct research' policy area	4.81	4.8	99.84 %
Total Title 10			4.81	4.8	99.84 %
Title 11 Maritime affairs and fisheries					
11	11 01	Administrative expenditure of the 'Maritime affairs and fisheries' policy area	0.22	0.25	117.32 %

TABLE 1: OUTTURN ON COMMITMENT APPROPRIATIONS IN 2019 (in Mio €) for DG HR					
Note : The figures are those related to the provisional accounts and not yet audited by the Court of Auditors			Commitment appropriations authorised	Commitments made	%
			1	2	3=2/1
Total Title 11			0.22	0.25	117.32 %
Title 12 Financial stability, financial services and capital markets union					
12	12 01	Administrative expenditure of the 'Financial stability, financial services and capital markets union' policy area	0.36	0.36	100.00 %
Total Title 12			0.36	0.36	100.00 %
Title 13 Regional and urban policy					
13	13 01	Administrative expenditure of the 'Regional and urban policy' policy area	0.37	0.82	223.00 %
Total Title 13			0.37	0.82	223.00 %
Title 14 Taxation and customs union					
14	14 01	Administrative expenditure of the 'Taxation and customs union' policy area	0.33	0.33	100.00 %
Total Title 14			0.33	0.33	100.00 %
Title 15 Education and culture					
15	15 01	Administrative expenditure of the 'Education and culture' policy area	0.68	0.64	95.02 %
Total Title 15			0.68	0.64	95.02 %
Title 16 Communication					
16	16 01	Administrative expenditure of the 'Communication' policy area	0.36	0.36	99.73 %
Total Title 16			0.36	0.36	99.73 %
Title 17 Health and food safety					
17	17 01	Administrative expenditure of the 'Health and food safety' policy area	0.32	0.32	100.00 %
Total Title 17			0.32	0.32	100.00 %
Title 18 Migration and home affairs					
18	18 01	Administrative expenditure of the 'Migration and home affairs' policy area	0.72	0.7	97.59 %
Total Title 18			0.72	0.7	97.59 %
Title 19 Foreign policy instruments			1	2	3=2/1
19	19 01	Administrative expenditure of the 'Foreign policy instruments' policy area	0.17	0.17	99.49 %
Total Title 19			0.17	0.17	99.49 %
Title 20 Trade					
20	20 01	Administrative expenditure of the 'Trade' policy area	0.61	0.61	100.00 %
Total Title 20			0.61	0.61	100.00 %
Title 21 International cooperation and development					
21	21 01	Administrative expenditure of the 'International cooperation and development' policy area	1.16	1.34	115.20 %
Total Title 21			1.16	1.34	115.20 %
Title 22 Neighbourhood and enlargement negotiations					

TABLE 1: OUTTURN ON COMMITMENT APPROPRIATIONS IN 2019 (in Mio €) for DG HR					
Note : The figures are those related to the provisional accounts and not yet audited by the Court of Auditors			Commitment appropriations authorised	Commitments made	%
			1	2	3=2/1
22	22 01	Administrative expenditure of the 'Neighbourhood and enlargement negotiations' policy area	0.62	0.77	124.41 %
Total Title 22			0.62	0.77	124.41 %
Title 23 Humanitarian aid and civil protection					
23	23 01	Administrative expenditure of the 'Humanitarian aid and civil protection' policy area	0.97	0.93	95.17 %
Total Title 23			0.97	0.93	95.17 %
Title 24 Fight against fraud					
24	24 01	Administrative expenditure of the 'Fight against fraud' policy area	0.13	0.63	501.60 %
Total Title 24			0.13	0.63	501.60 %
Title 25 Commission's policy coordination and legal advice					
25	25 01	Administrative expenditure of the 'Commission's policy coordination and legal advice' policy area	1.46	1.42	97.13 %
Total Title 25			1.46	1.42	97.13 %
Title 26 Commission's administration					
26	26 01	Administrative expenditure of the 'Commission's administration' policy area	286.18	273.66	95.63 %
Total Title 26			286.18	273.66	95.63 %
Title 27 Budget					
27	27 01	Administrative expenditure of the 'Budget' policy area	0.33	0.33	100.00 %
Total Title 27			0.33	0.33	100.00 %
Title 28 Audit					
28	28 01	Administrative expenditure of the 'Audit' policy area	0.51	0.53	103.38 %
Total Title 28			0.51	0.53	103.38 %
Title 29 Statistics					
29	29 01	Administrative expenditure of the 'Statistics' policy area	0.55	0.55	100.00 %
Total Title 29			0.55	0.55	100.00 %
Title 31 Language services					
31	31 01	Administrative expenditure of the 'Language services' policy area	0.98	0.98	100.00 %
Total Title 31			0.98	0.98	100.00 %
Title 32 Energy					
32	32 01	Administrative expenditure in the 'Energy' policy area	0.4	0.4	100.00 %
Total Title 32			0.4	0.4	100.00 %
Title 33 Justice and consumers					
33	33 01	Administrative expenditure of the 'Justice and consumers' policy area	0.65	0.65	100.00 %

TABLE 1: OUTTURN ON COMMITMENT APPROPRIATIONS IN 2019 (in Mio €) for DG HR					
Note : The figures are those related to the provisional accounts and not yet audited by the Court of Auditors			Commitment appropriations authorised	Commitments made	%
			1	2	3=2/1
Total Title 33			0.65	0.65	100.00 %
Title 34 Climate action					
34	34 01	Administrative expenditure in the 'Climate action' policy area	0.2	0.2	100.00 %
Total Title 34			0.2	0.2	100.00 %
Title XX Administrative Expenditure allocated to policy areas					
XX	XX 01	Administrative Expenditure allocated to policy areas	0.7	0.7	100.00 %
Total Title XX			0.7	0.7	100.00 %
Total DG HR			308.96	297.63	96.33 %

* *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 in 2019 for DG HR

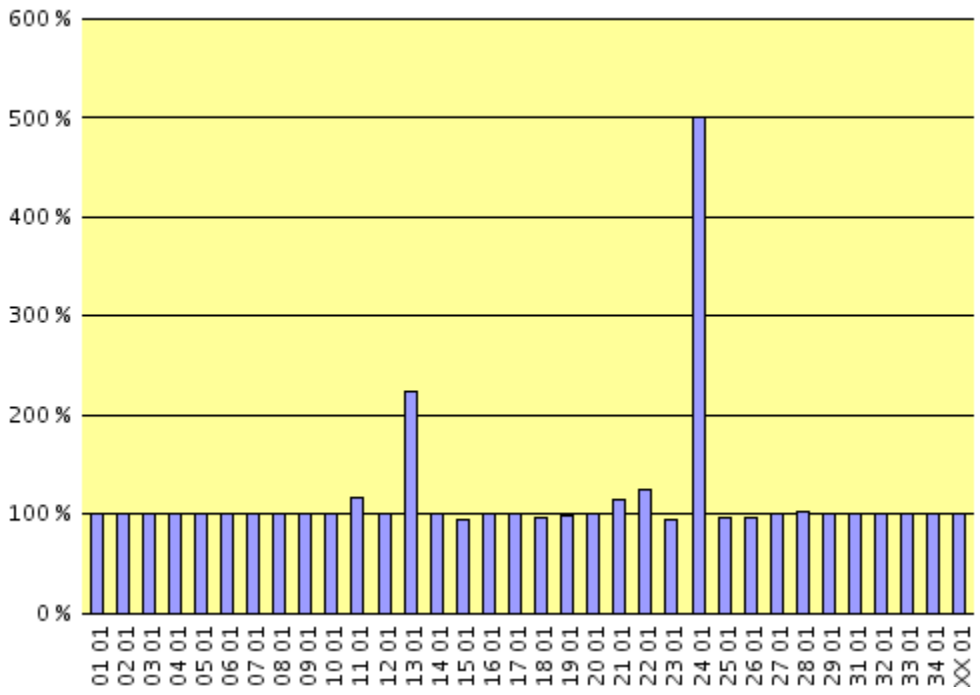


TABLE 2: OUTTURN ON PAYMENT APPROPRIATIONS in 2019 (in Mio €) for DG HR					
			Payment appropriations authorised *	Payments made	%
			1	2	3=2/1
Title 01 Economic and financial affairs					
01	01 01	Administrative expenditure of the 'Economic and financial affairs' policy area	0.64	0.43	67.57 %
Total Title 01			0.64	0.43	67.57%
Title 02 Internal market, industry, entrepreneurship and SMEs					
02	02 01	Administrative expenditure of the 'Internal market, industry, entrepreneurship and SMEs' policy area	1.17	0.88	75.29 %
Total Title 02			1.17	0.88	75.29%
Title 03 Competition					
03	03 01	Administrative expenditure of the 'Competition' policy area	0.18	0.21	113.70 %
Total Title 03			0.18	0.21	113.70%
Title 04 Employment, social affairs and inclusion					
04	04 01	Administrative expenditure of the 'Employment, social affairs and inclusion' policy area	1.24	0.8	64.82 %
Total Title 04			1.24	0.8	64.82%
Title 05 Agriculture and rural development					
05	05 01	Administrative expenditure of the 'Agriculture and rural development' policy area	0.58	0.52	90.24 %
Total Title 05			0.58	0.52	90.24%
Title 06 Mobility and transport					
06	06 01	Administrative expenditure of the 'Mobility and transport' policy area	0.35	0.22	62.87 %
Total Title 06			0.35	0.22	62.87%
Title 07 Environment					
07	07 01	Administrative expenditure of the 'Environment' policy area	0.76	0.54	71.63 %
Total Title 07			0.76	0.54	71.63%
Title 08 Research and innovation					
08	08 01	Administrative expenditure of the 'Research and innovation' policy area	0.68	0.31	45.60 %
Total Title 08			0.68	0.31	45.60%
Title 09 Communications networks, content and technology					
09	09 01	Administrative expenditure of the 'Communications networks, content and technology' policy area	0.34	0.34	98.40 %
Total Title 09			0.34	0.34	98.40%
Title 10 Direct research					
10	10 01	Administrative expenditure of the 'Direct research' policy area	4.81	4.67	97.15 %
Total Title 10			4.81	4.67	97.15%
Title 11 Maritime affairs and fisheries					
11	11 01	Administrative expenditure of the 'Maritime affairs and fisheries' policy area	0.3	0.3	99.46 %
Total Title 11			0.3	0.3	99.46%

TABLE 2: OUTTURN ON PAYMENT APPROPRIATIONS in 2019 (in Mio €) for DG HR					
			Payment appropriations authorised *	Payments made	%
			1	2	3=2/1
Title 12 Financial stability, financial services and capital markets union					
12	12 01	Administrative expenditure of the 'Financial stability, financial services and capital markets union' policy area	0.44	0.3	69.70 %
Total Title 12			0.44	0.3	69.70%
Title 13 Regional and urban policy					
13	13 01	Administrative expenditure of the 'Regional and urban policy' policy area	0.42	0.75	177.67 %
Total Title 13			0.42	0.75	177.67%
Title 14 Taxation and customs union					
14	14 01	Administrative expenditure of the 'Taxation and customs union' policy area	0.38	0.29	76.88 %
Total Title 14			0.38	0.29	76.88%
Title 15 Education and culture					
15	15 01	Administrative expenditure of the 'Education and culture' policy area	0.77	0.53	68.35 %
Total Title 15			0.77	0.53	68.35%
Title 16 Communication					
16	16 01	Administrative expenditure of the 'Communication' policy area	0.49	0.34	69.85 %
Total Title 16			0.49	0.34	69.85%
Title 17 Health and food safety					
17	17 01	Administrative expenditure of the 'Health and food safety' policy area	0.37	0.35	92.82 %
Total Title 17			0.37	0.35	92.82%
Title 18 Migration and home affairs					
18	18 01	Administrative expenditure of the 'Migration and home affairs' policy area	0.82	0.62	75.65 %
Total Title 18			0.82	0.62	75.65%
Title 19 Foreign policy instruments					
19	19 01	Administrative expenditure of the 'Foreign policy instruments' policy area	0.19	0.12	61.64 %
Total Title 19			0.19	0.12	61.64%
Title 20 Trade					
20	20 01	Administrative expenditure of the 'Trade' policy area	0.71	0.66	92.87 %
Total Title 20			0.71	0.66	92.87%
Title 21 International cooperation and development					
21	21 01	Administrative expenditure of the 'International cooperation and development' policy area	1.49	1.53	102.67 %
Total Title 21			1.49	1.53	102.67%
Title 22 Neighbourhood and enlargement negotiations					
22	22 01	Administrative expenditure of the 'Neighbourhood and enlargement negotiations' policy area	0.78	0.76	97.84 %
Total Title 22			0.78	0.76	97.84%

TABLE 2: OUTTURN ON PAYMENT APPROPRIATIONS in 2019 (in Mio €) for DG HR					
			Payment appropriations authorised *	Payments made	%
			1	2	3=2/1
Title 23 Humanitarian aid and civil protection					
23	23 01	Administrative expenditure of the 'Humanitarian aid and civil protection' policy area	1	0.78	78.19 %
Total Title 23			1	0.78	78.19%
Title 24 Fight against fraud					
24	24 01	Administrative expenditure of the 'Fight against fraud' policy area	0.13	0.55	440.82 %
Total Title 24			0.13	0.55	440.82%
Title 25 Commission's policy coordination and legal advice					
25	25 01	Administrative expenditure of the 'Commission's policy coordination and legal advice' policy area	1.69	1.29	76.27 %
Total Title 25			1.69	1.29	76.27%
Title 26 Commission's administration					
26	26 01	Administrative expenditure of the 'Commission's administration' policy area	331.06	273.13	82.50 %
Total Title 26			331.06	273.13	82.50%
Title 27 Budget					
27	27 01	Administrative expenditure of the 'Budget' policy area	0.37	0.32	85.74 %
Total Title 27			0.37	0.32	85.74%
Title 28 Audit					
28	28 01	Administrative expenditure of the 'Audit' policy area	0.53	0.44	83.77 %
Total Title 28			0.53	0.44	83.77%
Title 29 Statistics					
29	29 01	Administrative expenditure of the 'Statistics' policy area	0.75	0.51	67.75 %
Total Title 29			0.75	0.51	67.75%
Title 31 Language services					
31	31 01	Administrative expenditure of the 'Language services' policy area	1.14	1	88.06 %
Total Title 31			1.14	1	88.06%
Title 32 Energy					
32	32 01	Administrative expenditure in the 'Energy' policy area	0.43	0.35	81.55 %
Total Title 32			0.43	0.35	81.55%
Title 33 Justice and consumers					
33	33 01	Administrative expenditure of the 'Justice and consumers' policy area	0.82	0.53	64.43 %
Total Title 33			0.82	0.53	64.43%
Title 34 Climate action					
34	34 01	Administrative expenditure in the 'Climate action' policy area	0.24	0.19	80.57 %
Total Title 34			0.24	0.19	80.57%
Title XX Administrative Expenditure allocated to policy areas					
XX	XX 01	Administrative Expenditure allocated to policy areas	0.7	4.03	572.38 %

TABLE 2: OUTTURN ON PAYMENT APPROPRIATIONS in 2019 (in Mio €) for DG HR			
	Payment appropriations authorised *	Payments made	%
	1	2	3=2/1
Total Title XX	0.7	4.03	572.38%
Total DG HR	356.77	298.61	83.70 %

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

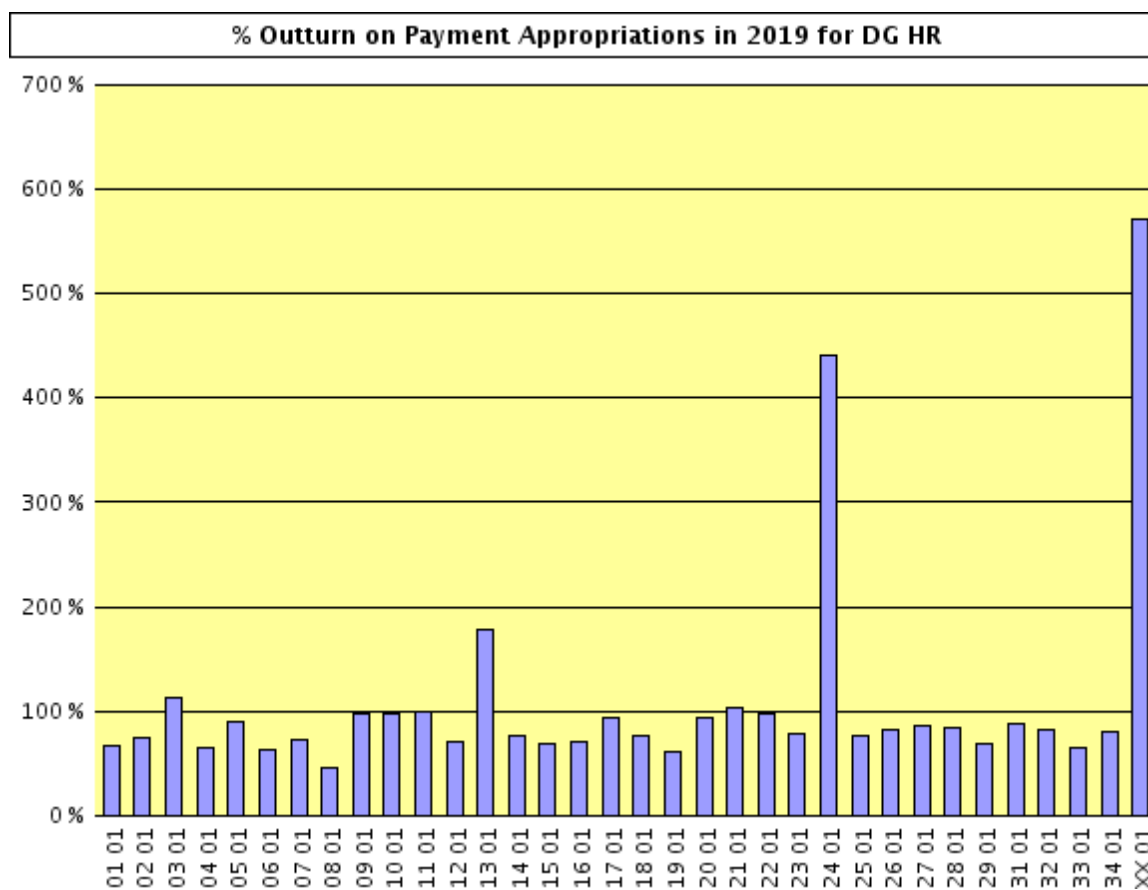


TABLE 3 : BREAKDOWN OF COMMITMENTS TO BE SETTLED AT 31/12/2019 (in Mio €) for DG HR

Note : The figures are those related to the provisional accounts and not yet audited by the Court of Auditors			Commitments to be settled				Commitments to be settled from financial years previous to 2018	Total of commitments to be settled at end of financial year 2019	Total of commitments to be settled at end of financial year 2018
Chapter			Commitments	Payments	RAL	% to be settled			
			1	2	3=1-2	4=1-2/1	5	6=3+5	7
01	01 01	Administrative expenditure of the 'Economic and financial affairs' policy area	0.55	0.34	0.22	39.22%	0.00	0.22	0.14
Total Title 01			0.55	0.34	0.22	39.22%	0.00	0.22	0.14
02	02 01	Administrative expenditure of the 'Internal market, industry, entrepreneurship and SMEs' policy area	1.04	0.62	0.41	40.05%	0.00	0.41	0.36
Total Title 02			1.04	0.62	0.41	40.05%	0.00	0.41	0.36
03	03 01	Administrative expenditure of the 'Competition' policy area	0.14	0.08	0.06	41.39%	0.00	0.06	0.16
Total Title 03			0.14	0.08	0.06	41.39%	0.00	0.06	0.16
04	04 01	Administrative expenditure of the 'Employment, social affairs and inclusion' policy area	1.03	0.62	0.41	39.50%	0.00	0.41	0.38
Total Title 04			1.03	0.62	0.41	39.50%	0.00	0.41	0.38
05	05 01	Administrative expenditure of the 'Agriculture and rural development' policy area	0.53	0.39	0.14	25.76%	0.00	0.14	0.20
Total Title 05			0.53	0.39	0.14	25.76%	0.00	0.14	0.20
06	06 01	Administrative expenditure of the 'Mobility and transport' policy area	0.29	0.17	0.13	42.67%	0.00	0.13	0.10
Total Title 06			0.29	0.17	0.13	42.67%	0.00	0.13	0.10
07	07 01	Administrative expenditure of the 'Environment' policy area	0.58	0.43	0.15	25.67%	0.00	0.15	0.21
Total Title 07			0.58	0.43	0.15	25.67%	0.00	0.15	0.21
08	08 01	Administrative expenditure of the 'Research and innovation' policy area	0.68	0.26	0.42	61.56%	0.00	0.42	0.13
Total Title 08			0.68	0.26	0.42	61.56%	0.00	0.42	0.13
09	09 01	Administrative expenditure of the 'Communications networks, content and technology' policy area	0.34	0.20	0.14	41.87%	0.00	0.14	0.19
Total Title 09			0.34	0.20	0.14	41.87%	0.00	0.14	0.19

TABLE 3 : BREAKDOWN OF COMMITMENTS TO BE SETTLED AT 31/12/2019 (in Mio €) for DG HR

TABLE 3 : BREAKDOWN OF COMMITMENTS TO BE SETTLED AT 31/12/2019 (in Mio €) for DG HR									
Note : The figures are those related to the provisional accounts and not yet audited by the Court of Auditors			Commitments to be settled				Commitments to be settled from financial years previous to 2018	Total of commitments to be settled at end of financial year 2019	Total of commitments to be settled at end of financial year 2018
Chapter			Commitments	Payments	RAL	% to be settled			
			1	2	3=1-2	4=1-2/1	5	6=3+5	7
10	10 01	Administrative expenditure of the 'Direct research' policy area	4.75	3.54	1.21	25.46%	0.00	1.21	1.67
Total Title 10			4.75	3.54	1.21	25.46%	0.00	1.21	1.67
11	11 01	Administrative expenditure of the 'Maritime affairs and fisheries' policy area	0.25	0.12	0.13	50.54%	0.00	0.13	0.23
Total Title 11			0.25	0.12	0.13	50.54%	0.00	0.13	0.23
12	12 01	Administrative expenditure of the 'Financial stability, financial services and capital markets union' policy area	0.36	0.25	0.10	28.77%	0.00	0.10	0.11
Total Title 12			0.36	0.25	0.10	28.77%	0.00	0.10	0.11
13	13 01	Administrative expenditure of the 'Regional and urban policy' policy area	0.82	0.51	0.31	37.49%	0.00	0.31	0.30
Total Title 13			0.82	0.51	0.31	37.49%	0.00	0.31	0.30
14	14 01	Administrative expenditure of the 'Taxation and customs union' policy area	0.33	0.15	0.18	53.74%	0.00	0.18	0.19
Total Title 14			0.33	0.15	0.18	53.74%	0.00	0.18	0.19
15	15 01	Administrative expenditure of the 'Education and culture' policy area	0.64	0.35	0.30	46.15%	0.03	0.32	0.22
Total Title 15			0.64	0.35	0.30	46.15%	0.03	0.32	0.22
16	16 01	Administrative expenditure of the 'Communication' policy area	0.36	0.25	0.12	32.04%	0.00	0.12	0.18
Total Title 16			0.36	0.25	0.12	32.04%	0.00	0.12	0.18
17	17 01	Administrative expenditure of the 'Health and food safety' policy area	0.32	0.21	0.11	34.41%	0.00	0.11	0.17
Total Title 17			0.32	0.21	0.11	34.41%	0.00	0.11	0.17
18	18 01	Administrative expenditure of the 'Migration and home affairs' policy area	0.70	0.47	0.23	33.02%	0.00	0.23	0.17
Total Title 18			0.70	0.47	0.23	33.02%	0.00	0.23	0.17

TABLE 3 : BREAKDOWN OF COMMITMENTS TO BE SETTLED AT 31/12/2019 (in Mio €) for DG HR

Note : The figures are those related to the provisional accounts and not yet audited by the Court of Auditors			Commitments to be settled				Commitments to be settled from financial years previous to 2018	Total of commitments to be settled at end of financial year 2019	Total of commitments to be settled at end of financial year 2018
Chapter			Commitments	Payments	RAL	% to be settled			
			1	2	3=1-2	4=1-2/1	5	6=3+5	7
19	19 01	Administrative expenditure of the 'Foreign policy instruments' policy area	0.17	0.09	0.08	44.98%	0.00	0.08	0.03
Total Title 19			0.17	0.09	0.08	44.98%	0.00	0.08	0.03
20	20 01	Administrative expenditure of the 'Trade' policy area	0.61	0.49	0.13	20.69%	0.00	0.13	0.18
Total Title 20			0.61	0.49	0.13	20.69%	0.00	0.13	0.18
21	21 01	Administrative expenditure of the 'International cooperation and development' policy area	1.34	1.14	0.20	14.78%	0.00	0.20	0.43
Total Title 21			1.34	1.14	0.20	14.78%	0.00	0.20	0.43
22	22 01	Administrative expenditure of the 'Neighbourhood and enlargement negotiations' policy area	0.77	0.50	0.28	35.77%	0.11	0.39	0.42
Total Title 22			0.77	0.50	0.28	35.77%	0.11	0.39	0.42
23	23 01	Administrative expenditure of the 'Humanitarian aid and civil protection' policy area	0.93	0.58	0.35	37.39%	0.00	0.35	0.23
Total Title 23			0.93	0.58	0.35	37.39%	0.00	0.35	0.23
24	24 01	Administrative expenditure of the 'Fight against fraud' policy area	0.63	0.47	0.16	25.37%	0.00	0.16	0.10
Total Title 24			0.63	0.47	0.16	25.37%	0.00	0.16	0.10
25	25 01	Administrative expenditure of the 'Commission's policy coordination and legal advice' policy area	1.42	1.00	0.42	29.51%	0.00	0.42	0.40
Total Title 25			1.42	1.00	0.42	29.51%	0.00	0.42	0.40
26	26 01	Administrative expenditure of the 'Commission's administration' policy area	273.66	235.02	38.64	14.12%	0.00	38.64	39.85
Total Title 26			273.66	235.02	38.64	14.12%	0.00	38.64	39.85
27	27 01	Administrative expenditure of the 'Budget' policy area	0.33	0.20	0.13	39.94%	0.00	0.13	0.15
Total Title 27			0.33	0.20	0.13	39.94%	0.00	0.13	0.15

TABLE 3 : BREAKDOWN OF COMMITMENTS TO BE SETTLED AT 31/12/2019 (in Mio €) for DG HR

TABLE 3 : BREAKDOWN OF COMMITMENTS TO BE SETTLED AT 31/12/2019 (in Mio €) for DG HR									
Note : The figures are those related to the provisional accounts and not yet audited by the Court of Auditors			Commitments to be settled				Commitments to be settled from financial years previous to 2018	Total of commitments to be settled at end of financial year 2019	Total of commitments to be settled at end of financial year 2018
Chapter			Commitments	Payments	RAL	% to be settled			
			1	2	3=1-2	4=1-2/1	5	6=3+5	7
28	28 01	Administrative expenditure of the 'Audit' policy area	0.53	0.34	0.19	36.27%	0.00	0.19	0.16
Total Title 28			0.53	0.34	0.19	36.27%	0.00	0.19	0.16
29	29 01	Administrative expenditure of the 'Statistics' policy area	0.55	0.31	0.24	43.47%	0.00	0.24	0.33
Total Title 29			0.55	0.31	0.24	43.47%	0.00	0.24	0.33
31	31 01	Administrative expenditure of the 'Language services' policy area	0.98	0.71	0.27	27.47%	0.00	0.27	0.34
Total Title 31			0.98	0.71	0.27	27.47%	0.00	0.27	0.34
32	32 01	Administrative expenditure in the 'Energy' policy area	0.40	0.26	0.14	34.42%	0.00	0.14	0.14
Total Title 32			0.40	0.26	0.14	34.42%	0.00	0.14	0.14
33	33 01	Administrative expenditure of the 'Justice and consumers' policy area	0.65	0.32	0.33	50.37%	0.00	0.33	0.24
Total Title 33			0.65	0.32	0.33	50.37%	0.00	0.33	0.24
34	34 01	Administrative expenditure in the 'Climate action' policy area	0.20	0.13	0.06	33.16%	0.00	0.06	0.07
Total Title 34			0.20	0.13	0.06	33.16%	0.00	0.06	0.07
XX	XX 01	Administrative Expenditure allocated to policy areas	0.70	0.34	0.36	51.42%	0.00	0.36	0.29
Total Title XX			0.70	0.34	0.36	51.42%	0.00	0.36	0.29
Total for DG HR			297.58	250.87	46.71	15.70%	0.14	46.85	48.47

Breakdown of Commitments Remaining to be Settled (in Mio EUR) at 31/12/2019 for DG HR

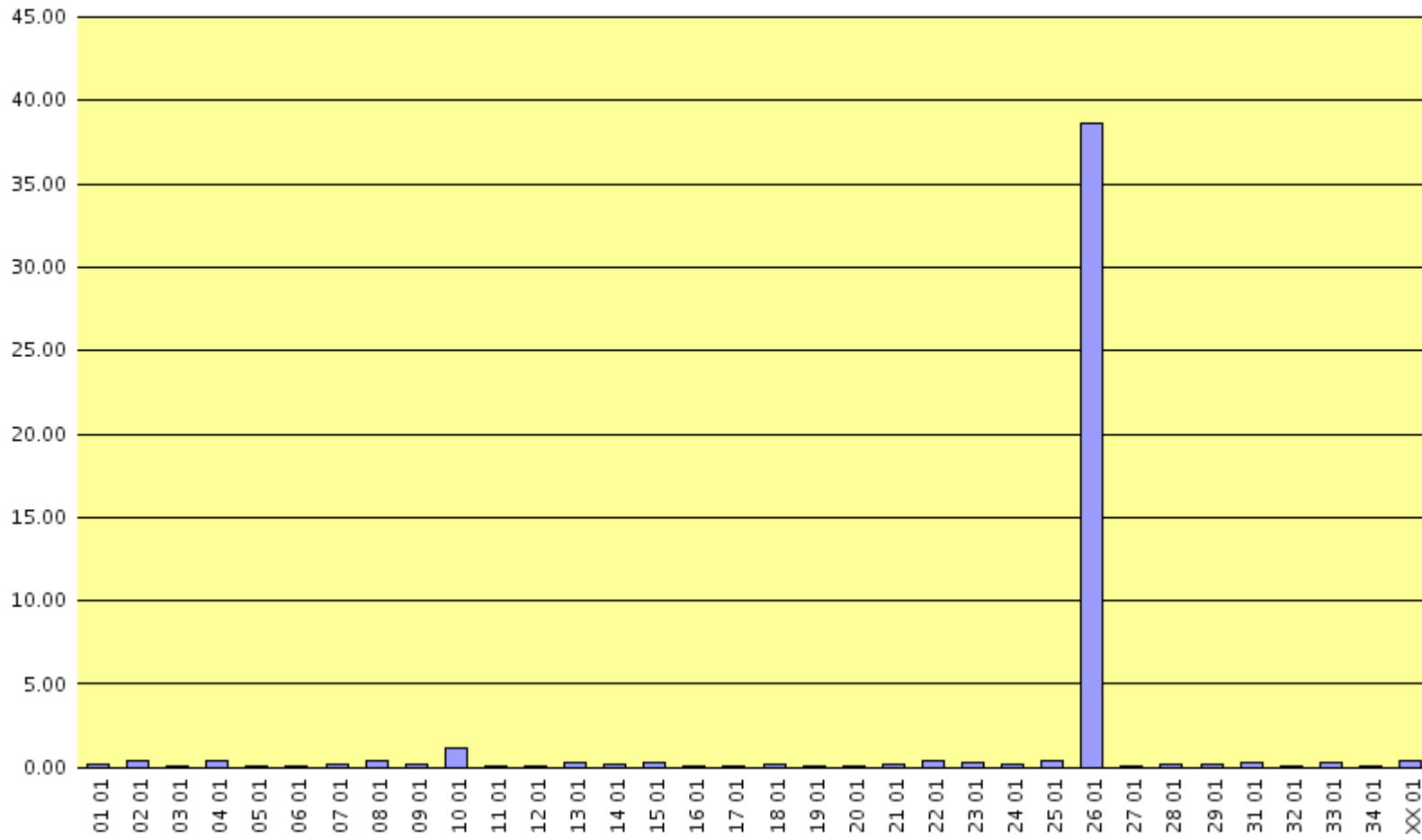


TABLE 4 : BALANCE SHEET for DG

BALANCE SHEET	2019	2018
A.I. NON CURRENT ASSETS	596,127.25	800,513.74
A.I.1. Intangible Assets	596,127.25	800,513.74
A.II. CURRENT ASSETS	836,551.96	980,063.18
A.II.2. Current Pre-Financing	0.00	0.00
A.II.3. Curr Exch Receiv & Non-Ex Recoverables	836,551.96	980,063.18
A.II.6. Cash and Cash Equivalents	0.00	
ASSETS	1,432,679.21	1,780,576.92
P.II. CURRENT LIABILITIES	-96,789,476	363,698.61
P.II.4. Current Payables	-96,789,476.00	363,698.61
P.II.5. Current Accrued Charges & Defrd Income	0.00	0.00
LIABILITIES	-96,789,476	363,698.61
NET ASSETS (ASSETS less LIABILITIES)	-95,356,796.79	2,144,275.53
P.III.2. Accumulated Surplus/Deficit	1,431,877,063.69	1,275,537,793.15
Non-allocated central (surplus)/deficit*	-1,336,520,266.90	- 1,277,682,068.68
TOTAL DG HR	0.00	0.00

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

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

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

Refresh date : 27/03/2020

TABLE 5 : STATEMENT OF FINANCIAL PERFORMANCE for

STATEMENT OF FINANCIAL PERFORMANCE	2019	2018
II.1 REVENUES	-28,069,652.09	-30,902,684.29
II.1.2. EXCHANGE REVENUES	-28,069,652.09	-30,902,684.29
II.1.2.2. OTHER EXCHANGE REVENUE	-28,069,652.09	-30,902,684.29
II.2. EXPENSES	389,778,309.18	187,241,954.83
II.2. EXPENSES	389,778,309.18	187,241,954.83
II.2.10. OTHER EXPENSES	382,362,643.23	179,686,789.70
II.2.6. STAFF AND PENSION COSTS	7,415,379.62	7,554,531.24
II.2.8. FINANCE COSTS	286.33	633.89
STATEMENT OF FINANCIAL PERFORMANCE	361,708,657.09	156,339,270.54

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.

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Note : The figures are those related to the provisional accounts and not yet audited by the Court of Auditors
Refresh date : 27/03/2020

**TABLE 5bis : OFF BALANCE SHEET for
DG HR**

OFF BALANCE	2019	2018
OB.1. Contingent Assets	751,277.5	590,200.5
GR for performance	751,277.50	590,200.50
OB.3. Other Significant Disclosures	-1,622,865.13	-1,908,018.94
OB.3.3.7. Other contractual commitments	-1,622,865.13	-1,908,018.94
OB.4. Balancing Accounts	871,587.63	1,317,818.44
OB.4. Balancing Accounts	871,587.63	1,317,818.44
OFF BALANCE	0.00	0.00

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

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

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

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TABLE 6: AVERAGE PAYMENT TIMES in 2019

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)
26	1	1	100.00 %	11			
27	1	1	100.00 %	13			
30	10479	10292	98.22 %	13.86	187	1.78 %	42.57
32	1	1	100.00 %	14			
42	1	1	100.00 %	23			
43	2	2	100.00 %	12.5			
44	1	1	100.00 %	15			
45	72	71	98.61 %	15.32	1	1.39 %	70
46	1	1	100.00 %	31			
48	1	1	100.00 %	22			
49	1	1	100.00 %	10			
53	2	2	100.00 %	14			
60	49	49	100.00 %	16.29			
67	2	2	100.00 %	61			
90	35	35	100.00 %	7.43			
120	1789	1787	99.89 %	18.11	2	0.11 %	143

Total Number of Payments	12438	12248	98.47 %		190	1.53 %	
Average Net Payment Time	14.94			14.49			43.77
Average Gross Payment Time	16.63			16.11			50.44

Suspensions							
Average Report Approval Suspension Days	Average Payment Suspension Days	Number of Suspended Payments	% of Total Number	Total Number of Payments	Amount of Suspended Payments	% of Total Amount	Total Paid Amount
0	42	497	4.00 %	12438	41,968,298.78	14.35 %	292,376,901.58

Late Interest paid in 2019			
DG	GL Account	Description	Amount (Eur)
HR	65010100	Interest on late payment of charges New FR	286.33
			286.33

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

Refresh date : 27/03/2020

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

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
55	REVENUE FROM THE PROCEEDS OF SERVICES SUPPLIED AND WORK CARRIED OUT	17,521,921.40	0.00	17,521,921.40	17,475,397.40	0.00	17,475,397.40	46,524.00
57	OTHER CONTRIBUTIONS AND REFUNDS IN CONNECTION WITH THE ADMINISTRATIVE OPERATION OF THE INSTITUTION	11,603,410.49	517,937.98	12,121,348.47	11,391,402.79	204,377.17	11,595,779.96	525,568.51
66	OTHER CONTRIBUTIONS AND REFUNDS	2,730.00	0.00	2,730.00	2,730.00	0.00	2,730.00	0.00
Total DG HR		29,128,061.89	517,937.98	29,645,999.87	28,869,530.19	204,377.17	29,073,907.36	572,092.51

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

Refresh date : 27/03/2020

TABLE 8 : RECOVERY OF PAYMENTS in 2019 for DG HR

INCOME BUDGET RECOVERY ORDERS ISSUED IN 2019 Year of Origin (commitment)	Irregularity		Total undue payments recovered		Total transactions in recovery context (incl. non-qualified)		% Qualified/Total RC	
	Nbr	RO Amount	Nbr	RO Amount	Nbr	RO Amount	Nbr	RO Amount
2018	1	8.85	1	8.85	2	1,268.85	50.00%	0.70%
2019					6	14,640.9		
No Link					1783	28,038,622.82		
Sub-Total	1	8.85	1	8.85	1791	28,054,532.57	0.06%	0.00%

EXPENSES BUDGET	Irregularity		OLAF Notified		Total undue payments recovered		Total transactions in recovery context (incl. non-qualified)		% Qualified/Total RC	
	Nbr	Amount	Nbr	Amount	Nbr	Amount	Nbr	Amount	Nbr	Amount
INCOME LINES IN INVOICES										
NON ELIGIBLE IN COST CLAIMS										
CREDIT NOTES	25	97,661.59			25	97,661.59	233	855,062.21	10.73%	11.42%
Sub-Total	25	97,661.59			25	97,661.59	233	855,062.21	10.73%	11.42%
GRAND TOTAL	26	97,670.44			26	97,670.44	2,024	28,909,594.78	1.28%	0.34%

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

Refresh date : 27/03/2020

TABLE 9: AGEING BALANCE OF RECOVERY ORDERS AT 12/31/2019

	Number at 1/1/2019 1	Number at 12/31/2019	Evolution	Open Amount (Eur) at 1/1/2019 1	Open Amount (Eur) at 12/31/2019	Evolution
2010	1	1	0.00 %	3,941.43	3,941.43	0.00 %
2015	4	3	-25.00 %	271,409.60	267,081.44	-1.59 %
2016	1	1	0.00 %	16,561.63	5,361.63	-67.63 %
2017	2	2	0.00 %	22,858.39	16,020.63	-29.91 %
2018	15	3	-80.00 %	203,166.93	21,155.68	-89.59 %
2019		17			258,531.70	
	23	27	17.39 %	517,937.98	572,092.51	10.46 %

TABLE 10 :Recovery Order Waivers >= 60 000 € in

	Waiver Central Key	Linked RO Central Key	RO Accepted Amount (Eur)	LE Account Group	Commission Decision	Comments
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Total DG HR	
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Number of RO waivers	
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**TABLE 11 :Negotiated Procedures in 2019 for
DG HR**

Internal Procedures > € 60,000

Negotiated Procedure Legal base	Number of Procedures	Amount (€)
Annex 1 - 11.1 (a) - Follow-up of an open/restricted procedure where no (or no suitable) tenders/requests to participate have been submitted	1	166,000.00
Annex 1 - 11.1 (e) - New services/works consisting in the repetition of similar services/works	2	6,735,000.00
Art. 135.1(a) (After prior publication) Submission of irregular or unacceptable tenders	1	203,000.00
Total	4	7,104,000.00

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

Refresh date : 27/03/2020

**TABLE 12 : Summary of Procedures in 2019
for DG HR**

Internal Procedures > € 60,000

Procedure Legal base	Number of Procedures	Amount (€)
Competitive procedure with negotiation (Annex 1 - 12.1)	1	161,000.00
Exceptional Negotiated Procedure after publication of a contract notice (Art. 135 RAP)	1	203,000.00
Negotiated procedure middle value contract (Annex 1 - 14.2)	4	404,101.06
Negotiated procedure without prior publication (Annex 1 - 11.1)	3	6,901,000.00
Open Procedure (Art. 127.2 RAP)	1	165,000.00
Open procedure (FR 164 (1)(a))	13	15,939,261.00
Restricted procedure without Dynamic purchasing system (FR 164 (1)(b))	1	4,722,188.58
Total	24	28,495,550.64

Additional Comments:

Two procedures were recorded in the financial system for technical reasons but should not be considered as procedures awarded in 2019 and should therefore not be taken into consideration:

- Open procedure (FR 164 (1)(a)): 344.616 EUR

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

Refresh date : 27/03/2020

TABLE 13 : BUILDING CONTRACTS in 2019 for DG HR

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

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

Refresh date : 27/03/2020

TABLE 14 : CONTRACTS DECLARED SECRET in 2019 for

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

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

Refresh date : 27/03/2020

TABLE 15 : FPA duration exceeds 4 years - DG
HR



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

ANNEX 4: MATERIALITY CRITERIA

This annex provides detailed explanation on how the AOD defined the materiality threshold as a basis for determining significant weaknesses that should be subject to a formal reservation to his/her declaration.

In the analysis leading to the decision on whether to issue reservations or not, DG HR used the following criteria:

- For financial cases, the threshold of 2% of the total volume of the activity concerned;
- For other cases, the fact whether a serious breach had occurred vis-à-vis an internal control standard;
- And more generally, whether the Commission's reputation was at stake;

Critical issues outlined by the European Court of Auditors or the Internal Audit Service.

ANNEX 5: INTERNAL CONTROL TEMPLATE(S) FOR BUDGET IMPLEMENTATION (ICTS)

A) ICT for Procurement under Direct Management.

Stage 1 – Procurement

A - Planning

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

Main risks It may happen (again) that...	Mitigating controls	Coverage, frequency and depth of controls	Cost-Effectiveness indicators (three E's)
<p>The needs are not well defined (operationally and economically) and that the decision to procure was inappropriate</p> <p>Discontinuation of the services provided due to a late contracting</p>	<p>Publication of intended procurements / Work program</p> <p>Note to AO(S)D on justification (economic , operation) for launching a procurement process Orientation note</p> <p>Point discussed during management meeting</p>	<p>Coverage: Procurement >60.000 € Depth: Level 2</p>	<p>Total contract value / cost of control on procurement.</p> <p>Cost of control on procurement / number of procedures closed during the year</p> <p>Exceptions & NCE / total number of commitments</p> <p>Costs: FTE linked to operational unit + central unit</p> <p>Benefits (qualitative): No litigation, compliance</p>

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

*Depth: (definition of levels)

1. Minimal administrative / arithmetic control with no reference to supporting documents, reference to underlying documents.
2. Control with reference to corroborative information incorporating an element of independent oversight (e.g. audit certificate or other verification), but no reference to underlying documents.
3. Control with reference to fully independent corroborative information (e.g. a database which justifies certain elements of the claim, 3rd party

or Commission assessment of milestones achieved, etc.)

4. Control with reference to and including access to the underlying documentation available at the stage of the process in question, for all inputs and outputs (e.g. timesheets, invoices, physical verification, etc.); i.e. control of the same intensity of transaction testing as those carried out by the ECA as part of the DAS

B - Needs assessment & definition of needs

Main risks It may happen (again) that...	Mitigating controls	Coverage, frequency and depth of controls	Cost-Effectiveness indicators (three E's)
The best offer/s are not submitted due to the poor definition of the specifications	Financial circuit : AOS approval and supervision of specifications Additional unit supervision above a financial threshold : procurement >60.000 € Or use of a consultative/advisory committee GAMA	Coverage: 100% Depth: Level 3 Coverage: Those replying to criteria: procedure >60.000€ Depth: Level 4	Total contract value / cost of control on procurement Cost of control on procurement / number of procedures closed during the year Exceptions & NCE / total number of commitments Costs: FTE linked to operational unit + central unit Benefits (qualitative): No litigation, compliance

NB: for all controls, information in particular financial information related to inputs / outputs and follow-up should be collected
Depth: (definition of levels)

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

C – Selection of the offer & evaluation

Main control objectives: Ensuring that the selection of the contractor is optimal

Main risks It may happen (again) that...	Mitigating controls	Coverage, frequency and depth of controls	Cost-Effectiveness indicators (three E's)
The most promising offer not being selected, due to a biased, inaccurate or 'unfair' evaluation process	Opening committee and Evaluation committee Consultative committee CCAM/PPAG Conflict of interests Exclusion criteria documented Standstill period	Coverage: 100% Depth: Level 4 Coverage: Risk based sampling Depth: Level 4 Coverage: 100% Depth: Level 4 Coverage: 100% Depth: Level 4 Coverage: 100% Depth: N/A	Total contract value / cost of control on procurement Cost of control on procurement / number of procedures closed during the year Exceptions & NCE / total number of commitments Costs: FTE linked to operational unit + central unit Benefits (qualitative): No litigation, compliance

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

*Depth: (definition of levels)

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

Stage 2: Financial transactions

Main control objectives: Ensuring that the implementation of the contract is in compliance with the signed contract

Main risks It may happen (again) that...	Mitigating controls	Coverage, frequency and depth of controls	Cost-Effectiveness indicators (three E's)
<p>Contractor does not comply with the contractual provisions Amount paid is disconnected from the quality and the timing of the deliverables Business discontinues. Contractor unable to deliver.</p>	<p>Monitoring respect of contractual provisions. Financial circuit: all steps financial and operational Signature at higher hierarchical level for higher amounts Sensitive functions</p>	<p>Coverage: 100% Depth: Level 4 Coverage: 100% Depth: Level 4 Coverage: Those replying to criteria Depth: Level 2 Coverage: AOSDs mainly Depth: N/A</p>	<p>Cost of control on the financial circuit/number of financial transactions done during the year Cost of control on the financial circuit/value of payment executed during the year Exceptions & NCE / total number of payments Costs: FTE linked to actors acting on financial circuits Benefits (qualitative and quantitative): Detect error before payment, sound financial management and respect of contractual provisions</p>

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

*Depth: (definition of levels)

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

Stage 3: Supervisory measures

Main control objectives: Ensuring that any weakness in the procedures (tender and financial transactions) is corrected

Main risks

It may happen (again) that... Mitigating controls

(those in bold are strongly recommended) How to determine coverage frequency and depth How to estimate the costs and benefits of controls
Control indicators

Main risks It may happen (again) that...	Mitigating controls	Coverage, frequency and depth of controls	Cost-Effectiveness indicators (three E's)
<p>An error or non-compliance with specifications or a fraud is not detected</p> <p>Management of the procurement is not improved in general</p>	<p>Ex-post controls on procedures / contractors</p> <p>Whistleblowing (notably after yearly reporting of awarded contractors)</p> <p>Review of ex-post results</p> <p>Review of exception reporting</p> <p>Review of the process after each procedure</p>	<p>Coverage: Risk based percentage or financial controllers check each other's work once a year Depth: Level 4 Coverage: potentially 100% Depth: N/A</p> <p>Coverage: Whole process but limited number of tenders Depth: Level 2</p> <p>Coverage: Whole process but limited number of tenders Depth: Level 2 Coverage: Procedure >60.000€ Depth: Level 2</p>	<p>Ex-post control result/error found</p> <p>Total value checked by Control ex-post/costs ex-post controls</p> <p>Cost ex-post controls/total number of transactions checked by Control ex-post</p> <p>Costs: FTE mainly linked to Control ex-post</p> <p>Benefits Issues are followed and addressed, improvement of processes and procedures</p>

B) ICT for Financial Contribution to the European Schools

Governance

The European School System is regulated by an intergovernmental convention. The governance of the European School System is ensured by the Board of Governors at which the European Commission is represented (Commission 1 vote, Member States 1 vote each, EPO and parents have a voting right for certain issues). The Draft Budget of the European Schools is voted by the Board of Governors in April, it includes the potential EU financial contribution. Based on this a request for funding is formulated by the Board of Governors, DG HR is responsible for inserting a provision in the Commission's budget to cover the part of the Schools budget assigned to the Commission. Once the EU budget procedure is finalised, DG HR is responsible for accurately paying the contributions to each of the schools. Each type I school is paid in four instalments. There is no room for discretion in the treatment of the payments by DG HR. The first three instalments are fixed in proportion to the total amount payable and the final balance is paid on the basis of an update of budgetary situation provided by each school.

European Schools are responsible for the execution of their budget in compliance with their own Financial Regulation. Audits are carried out by the IAS and by the European Court of Auditors and discharged by the Board of Governors.

For European Schools type II, in April 2009, the reform of the European school system provided for the establishment of European schools of type II, national schools with sections for the European Baccalaureate. These schools receive accreditation from the Board of Governors of the European Schools, which allows, under certain conditions, the granting of a financial contribution. The Commission adopted the measures for the payment of this contribution (in proportion to the number of pupils, children of staff of the Institutions, Agencies/EU bodies, etc.) and, for the first time in the 2011 Commission Budget, appropriations have been earmarked to finance the EU contribution. In August 2013, the Commission adopted a new legal basis, which entered into force in 2014.

Stage 1 – Planning / Budget preparation

Main control objectives: Ensuring that the Commission's request for the EU contribution to the European Schools (ES) proposed in its Draft Budget is optimal

Main risks It may happen (again) that...	Mitigating controls	How to determine coverage, frequency and depth	Cost-Effectiveness indicators (three E's)
<p>Budget needs are not well defined which may lead to a budget shortage or budget surplus</p> <p>Budget includes expenses that are not compliant with the rules</p>	<p>DG HR sends a note to the Secretary General (SG) of the ES giving orientations for the preparation of their Draft Budget.</p> <p>The forecasts of expenses and revenues prepared by the schools are reviewed in the framework of their Administrative Boards, in which the Commission, through DG HR, has one vote out of 8.</p> <p>The SG of the ES prepares an Advanced Draft Budget which is reviewed in the framework of the Budgetary Committee and then in the Governing Board, which adopts the overall draft budget of the European Schools, including the potential EU financial contribution. The Commission (DG HR) has one vote out of 30 in these two instances.</p> <p>Based on the request formulated by the Board of Governors of the ES, DG HR is responsible for the Commission's request for the EU contribution proposed in its Draft Budget.</p> <p>Finally, the Commission budget, including the contribution to the European Schools will be adopted by the Budget Authority.</p>	<p>Coverage: 100% Depth: Level 2</p> <p>Coverage: 100% Depth: Level 2</p> <p>Coverage: 100% Depth: Level 2</p> <p>Coverage: 100% Depth: Level 2</p>	<p>Cost of control/Commission contribution included in the Commission budget</p> <p>Costs: FTE linked to operational unit and financial unit</p> <p>Benefits (cannot be quantified): ES budget taking into account the needs of the schools, the orientations of the Commission and excluding expenses which are not compliant with the rules.</p>

Stage 2 – Financial transactions

Main control objectives: Paying the four instalments of the contribution to each school in compliance with the financial regulation of the schools

A. First three Instalments

Main risks It may happen (again) that...	Mitigating controls	How to determine coverage, frequency and depth	Cost-Effectiveness indicators (three E's)
Payments do not comply with the financial regulation of the schools	The first three payments are calculated as a share of the total amount (6/12, 4/12, 2/12)	Coverage: 100%	The first three payments are calculated as a share of the total amount (6/12, 4/12, 2/12) Payments do not comply with the financial regulation of the schools

B. Last instalment

Main risks It may happen (again) that...	Mitigating controls	How to determine coverage, frequency and depth	Cost-Effectiveness indicators (three E's)
Payments do not comply with the financial regulation of the schools	The final balancing payment is based on an updated budgetary situation provided by each school. In case of an increase of the Commission contribution requested by a school, an amended budget has to be adopted by the Board of Governors. The process described for stage 1 applies. Furthermore, the Commission, in	Coverage: 100% Depth: Level 2	Cost of control/Commission contribution included in the Commission budget Costs: FTE linked to operational unit + financial unit Benefits (qualitative): Compliance

Main risks It may happen (again) that...	Mitigating controls	How to determine coverage, frequency and depth	Cost-Effectiveness indicators (three E's)
	cooperation with the SG, ensures that budget increases in some schools are at least compensated by economies in other schools. The surplus shown in the annual accounts of the schools are carried forward to the next year budget.		

Stage 3 – Supervisory measures

Main control objectives: Ensuring compliance with the financial regulation

A. Supervisory measures by the Commission

Main risks It may happen (again) that...	Mitigating controls	How to determine coverage, frequency and depth	Cost-Effectiveness indicators (three E's)
Payments of the financial contribution of the schools do not comply with the financial regulation The budget of the schools is	Ex-post controls on a selection of payments European Schools are responsible for the execution of their budget in compliance with their own financial regulation. A financial control function exists	Coverage: Sample Depth: Level 2 The legal framework does not enable the Commission to	See above Costs: FTE linked to operational unit Benefits (qualitative): Compliance

Main risks It may happen (again) that...	Mitigating controls	How to determine coverage, frequency and depth	Cost-Effectiveness indicators (three E's)
not spent according to their financial regulation	within the SG of the schools Audits are carried out by the IAS and by the European Court of Auditors Discharge is given by the Board of Governors in which the Commission, represented by DG HR, has one vote out of 30.	perform any control on the schools' expenditure.	

ANNEX 10:SPECIFIC ANNEXES RELATED TO "FINANCIAL MANAGEMENT"

Procurement under direct management							
Ex ante controls			Ex post controls			Total	
EC total costs (in EUR)	funds managed (in EUR)	Ratio (%): Total ex ante control cost in EUR ÷ funds managed in EUR	EC total costs (in EUR)	total value verified and/or audited (in EUR)	Ratio (%): Total ex post control cost in EUR ÷ total value verified and/or audited in EUR	EC total estimated cost of controls (in EUR)	Ratio (%): <i>Total cost of controls ÷ funds managed</i>
9,593,303	334,249,754 ⁴	2.9 %	469,458	1,314,898	3.6 %	10,062,761	3 %
Contribution to the European Schools							
Ex ante controls			Ex post controls			Total	
EC total cost (in EUR)	funds managed (in EUR)	Ratio (%): Total ex ante control cost in EUR ÷ funds managed in EUR	EC total costs (in EUR)	total value verified and/or audited (in EUR)	Ratio (%): Total ex post control cost in EUR ÷ total value verified and/or audited in EUR	EC total estimated cost of controls (in EUR)	Ratio (%): <i>Total cost of controls ÷ funds managed</i>
233,499	192,446,078	0.1%	93,892	125,383,591	0.07 %	327,391	0.1 %

⁴ This includes the control over the procurement procedures carried out by DG HR, for a total of 1,090,740 EUR of a total fund managed equal to 232.894.681EUR.

OVERALL estimated cost of control at EC level							
Ex ante controls			Ex post controls			Total	
EC total cost (in EUR)	funds managed (in EUR)*	Ratio (%): Total ex ante control cost in EUR ÷ funds managed in EUR	EC total costs (in EUR)	total value verified and/or audited (in EUR)	Ratio (%): Total ex post control cost in EUR ÷ total value verified and/or audited in EUR	EC total estimated cost of controls (in EUR)	Ratio (%): <i>Total cost of controls ÷ funds managed</i>
9,826,802	526,695,832	1.9 %	563,350	126,696,996	0.4 %	10,390,152	2 %

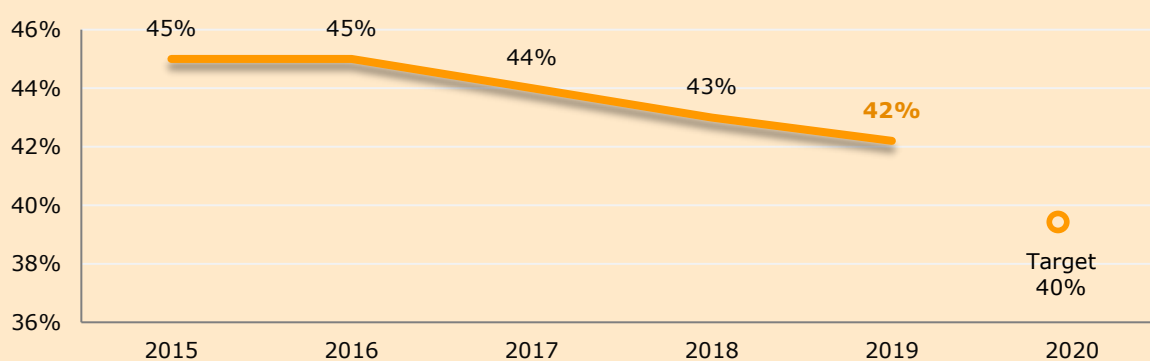
ANNEX 12: PERFORMANCE TABLES

Specific objective I.1: Human resources are allocated to Commission priorities to deliver maximum performance and added value

In 2019 DG HR has intensified its efforts to align Commission workforce and structures with political priorities and to identify ways to better exploit existing synergies. In particular, the allocation of human resources to Commission priorities has increased through a reduction of human resources allocated to support and coordination jobs. As a result, the proportion of jobs dedicated to operations continued to increase, while the proportion dedicated to coordination and support functions decreased from 45% in 2016 to 42% in 2019.

Impact indicator Allocation of human resources to Commission priorities
% of Jobs in horizontal process

Source Screening - Sysper



Consolidation of the HR Service Delivery Model within the Commission

Output indicator	Target	2019
Reduction of jobs in HR community Ratio HR Staff / Staff	1:40	1:34

A new SER Communication was adopted in March 2019 (and co-authored by SG), which has overridden the MP target of 1:40, which hence since March 2019 has become redundant. The Commission decided to set a simple numeric reduction target for DG HR and not proportional target anymore.

Output indicator	Target	2019
Client satisfaction with Staff Matters Portal services	90%	98%
Source: dedicated survey		

Domain leadership

Output indicator	Target	2019
Number of sessions organised with Domain leaders	6	9

Resource Allocation and atlas

Output indicator	Target	2019
Number of DGs adopting ATLAS	More than 20	10
Soucre: Atlas		

ATLAS full use was extended only to 10 DGs, as it became clear that the new Commission mandate lead to a completely new set-up in relation to strategic planning

and programming. In 2020, the focus will be on upgrading all DGs to full use of ATLAS with the new set of objectives.

OD Approach Implementation

Output indicator	Target	2019
Organisational Development capability building programme developed and implemented	Autumn	6 events and training sessions organised
Client satisfaction with Organisational Development interventions	90%	Not currently measured

It was decided that the Organisational Development strategy should be part of the new overall HR strategy to be developed in 2020. No separate OD strategy is now proposed.

Training and workshops were organised to help strengthen the organisational development capacity in DG HR. Close partnerships were built especially with the One-Stop-Shop for collaboration, with whom project work is coordinated on a weekly basis.

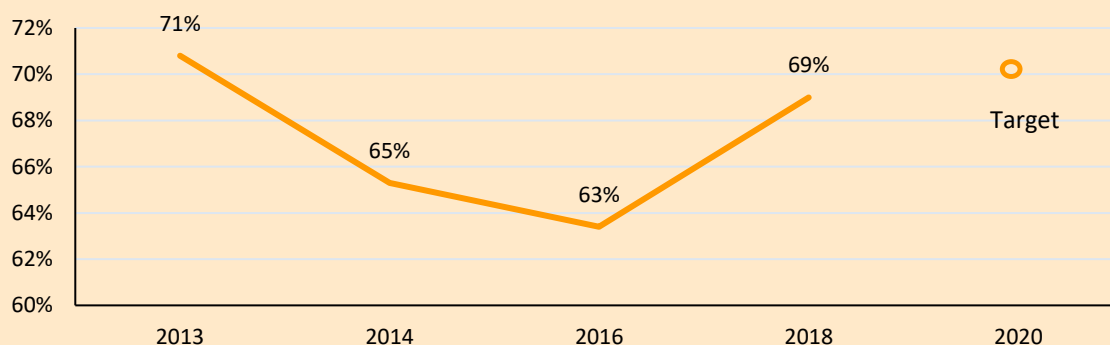
Specific objective I.2: Efficient support processes meeting staff and Commission priorities

DG HR has analysed the Staff Survey results and has ensured integrated support to DGs for the follow-up to the Survey in order to better identify the staff priorities and provide adequate and concrete services. In addition, DG HR has further developed Internal Communication governance and processes, providing staff members with modern Internal Communication tools and campaigns. All efforts in Internal Communication deployed since 2015 have had a positive impact on the staff engagement index, which increased from 64% in 2016 up to 69% in 2018.

Impact indicator Staff Engagement Index

Source

Staff Survey



Staff Survey 2018

Output indicator	Target	2019
Number of DG's having produced development plans	100%	85,3%

Source: Staff survey development plan monitoring - DG HR A4

The DGs who did not adopt development plans didn't do mainly for organisational reasons, i.e. changes in the senior management. Some of those DGs shared drafts with us, however. DG HR sent reminders to DGs who had not adopted development plans, and had bilateral discussions with all DGs end 2019 regarding staff survey follow-up; however, at the end of the day DG HR cannot enforce the adoption of a development plan by another DG.

Internal Communication

Result/Impact indicator	Target	2019
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Client satisfaction with internal communication services (annual feedback requested)	more than 75%	N/A
Source: Dedicated survey HR.A4		

No survey was carried out in 2019 because of severe resource constraints in the responsible unit and the fact that this was part of a larger survey foreseen for the S&E process which we were asked to launch only in 2020., the survey will be organised in 2020.

Efficient, Stable and Future-Proof HR IT Landscape

Output indicator	Target	2019
Availability of the study results on the future of HR IT tools and the HR Data Strategy	Autumn	Autumn
Source: HR.A3		

Specific objective II.1: Talents are recruited, assessed, developed, motivated, retained and deployed to best fit with political priorities

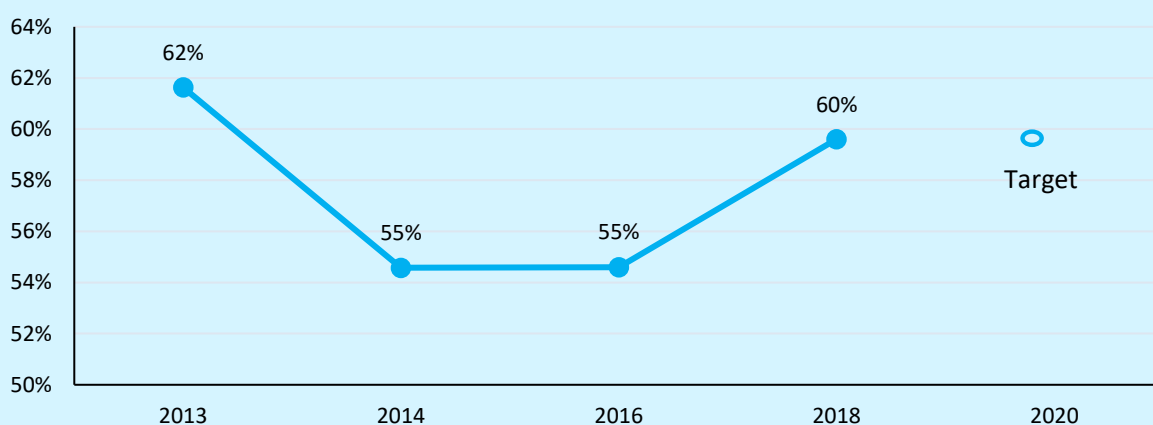
DG HR has further focused on managerial excellence by developing managers' potential to become more effective through mobility, 360° feedback, and a development programme. As a result, staff members have shown an increased satisfaction with their managers with a rise of 3 percentage points from 2015 to 2018 (64% of satisfaction with middle managers, 50% with senior managers).

DG HR provided staff members with better career management potential through internal competitions, the Junior Professionals Programme, headhunting services, and the 4-year career talk initiative. Overall, staff motivation as defined in the strategic plan 2016-2020 increased from 55% to 60%, already achieving the target of 60% set for 2020.

Impact indicator Staff Motivation Index

Source

Staff Survey



Develop and support Middle Managers

Output indicator	Target	2019
Number of newly appointed middle managers having benefited from the development programme.	120	142
Source: HR.C2		

Corporate 360° feedback for Senior Managers

Output indicator	Target	2019
------------------	--------	------

Number of senior managers having performed a 360°	30	30
Source: HR.C1		

People manager of the future

Output indicator	Target	2019
Number of managers and teams having used either internal or external coaching	100	
Source: HR.C1 – HR.B3		

Number of managers and teams having used either internal or external coaching has not been identified as far as the eLearn does not allow such identification in a cost effective manner. DG HR will look after another indicator which could be monitored in the more cost effective way.

Enhance attractiveness of the Commission as an employer

Output indicator	Target	2019
Adoption of communication on attractiveness of the Commission as an employer	Winter	Posponed 2020*
% of offers sent within 20 working days after initiation of recruitment procedure.	85	60 **
Source: HR.B		

*The initiative to launch a communication on attractiveness of the Commission was closely linked with the discussions on the MFF 2021-2027. The issue of attractiveness will be integrated within the new HR strategy, as one of the key priorities for the institution

** For technical reasons, this percentage is based on offers sent to Officials and Temporary Agents within 30 calendar days. It also includes the time taken by the medical visit and the communication of the results thereof (minimum 15 calendar days between making an appointment and receiving the results). Deducting this minimum leads to a percentage of 80

New general implementing rules for Temporary Agents

Output indicator	Target	2019
Adoption of the decision	Autumn	Postponed 2020
Source: HR.B		

A draft new Commission decision on the conditions of employment of temporary agents was prepared by DG HR and submitted to inter-service consultation (ISC) with favourable opinions from all DGs. The text was discussed with the trade unions during several concertation meetings. Two meetings between the Commissioner and the Trade Unions also took place in July and September 2019. Commissioner Oettinger decided to pass the file on to the new Commission, for the finalisation of negotiations. Currently, an in-depth analysis of the file is being carried out in DG HR for a decision to be taken at political level on the way forward.

Internal Competitions

Output indicator	Target	2019
Number of laureates	411	459
Source: HR.B1 - SYSPER		

Pilot Junior Professionals Programme

Output indicator	Target	2019
Number of Junior Professionals by end of 2019	80	76

Source: HR.B4

Skills of the Future

Output indicator	Target	2019
Policy Officer path	Autumn	Autumn
Source: HR.B3		

Partnership and mobility

Output indicator	Target	2019
Digital learning strategy for language courses	Autumn	postponed
Source: HR.B3		

Several hundred colleagues followed online language courses throughout the year; one virtual SV class was organised as a pilot project in autumn.

Strategy

Output indicator	Target	2019
Stakeholder consultation	Autumn	Autumn
Source: HR.B3		

Foster staff mobility

Output indicator	Target	2019
Evaluation of the headhunting pilot exercise	Autumn	Autumn
Number of Job shadowing cases	80	85
Source: HR.B4- SYSPER		

Reinforce career guidance

Output indicator	Target	2019
% of eligible staff who accepted the invitation to the "4-year career talk"	40%	19%
Number of DGs involved in the "4-year career talk" exercise	40	36
Number of staff received by the Career Guidance Officers	2 500	2 556
Source: HR.B4 - SYSPER		

Careers events

Output indicator	Target	2019
Number of participants to the career day	1 500	500
Source: HR.B4 - Elearn		

Due to the transition phase between the former and the new Commission, it was decided to organise a smaller career-related event called 'Boosting your career'. The number of participants has been therefore reduced. However, several hundreds staff members have participated via webstreaming/videoconference.

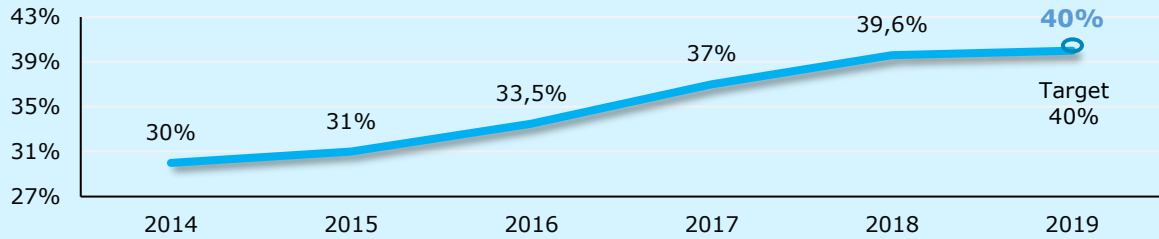
Specific objective II.2: An inclusive talent management that attracts and retains diverse talent including attaining the target of 40% of female senior and middle managers

The Commission continued its efforts to embed diversity as a key principle throughout the whole HR management cycle, in particular concerning gender and with a special emphasis on gender balance at management level. As a result, since the target of 40% of female representation in management was set in 2014, the overall share of women in

management has grown from 30% to 40%.

Impact indicator **Diversity & Inclusion - % of women in management**

Source Sysper



Diversity & Inclusion Action Plan

Result/Impact indicator	Target	2019
Percentage of announced measures achieved	90%	97.%
% of women in senior and middle management.	At least 40%	40%

Source: HR.C & HR.B ADV02 Diversity & Inclusion -

In November 2019, DG HR published its second **annual Diversity and Gender Equality Report** . This report shows that out of the 41 measures proposed in the Action Plan , 39 were in implementation or finalised.

Specific objective III.1: Staff work in a secure working environment

In 2019, DG HR has reinforced security measures to even better ensure that all its places of activity, people, assets and information are adequately protected against risks to their security. In 2019, there were no major incidents which were not detected and mitigated.



Implement a comprehensive Security awareness raising campaign by establishing a detailed action plan

The practical guide concerns the work of four HR.DS units/entities in relation to security inquiries. It needs to include issues specific to the different types of security investigations conducted by these entities, requiring thus more time for the discussions, adjustments and final drafting. Due to the importance of data protection issues in inquiries, and in the light of the entry into force of the IDPR, HR.DS had to conduct additional work in order to include these aspects in the document. In addition, HR.DS waited for the judgement in one case pending before the Court of the Justice, in order to complement the draft on aspects related to the mandate of HR.DS staff.

Remedial actions:

- The task has been identified as a priority action
- The task has been forwarded to a new colleague, who will take this task up with priority

Comprehensive strategy on security operations

- Personnel changes in the different DS1 sectors and teams in charge of the development

of the sectoral strategies.

- There was a pause in the development of the sectoral strategies (Counter-Intelligence, Counter-Terrorism, Protection and OSINT) during the first semester 2019, as the newly arrived Director of Security launched a HR.DS management discussion on the Directorate's overall strategy.

Remedial actions:

- The task has been identified as a priority action
- The content of the four sectoral strategies has already been developed, and the finalisation of the the sectoral strategy papers is ongoing.

RESTREINT UE/EU RESTRICTED information - RUE-X

The RUE-X system was foreseen to be delivered end 2019. HR.DS conducted a successful pilot test between June and December 2019 with around 60 pilot users to calibrate the final features of the system. The pilot test feedback was very positive.

However, one key team member (the system administrator for RUE and RUE-X) left the team in September. Without a full time system administrator, it was not possible to launch the system, as the back-up administrator is already overloaded with SECEM-2 and tasks related to the highly classified SUE system. SUE came up as a new high-level political priority during 2019, which was not foreseen and could not be anticipated, and which consumed substantial resources out of the existing RUE team.

Recruitment for the a new system administrator was launched even before the colleague left but due to administrative constraints the new colleague will only join in April. We will train the new system administrator and launch the RUE-X system in June (Coronavirus permitting).

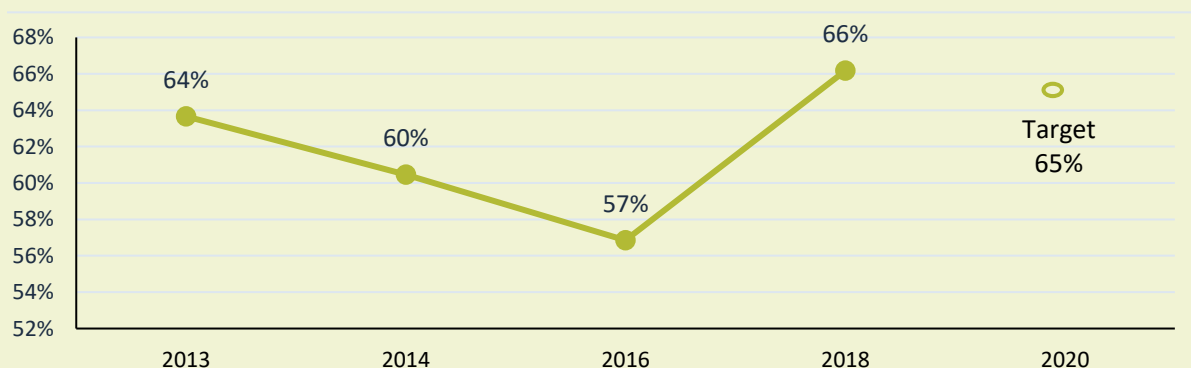
Specific objective III.2: Staff work in a safe and attractive working environment



In line with our commitment to be a responsible employer, DG HR has further implemented the fit@work programme aimed at developing awareness and resilience and improving the mental and physical health of all Commission staff. As a result, overall staff satisfaction as defined in the strategic plan 2016-2020, increased from 60% to 66% since 2015, exceeding the target of 65% set for 2020. The positive impact of the fit@work programme is particularly tangible in the level of satisfaction of staff members with how the Commission cares about their wellbeing at work, displaying an increase of 16% points (35% in 2015 versus 51% in 2018). In 2019, staff attendance rate remained stable at 95.8%.

Impact indicator Staff Satisfaction Index

Source Staff Survey



Health on-line

Output indicator	Target	2019
Launch of the health on-line	Summer	Postponed
Source: HR.D6		

Revise the implementing provisions regarding absences on grounds of health or accident

Output indicator	Target	2019
Adoption of the implementing provision	Summer	Postponed
Source: HR.D6		

Integrated approach for the promotion of mental wellbeing and the prevention of psychosocial risks at work

Output indicator	Target	2019
Staff satisfaction with the Commission caring about their health	+5%	-
Source: Staff Survey HR.D6		

The staff survey questionnaire has been revised in 2018 in order to reduce the number of question. The question about health showed a large correlation with the question about well being it has been decided to remove it from the staff survey questionnaire in 2018.

Return-to-work support strategy

Promoting physical activity

Output indicator	2019
Participation in the actions and events and usage of where2go app.	
<ul style="list-style-type: none"> #BeActive Walking Challenge 	915
<ul style="list-style-type: none"> 'Test your physical fitness 	500
<ul style="list-style-type: none"> Vélomai 	3 300
<ul style="list-style-type: none"> EKIDEN relay marathon 	532
Source: HR.D2	

Encouraging healthier commuting

Output indicator	Target	2019
Adoption of a mobility policy	Summer	Postponed 2020
Source: HR.D2		

A revised mobility plan has been prepared and needs to be discussed at political level in 2020 with the new commissioner.

Workspace arrangements

Output indicator	Target	2019
Adoption of a policy paper with options to organize our workspace	Summer	Autumn
Source: HR.D2		

Health and Safety

Output indicator	Target	2019

Adoption of the Report	Autumn	Autumn
Source: HR.D2		

Assess & revise 95% part-time formula

Output indicator	Target	2019
Satisfaction rates with regard to work-life balance in the staff survey. Increase per survey year	62% (+5%)	56% (-1%)
Adoption of the revision	Winter	Autumn
Source: HR.D		

Specific objective III.3: An organisation respectful of its environmental impact and its social responsibility

DG HR has also further implemented EMAS (the Eco-Management and Audit Scheme) to continuously improve its environmental performance. More broadly, as an employer the Commission reinforced opportunities for staff to engage in voluntary work for the benefit of local communities.

Corporate Responsibility

Output indicator	Target	2019
Declaration of Intent adopted	Summer	postponed
Source: HR.		

Before adopting a declaration of intent, it was decided to prepare discussion papers and proposals on stand-alone issues, forming the basis for discussion on the new framework to be put in place

Social Engagement through Volunteering

Output indicator	Target	2019
Policy paper	June	Postponed
Number of participants: EC Volunteering Week	800	750
Number of participants: Other corporate/DG volunteering activities	500	600
Source: HR. Elearn		

Inclusion of persons with disabilities – Reasonable accommodation

Output indicator	Target	2019
Adoption of the revision	Autumn	Postponed 2020
Source: HR.B. ADV Diversity & Inclusion		

The revised inter-institutional guidelines on financial aid for non-medical costs will be formally adopted in March 2020. In particular, school fees for children with disabilities who need to attend a special school to accommodate their needs will be fully reimbursed from the next academic year (2020-2021). In practical terms, this means parents of such children will no longer have to make a personal contribution to these costs. Similarly, no personal contribution will be required anymore in most other cases of non-medical costs related to disability.

Specific objective IV.1: Managers and staff abide by the highest professional and ethical standards at all times

In 2019, DG HR deepened its efforts to promote the respect of the organisation's core ethical values and obligations in order to ensure a correct understanding of the underlying principles and to ensure that staff conscientiously abide by the rules. To this purpose, DG HR carried out awareness raising actions on ethics and revised the practical guide to disciplinary proceedings. DG HR also reaffirmed the Commission's commitment to a zero-tolerance approach against harassment by reviewing the anti-harassment policy, which will be finalised in 2020.

New decision and Practical Guide on on the conduct of administrative inquiries and disciplinary proceedings

Output indicator	Target	2019
Practical Guide to Disciplinary Proceedings	Summer	Summer
Source: HR.IDOC		

Revision of the rules on the prevention of and fight against harassment and inappropriate conduct

Output indicator	Target	2019
Revision of the Decision and issuing of a guidance document	Summer	Postponed 2020
Source: HR.		

DG HR launched the review of the Commission Decision on anti-harassment policy, the revision process will be finalised in 2020.

Awareness raising actions on ethics

Output indicator	Target	2019
Number of DGs receiving training and presentations	10	15
Source: HR.E3 – HR IDOC		

Specific objective IV.2: Staff Regulations implementing rules are clear and effectively applied

DG HR monitored the results of the simplification exercise of the legal framework, and three Commission Decisions were adopted establishing internal rules governing the restrictions of data subjects' rights in the field of access to medical data, security and disciplinary proceedings.

Better HR Regulations

Output indicator	Target	2019
Number of legal texts reviewed and certified HR Better Regulation	18	15
Source: HR.E1		

Internal Data Protection Regulation

Output indicator	Target	2019
Number of decisions reviewed	3	3
Source: HR.E1		

Specific objective IV.3: Collaborative and effective professional relationships with stakeholders and partners relevant for HR core services

DG HR kept monitoring progress in the agreement between the Commission and the Luxembourgish authorities, to reach the target of 12.5% of the Commission's total staff working in Luxembourg by 2022. Despite all the activities and projects launched to increase the attractiveness of the Luxembourg site, the percentage of staff in this location has decreased from 11.7% to 11.4%. To tackle this several additional initiatives are currently being implemented.

As the overall population in the European Schools continues to increase, DG HR has been actively involved in the implementation of a permanent and temporary solution to address this growth.

Further information on the implementation of HR policies can be found in the HR 2019 report, the general report on the activities of the Directorate General for Human Resources and Security.

Revision of legal framework governing social dialogue

Output indicator	Target	2019
Adoption of the legal framework on social dialogue	Autumn	Postponed 2020
Source: HR.		

In 2019, the DG HR deepened discussions with Trade Unions and Staff Associations regarding the composition and functioning of the Staff Committee. The different options concerning a new architecture for the Staff Committee of EC staff was presented to the new Commissioner in charge of Budget and Administration. The the legal framework will be revised in 2020.

Raising attractiveness of the Luxembourg site

Output indicator	Target	2019
Staff present in Luxembourg reaching 12,5% of the total EC- staff by 2022	12,5% in 2022	11,4 %
Source: HR.PA Luxembourg Site Coordination		

The implementation of the DG HR strategy for the period 2016-2019 aims at improving the HR customers experience in particular as concern:		
STAFF ENGAGEMENT	STAFF MOTIVATION	STAFF SATISFACTION
What is it		
Staff put discretionary effort into their work because they believe in the mission of the organisation	Staff put discretionary effort into their work because they expect to get something in return.	Staff are resilient to cope with the increased demands in a period of change because they are satisfied with the working condition & environment.
Staff engagement is the extent to which staff feel passionate about their jobs, are committed to the organisation and its goals, and put discretionary effort into their work.	Staff motivation is the extent to which staff are motivated by the prospect of getting a job who better fit with their skill as well as getting more responsibilities, a promotion, or recognition.	Staff satisfaction is the extent to which staff are happy or content with their working conditions and working environment.
How to improve		
Organisational development	Talent Management	fit@work
<p>Through implementation of the new Internal Communication strategy aiming to create an organisation where staff are:</p> <ul style="list-style-type: none"> ☺ encouraged and helped to work to the very best of their ability ☺ encouraged to exchange ideas in an open, friendly and respectful workplace ☺ inspired to go beyond simply doing their work and to take greater responsibility for making the Commission a great place to work ☺ able to achieve the best results from their work and where belief in and commitment to the goals of the Commission comes as second nature <ul style="list-style-type: none"> ☺ Supported and encouraged in these new approaches to work, at every level. 	<p>Through implementation of the new Talent Management Strategy aiming to create a knowledgeable, skilled, flexible and networked organisation by:</p> <ul style="list-style-type: none"> • focusing on managerial excellence <ul style="list-style-type: none"> • fostering the development of staff • strengthening the performance of staff • clarifying expectations regarding careers 	<p>Through the implementation of the fit@work programme aiming to keep staff fit and healthy in a healthy work environment so that they can do their best at work over the length of their career, in ways which respect and seek to accommodate the needs of each staff member by:</p> <ul style="list-style-type: none"> ☺ Developing awareness about healthy lifestyle to improve staff resilience and mental and physical health. ☺ Providing a healthy work environment, a health-promoting managerial style, conditions which allow staff to achieve a good work-life balance. ☺ Ensuring the professional and social integration of staff including support for their families.

How to measure

The Staff Engagement Index is based on 7 factors combined in one overall figure:	The Staff Motivation Index is based on 20 factors combined in one overall figure:	The Staff Satisfaction Index is based on 35 factors combined in one overall figure:
<ul style="list-style-type: none"> ☹️ I have a clear understanding of what is expected from me at work ☹️ I have the appropriate and timely information to do my work well ☹️ My manager helps me to identify my learning and development needs ☹️ My colleagues are committed to doing quality work ☹️ I feel that my opinion is valued ☹️ I receive regular recognition or praise for good work ☹️ My manager cares about me as a person 	<ul style="list-style-type: none"> 👉 Same opportunities as anyone else of my ability and experience of the opposite gender 👉 Satisfaction with job content and tasks 👉 Satisfaction with the level of responsibilities 👉 My skills match my current job 👉 I feel sufficiently challenged by my work 👉 I am encouraged to come up with new and better ways of doing things 👉 Able to access the learning and development opportunities 👉 My learning and development activities have helped to improve my performance 👉 My line manager helps me to identify my training and development needs 👉 My line manager supports me in implementing my learning in the workplace 👉 I feel able to manage my career choices and determine my own career path 👉 General mobility is sufficiently encouraged within the Commission 👉 The relation between my performance and my career progression is satisfying 👉 My manager regularly reviews my progress and gives me feedback 👉 My manager motivates me to be more effective in my job 👉 My manager sets clear priorities and 	<ul style="list-style-type: none"> 😊 The Commission is a modern and attractive workplace 😊 In the Commission, I feel respected as an individual 😊 I am treated fairly at work 😊 I feel valued for the work I do 😊 I find the working atmosphere pleasant 😊 My colleagues are committed to doing quality work 😊 I feel that the Commission cares about my well-being 😊 Overall job satisfaction 😊 I have an acceptable workload 😊 My team has an acceptable workload (W2) 😊 I achieve a good balance between my work life and my private life 😊 I have good and supportive working relationships with my close colleagues 😊 I have a good and supportive working relationship with my immediate superior 😊 I have sufficient opportunities to take decisions and/or action 😊 I feel that my opinion is valued 😊 I feel involved in the decisions that affect my work 😊 My manager encourages me to work as part of a team 😊 My manager properly plans and shares work in the team (W2) 😊 My manager monitors my activities without intervening in my day-to-day affairs

	<p>objectives</p> <ul style="list-style-type: none"> • My manager evaluates my performance fairly • My manager provides visibility to my work • My manager deals effectively with poor performance in the team • I have recently received recognition or praise for good work 	<ul style="list-style-type: none"> @ My manager seems to care about me as a person @ My manager communicates effectively with me and keeps me informed @ My manager is open to my ideas @ My manager assists and supports me when required @ My manager deals effectively with any complaints/problems affecting my work @ My manager is considerate of my life outside work and supports the use of flexible working arrangements @ Senior Management demonstrates that listening to staff is important @ Senior Management practises "two-way" communication @ Senior Management takes a visible leadership role in communicating via different means with staff @ Senior Management encourages collaboration and involvement with staff @ Senior Management encourages innovation and challenges @ Senior Management is committed to promoting a fair, flexible and respectful workplace @ Comparison with ideal workplace @ Overall satisfaction with working for the Commission
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