

2018

Annual Activity Report

Annexes

**Directorate-General
for Mobility and
Transport**

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

For the Director in charge of risk management and internal control:

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

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

Date

Agnieszka KAZMIERCZAK

[*e-signed*]

For the Director taking responsibility for the completeness and reliability of management reporting on results and on the achievement of objectives:

"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."

Date

Per HAUGAARD

[*e-signed*]

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".

Human Resources Management

Objective: The DG deploys effectively its resources in support of the delivery of the Commission's priorities and core business, has a competent and engaged workforce, which is driven by an effective and gender-balanced management and which can deploy its full potential within supportive and healthy working conditions.

Indicator 1 (mandatory): Percentage of female representation in middle management
Source of data: HR Analytics Platform (QlikView)

Baseline	Target	Latest known results 2018
31.8% specific target (now obsolete) for female middle management on 01/01/2017	Target: 40% overall target for female senior and middle management and new quota of three 1st time female middle management appointments by 01/11/2019 Decision of July 2017 of new quantitative targets and 1st time appointments of female middle managers (previous specific target of 45% for female middle management in DG MOVE was suspended)	DG MOVE contributed in 2018 to the overall 40% Commission target with 44.4% representation of female Senior Management at the end of the year. With this, DG MOVE has already exceeded the Commission 2019 target of 40% and is also above the Commission average of 35% for senior management female representation. At the same time, out of new quota of three female middle management 1st appointments, DG MOVE has already filled one in September 2017 and another one in June 2018, while carefully assessing current and future management vacancies in the DG. DG MOVE is actively opening the career path towards middle management occupation by appointing female Deputy Heads of Unit. DG MOVE is supporting DG HR's Female Talent Development Programme. Female members will continue to be part of all recruitment panels in DG MOVE.

Main outputs in 2018:

Description	Indicator	Target	Latest known results 2018
Implementation of local and corporate talent management strategy	Gradual implementation of (staff survey) Action Plan that DG MOVE developed in 2017.	Progress measured bi-annually (January 2018 – June 2018)	In the management seminar of January 2018 DG MOVE's managers reported on the steps pursued by each Directorate and overall by DG MOVE in the implementation of the (staff survey) Action Plan and confirmed once again managers' commitment to continue doing so. Also at DG MOVE HR BC's level, a continuous contact with managers on issues related to the Action Plan (e.g. team-events) and organisation of specific actions (e.g. well-being lunchtime conferences) have contributed to the progress on the implementation of DG MOVE's strategic

			document.
Identify potential & develop professional skills	In addition to the Action Plan, developing local coaching initiative with accredited internal coach to offer targeted staff the opportunity to develop their skills and reach their professional goals.	By April 2018	A local coaching initiative was launched in DG MOVE in March 2018. Moreover, DG MOVE supported the internal coach to enhance her skills by following new trainings, which will be also used for the benefit of DG MOVE staff in 2019.
Attract specialised profiles and competences	Strengthen collaboration with AMC's career development team. Identifying possibilities and talented female ADs to increase female 1st time appointments on middle management posts. Planning joint AD competition with JRC and other DGs, to be gradually developed along 2018 and 2019 to address MOVE's need of specialised profiles.	Along 2018-2019	Frequent meetings and calls with AMC2 career development team took place in 2018, in the quest of finding the best profiles for various vacancies in DG MOVE. DG MOVE has also readily participated (in 2018 and 2019 exercises) in the FTDP ² exercises: in the framework of which 5 female ADs altogether (including one from INEA) are offered the framework to develop their managerial skills. As regards the organisation of a specialised AD competition, DG MOVE submitted to DG HR in September 2018 an overview of the job needs and remained available to collaborate with JRC and other DGs for a joint competition. Unfortunately, no concrete answers and developments on the side of DG HR and JRC have materialised so far.
Application of good practices in the recruitment process: gender-neutral vacancy notices, female members in panels; relevant statistics to senior management	Percentage of panels including female members Statistics on female representation provided to the DG; Identifying possibilities and talented female ADs to increase female 1st time appointments on middle management posts.	100% Quarterly and when HoU positions become vacant	100% Statistics on female representation were provided in the management seminar of January 2018, as well as on 1 June 2018 when a new (female) Head of Unit was appointed in DG MOVE, and in December 2018 with a view to the Head of Unit nomination of January 2019. DG MOVE ensured full support for the FTDP exercises (2018 and early 2019) and for the identification of female candidates and mentors from within DG MOVE but also from Executive Agency INEA, giving them the opportunity to hone their strengths and managerial skills.

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 2 (mandatory): Percentage of staff who feel that the Commission cares about their well-being

Source of data: Commission staff satisfaction survey

² Female Talent Development Programme.

Baseline	Target by 2020	Latest known results 2018
2016: 34%	Target by 2020: remain above Commission average (35% in 2016) and constantly progress Target agreed internally by the hierarchy on the basis of analysis of the 2016 state of play.	DG MOVE has significantly improved from 34% (in 2016) to 53% (in 2018), and ranks slightly above the Commission level of 52%, as an effect of the many actions organised in the DG. In addition to the well-being measures included in the Action Plan (following the 2016 staff survey), in December 2017 DG MOVE launched the well-being staff survey "Happier, Healthier workplace" in order to collect staff's views and expectations on a number of new well-being proposals. At the same time, existing well-being activities have continued to be organised in the DG. DG MOVE also readily volunteered in corporate well-being pilot projects and has actively got involved in civic actions, corporate sports activities and Mobility Week. DG MOVE is also promoting family friendly hours and consistent implementation of flexitime/telework schemes.

Main outputs in 2018:

Description	Indicator	Target	Latest known results 2018
Extended offer of health & well-being local actions and volunteering activities.	Launch of Staff Survey on health and well-being local actions. A set of at least 5 new well-being actions to be implemented. Intranet to be updated with more volunteering offers.	By February 2018	In December 2017 DG MOVE launched an internal staff survey in order to collect staff's views and expectations on a number of new well-being proposals to be organised locally in 2018. After the analysis of the results, several new actions have been implemented in DG MOVE (see above), while others are still being planned.
Sessions on raising awareness on well-being at work and/or on specific well-being topics.	Lunchtime conferences	At least 3 by December 2018	5 Lunchtime conferences/Internal trainings were organised.
	Organisation of trainings for managers: "HR pills" (e.g. prevention of psychosocial risks in the workplace)	1 session by December 2018	2 sessions of HR pills for all staff, including managers.

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 3 (mandatory) Staff engagement index

Source of data: Commission staff satisfaction survey

Baseline	Target by 2020	Latest known results 2018
2016: 70%	To remain above Commission average (64% in 2016) and constantly progress. Target agreed internally by the hierarchy on the basis of analysis of	DG MOVE has also been active on staff engagement under Strategic Plan Indicator 3, registering an important increase from 70% (in 2016) to 75% (in 2018). Internal

	the 2016 state of play.		mobility of staff (including middle managers and Deputies) have aimed at answering staff's career expectations. DG MOVE also volunteered in a job-shadowing pilot launched by DG HR for specific AST job profiles. The Action Plan developed in 2017 has also brought forward actions and principles aimed at strengthening staff engagement in DG MOVE (e.g. newcomers welcome sessions, team-events, trainings for development needs). DG MOVE has also introduced a coaching initiative with an in-house accredited coach to offer staff the opportunity to identify their best skills. The 2018 annual DG MOVE Away Day contributed more than ever to developing the motivation culture in the DG.
Main outputs in 2018:			
Description	Indicator	Target	Latest known results 2018
Enhance staff's efficiency in the performance of tasks and procedures through a better understanding of the tasks to be performed.	Launch of internal survey to identify main areas where staff has difficulties to efficiently perform their tasks.	By March 2018	This internal initiative has been adjusted along 2018. With the recruitment of the full team of colleagues in Unit 01 "Strategy and communication", the areas where staff find difficulties to efficiently perform their tasks are now better observed through dedicated lunchtime conferences and trainings.
Measuring progress on the implementation of engagement actions.	Following indicative guidelines provided in the Action Plan (team events, two-way communication, etc.).	Bi-annual reporting to the DG	As part of DG MOVE's (staff survey) Action Plan, actions and progress on engagement actions were presented in management seminar in January 2018. Some important events of 2018 (new MFF, Brexit and impact on transport, adoption of 4th mobility package, TEN-T days, etc.) put staff together and brought managers forward explaining the mission, objectives and successes of DG MOVE. At the same time, a good number (10) of team-buildings and seminars took place in 2018. DG MOVE continued to organise its annual Away Day (June 2018), with an impressive participation of more than 350 colleagues and symbolical awards offered to staff for their various achievements during the year. The 2018 Staff Survey occasioned also awareness raising of DG MOVE's engagement actions and planning of further measures.

New-comers	Develop package new-comers'	By April 2018	In 2018, DG MOVE developed a new concept of newcomers welcoming in the DG. To this end, DG MOVE organised two welcoming sessions (March and October 2018) where the newcomers over the previous 6 months and the new Blue Book trainees (more than 100 colleagues) were invited to get to know each other and to brainstorm on European transport achievements and challenges. The conclusions were presented to the Director-General of DG MOVE and provided the basis of an interactive discussion between the DG and the newcomers.
Lunchtime conference on Ethics	Number of events	At least 1 by December 2018	The Lunchtime conference, delivered by DG HR's Ethics and IDOC Units, took place on 6 June 2018 in DG MOVE's premises. In 2019, DG MOVE is already advancing with the organisation of a similar session (jointly with DG ENER).
Annual DG Away Day	Timely organisation of the event	Q2	The Away Day took place in June 2018, with a massive participation (more than 350 staff), highly appreciated.

Better Regulation

Note: For **Better Regulation**, the data for the indicators is collected by the DG³.

Objective (mandatory): Prepare new policy initiatives and manage the EU's acquis in line with better regulation practices to ensure that EU policy objectives are achieved effectively and efficiently.

Indicator 1 (mandatory – monitored by the DGs concerned): Percentage of Impact assessments submitted by DG MOVE to the Regulatory Scrutiny Board that received a favourable opinion on first submission.

Explanation: 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.

Source of data: MOVE.A3 monitoring

Baseline 2015	Interim Milestone 2016	Target 2020	Latest known results (2018)
50%	Positive trend compared to baseline	75%	83%

Indicator 2 (mandatory – monitored by the DGs concerned): Percentage of the DG's regulatory acquis covered by ex-post evaluations and Fitness Checks not older than five

³ More guidance available:

<https://myintracomm-collab.ec.europa.eu/networks/ECMngtPlan/ARCHIVES/Forms/AllItems.aspx?RootFolder=%2Fnetworks%2FECMngtPlan%2FARCHIVES%2FPLANNING%202016%2F2%5FFAQ&FolderCTID=0x012000DBCB312C1CA95244831D1E92291AE456&View=%7B6039DD0C%2D9E2D%2D477A%2D8815%2D60B77FCE5DF2%7D>

years.

Explanation: Better Regulation principles foresee that regulatory acquis is evaluated at regular intervals. As evaluations help to identify any burdens, implementation problems, and the extent to which objectives have been achieved, the availability of performance feedback is a prerequisite to introduce corrective measures allowing the acquis to stay fit for purpose.

Relevance of Indicator 2: The application of better regulation practices would progressively lead to the stock of legislative acquis covered by regular evaluations to increase.

Source of data: MOVE.A3 monitoring

Baseline 2015	Interim Milestone 2016	Target 2020	Latest known results (2018)
Percentage of the DG's regulatory acquis covered by ex-post evaluations and Fitness Checks not older than 5 years: 20% (In this figure all completed (Final report approved) evaluations of the secondary legislation (i.e. regulations and directives were taken into account).	Positive trend compared to baseline	Positive trend compared to interim milestone	44% ⁴

Information management aspects

Objective (mandatory): Information and knowledge in your DG is shared and reusable by other DGs. Important documents are registered, filed and retrievable

Indicator 1 (mandatory – data to be provided by DIGIT): Percentage of registered documents that are not filed⁵ (ratio)

Source of data: Hermes-Ares-Nomcom (HAN)⁶ statistics

Baseline 2015	Target	Latest known results 2018
8.32%	Target 2020 <1%	2.60%

Indicator 2 (mandatory– data to be provided by DIGIT): Percentage of HAN files readable/accessible by all units in the DG

Source of data: HAN statistics

Baseline 2015	Target	Latest known results 2018
96.74%	To be maintained above 95%	98.53%

Indicator 3 (mandatory – data to be provided by DIGIT): Percentage of HAN files shared with other DGs

Source of data: HAN statistics

Baseline 2015	Target	Latest known results 2018
0.11%	25% files registered as from 2016	0.39%

Main outputs in 2018:

Description	Indicator	Target	Latest known results 2018
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⁴ Taking into account total acquis:101 completed evaluations (period 2014-2018): 34 and ongoing evaluations (2018):10.

⁵ 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.

⁶ Suite of tools designed to implement the [e-Domec policy rules](#).

Documents are retrievable in ARES and properly filed - staff has easier access to information	Percentage of registered documents that are not filed	Below 4%	2.60%
Increase efficiency of electronic workflows, and reduce paper storage in eligible cases.	Review of paperless workflows	Generally positive assessment ⁷	Positive assessment: Increase of +3% use of e-signatory (89%) Increase of +17.2% use of SIGN&LOCK (19%) Decrease of -23.4% paper signatory in parallel (3.60%) 649 scanned incoming paper mails have been destroyed after 6 months
Set out the principles and first steps towards an Information Management strategy	Information Management Review on HAN files accessibility Implementing rules on files accessibility	Q2 2018 Q4 2018	Active files in ARES are still under assessment Presentation on the Review of files accessibility to Management on 15/11/2018
Monitoring of Information Management performance	Create a Dashboard section in the collaborative space including main Information Management indicators	Q1 2018	The Dashboard on Information Management Indicators has been created Main indicators uploaded quarterly : 03/2018, 06/2018, 9/2018, 12/2018
To ensure physical security of information and a systematic control of files content at the end of their activity	Implementation of Archives Schedule – transfer of closed files to the DG Intermediate Archives Annual exercise of closure of files, including preservation requirements and accessibility	100% by December 2018	Finalisation of the first files closure annual exercise started in 2017 477 closed files have been transferred to the DG Intermediate Archives
Consolidation of the E-Domec correspondents network – awareness and communication	Number of workshops/meetings with the correspondents network	At least two specific workshops to be carried out in 2018	15/03/2018 – E-Domec correspondents meeting + presentation of OIB – HAS 05/06/2018 – visit to HAS 19/10/2018 – E-Domec correspondents meeting

External communication activities

Note: For Communication⁸, the data for the mandatory indicator is available on the

⁷ Only minor improvements to be done.

⁸ The Communication on Synergies and Efficiencies (SEC(2016)170) of 04.04.2016 stipulates that DG COMM
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Eurobarometer website here. The data for the optional indicators is collected by each DG.

If not already explained in section 2.2, a mandatory reporting narrative on the impact⁹ of key communication actions undertaken by the DG has to be provided in this annex (in addition to the tables).

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

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

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

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

Baseline: November 2014	Target: 2020	Latest known results (2018)
Total "Positive": 39% Neutral: 37 % Total "Negative": 22%	Positive image of the EU ≥ 50%	Total "Positive": 43% Neutral: 36 % Total "Negative": 20%

Main outputs in 2017:

Description	Indicator	Target	Latest known results (2018)
Direct reach of communication actions via Twitter	Number of followers	35,000 followers on Twitter (increase of 8% compared to 2017)	37,728 followers on Twitter. (11% increase compared to 2017)
Web portal for Mobility Package	Number of unique visitors	5,000	8,606
Communication of annual road safety statistics	Number of press clippings	50 (increase of 10% compared to 2017)	Approximately 40 press clippings.
European Mobility Week public awareness campaign	Number of cities participating and number of press clippings	2,500 (maintain level of 2017) and 600 press clippings.	2,792 towns and cities participated, 8,600 news items
A "digital" passenger rights campaign	Number of downloads of passenger rights app	240,000 (increase of 5% compared to 2017)	243,341
TEN-T Days in Ljubljana	Number of participants and number of press clippings.	1,200 and 30 press clippings.	2,000 participants and 102 press clippings

Objective: Timely and efficient distribution of information (news, events linked to Commission priorities) to stakeholders, Member States and citizens while engaging in dialogue.

Indicator: Number of DG MOVE twitter account followers.

Source of data: Twitter

Baseline: November 2015	Target: December 2016	Latest known results (2018)
22 000 followers	25 000 followers	37 728 followers

together with DG HR shall carry out an inventory of existing resources (to be submitted via the CCSC to the Corporate Management Board), data collected via this Annex (Annex 2 of AAR) will be aggregated to this end.

⁹ More guidance on evaluations and setting up of KPIs in the domain of communication can be found here.

EUR 575 175 was spent from the annual communication budget and an additional sum of 1 450 000 EUR for communication related campaigns and more general communication related activities.

Annual communication spending (based on estimated commitments):			
Baseline (2017, year n-1)	Estimated commitments (2018) / Target	Total amount spent	Total of FTEs working on external communication
EUR 563 000 + an additional sum of EUR 1 500 000 for Communication campaigns and communication related activities.	EUR 515 000 + an additional sum of EUR 1 434 540 for Communication campaigns.	EUR 575 175 + an additional sum of EUR 1 450 000 for Communication campaigns.	4

ANNEX 3: Draft annual accounts and financial reports

AAR 2018 Version 1

Annex 3 Financial Reports - DG MOVE - Financial Year 2018

Table 1 : Commitments

Table 2 : Payments

Table 3 : Commitments to be settled

Table 4 : Balance Sheet

Table 5 : Statement of Financial Performance

Table 5 Bis: Off Balance Sheet

Table 6 : Average Payment Times

Table 7 : Income

Table 8 : Recovery of undue Payments

Table 9 : Ageing Balance of Recovery Orders

Table 10 : Waivers of Recovery Orders

Table 11 : Negotiated Procedures (excluding Building Contracts)

Table 12 : Summary of Procedures (excluding Building Contracts)

Table 13 : Building Contracts

Table 14 : Contracts declared Secret

Table 15 : FPA duration exceeds 4 years

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

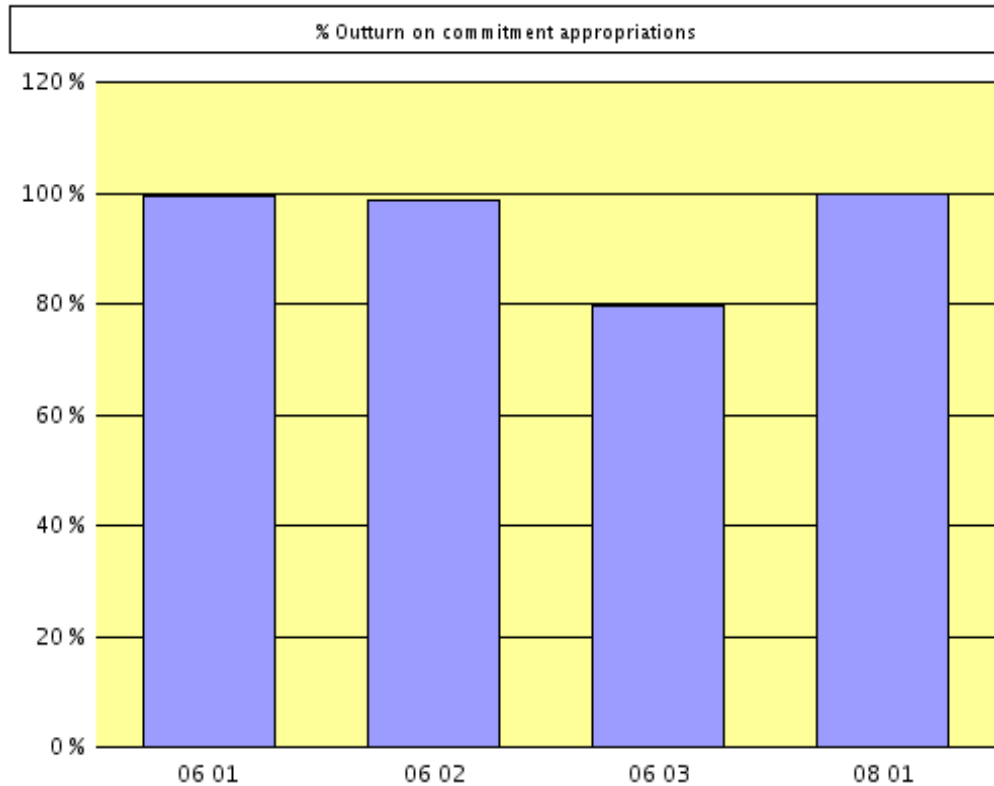
Annex 3 Financial Reports - DG MOVE
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Additional comments

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

TABLE 1: OUTTURN ON COMMITMENT APPROPRIATIONS IN 2018 (in Mio €)					
			Commitment appropriations authorised	Commitments made	%
			1	2	3=2/1
Title 06 Mobility and transport					
06	06 01	Administrative expenditure of the 'Mobility and transport' policy area	31.44	31.20	99.26 %
	06 02	European transport policy	210.73	208.03	98.72 %
	06 03	Horizon 2020 - Research and innovation related to transport	248.42	197.98	79.70 %
Total Title 06			490.59	437.21	89.12%
Title 08 Research and innovation					
08	08 01	Administrative expenditure of the 'Research and innovation' policy area	6.56	6.56	100.00 %
Total Title 08			6.56	6.56	100.00%
Total DG MOVE			497.15	443.77	89.26 %

* 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).

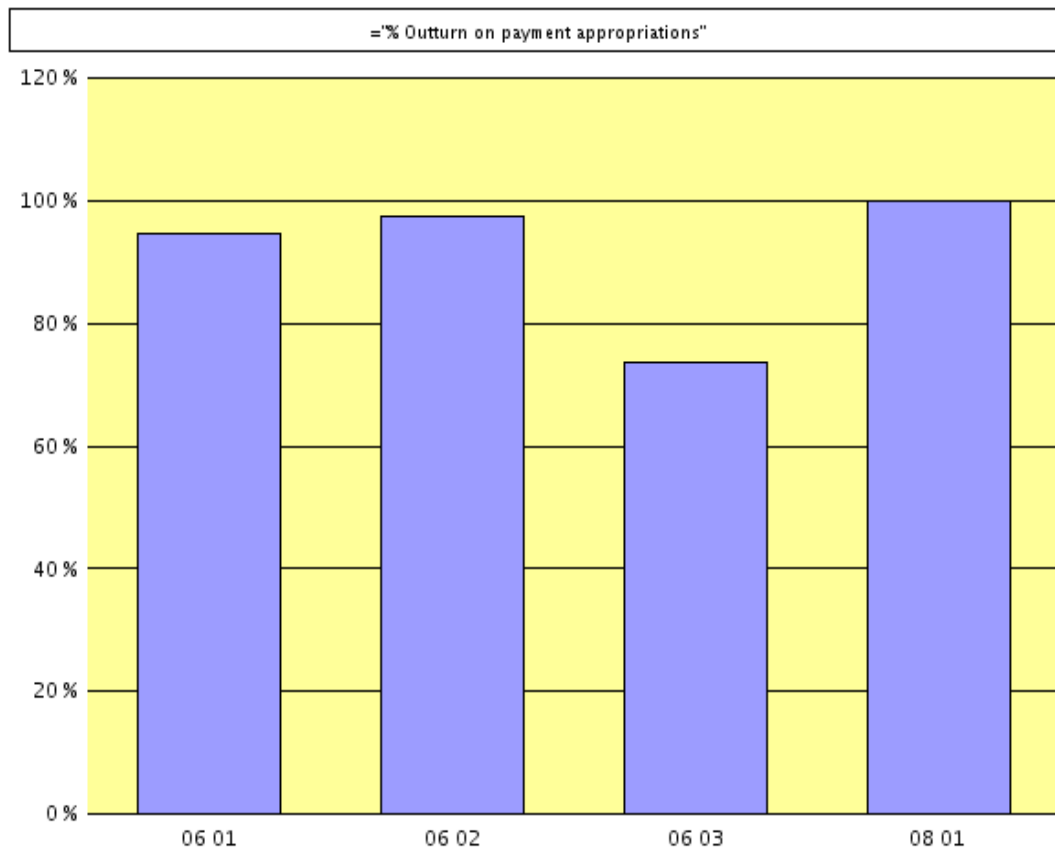


Note : The figures are those related to the provisional accounts and not yet audited by the Court of Auditors

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TABLE 2: OUTTURN ON PAYMENT APPROPRIATIONS IN 2018 (in Mio €)					
Chapter			Payment appropriations authorised *	Payments made	%
			1	2	3=2/1
Title 06 Mobility and transport					
06	06 01	Administrative expenditure of the 'Mobility and transport' policy area	23.35	22.13	94.78 %
	06 02	European transport policy	194.34	189.54	97.53 %
	06 03	Horizon 2020 - Research and innovation related to transport	225.21	166.18	73.79 %
Total Title 06			442.90	377.85	85.31%
Title 08 Research and innovation					
08	08 01	Administrative expenditure of the 'Research and innovation' policy area	6.56	6.56	100.00 %
Total Title 08			6.56	6.56	100.00%
Total DG MOVE			449.46	384.41	85.53 %

* 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).



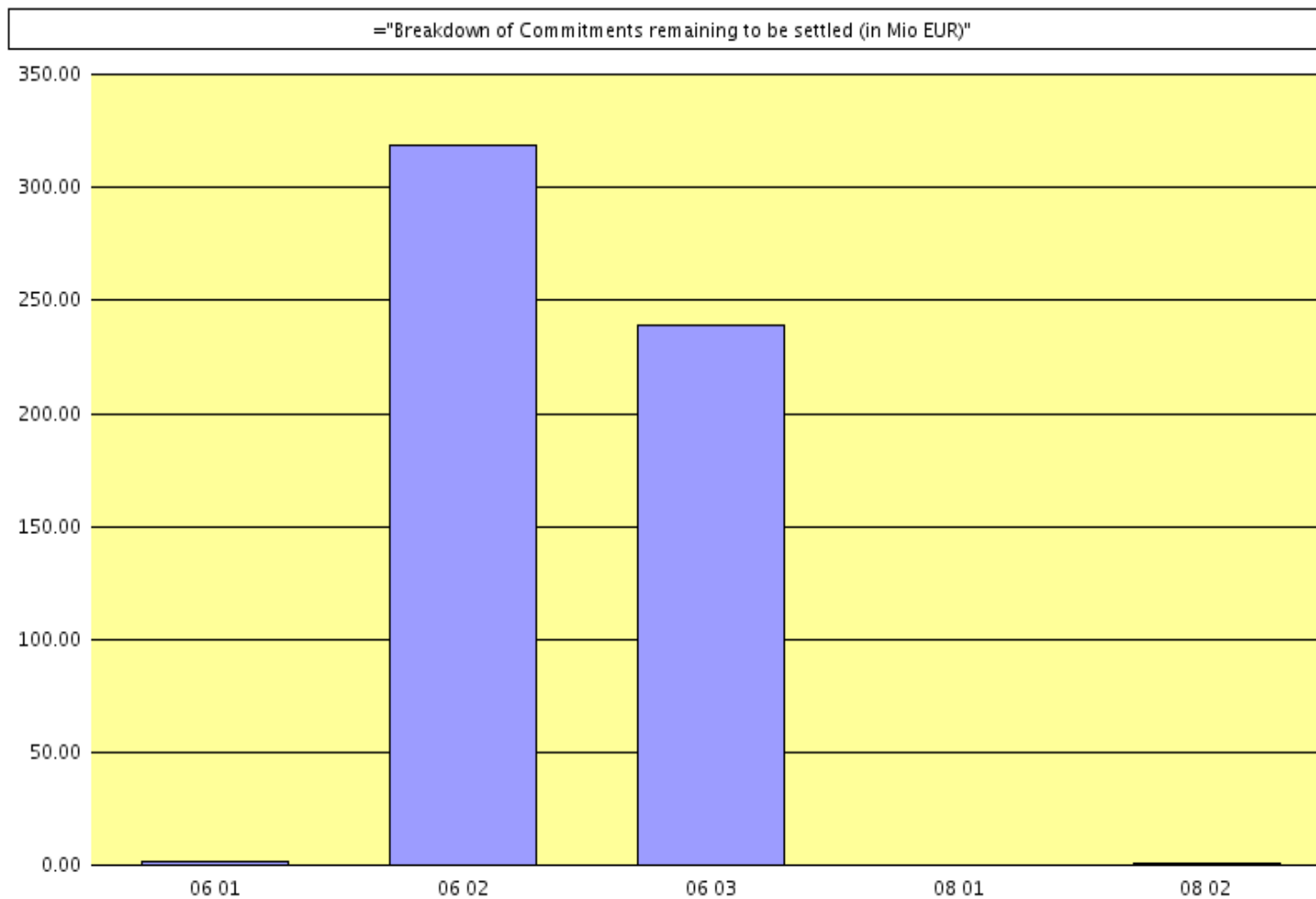
Note : The figures are those related to the provisional accounts and not yet audited by the Court of Auditors

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TABLE 3 : BREAKDOWN OF COMMITMENTS TO BE SETTLED AT 31/12/2018 (in Mio €)									
Chapter			2018 Commitments to be settled				Commitments to be settled from financial years previous to 2018	Total of commitments to be settled at end of financial year 2018	Total of commitments to be settled at end of financial year 2017
			Commitments 2018	Payments 2018	RAL 2018	% to be settled			
			1	2	3=1-2	4=1-2/1	5	6=3+5	7
Title 06 : Mobility and transport									
06	06 01	Administrative expenditure of the 'Mobility and transport' policy area	30,60	28,70	1,90	6,20%	0,00	1,90	2,55
	06 02	European transport policy	208,03	123,33	84,70	40,71%	234,30	319,00	329,05
	06 03	Horizon 2020 - Research and innovation related to transport	197,98	80,91	117,07	59,13%	122,01	239,08	250,81
Total Title 06			436,60	232,94	203,66	46,65%	356,32	559,98	582,41
Title 08 : Research and innovation									
08	08 01	Administrative expenditure of the 'Research and innovation' policy area	6,56	6,56	0,00	0,00%	0,00	0,00	0,00
	08 02	Horizon 2020 - Research	0,00	0,00	0,00	0,00%	0,93	0,93	0,93
Total Title 08			6,56	6,56	0,00	0,00%	0,93	0,93	0,93
Total DG MOVE			443,17	239,50	203,66	45,96%	357,24	560,91	583,33

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

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

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TABLE 4 : BALANCE SHEET MOVE

BALANCE SHEET	2018	2017
A.I. NON CURRENT ASSETS	401,174,705.67	419,647,795.70
A.I.1. Intangible Assets	0.00	0.00
A.I.3. Invstmnts Accntd For Using Equity Meth	0.00	0.00
A.I.4. Non-Current Financial Assets	401,174,705.67	417,371,864.67
A.I.5. Non-Current Pre-Financing	0.00	2,275,931.03
A.II. CURRENT ASSETS	144,879,189.28	88,523,762.43
A.II.1. Current Financial Assets	31,379,877.72	37,409,975.72
A.II.2. Current Pre-Financing	65,449,690.44	9,469,060.72
A.II.3. Curr Exch Receiv & Non-Ex Recoverables	7,764,178.90	18,040,168.77
A.II.6. Cash and Cash Equivalents	40,285,442.22	23,604,557.22
ASSETS	546,053,894.95	508,171,558.13
P.III. NET ASSETS/LIABILITIES	-854,383.38	-3,827,770.38
P.III.1. Reserves	-854,383.38	-3,827,770.38
P.II. CURRENT LIABILITIES	16,351,496.48	-30,537,933.45
P.II.4. Current Payables	-1,708,674.82	-5,475,647.27
P.II.5. Current Accrued Charges & Defrd Income	18,060,171.30	-25,062,286.18
LIABILITIES	15,497,113.10	-34,365,703.83
NET ASSETS (ASSETS less LIABILITIES)	561,551,008.05	473,805,854.30
P.III.2. Accumulated Surplus/Deficit	1,563,195,992.50	1,212,405,290.30
Non-allocated central (surplus)/deficit*	-2,124,747,000.55	-1,686,211,144.60
TOTAL	0.00	0.00

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

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

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

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TABLE 5 : STATEMENT OF FINANCIAL PERFORMANCE MOVE

STATEMENT OF FINANCIAL PERFORMANCE	2018	2017
II.1 REVENUES	-8,337,338.84	-8,215,807.28
II.1.1. NON-EXCHANGE REVENUES	-142,909.17	-3,957,879.63
II.1.1.4. FINES		-3,000,000.00
II.1.1.5. RECOVERY OF EXPENSES	-137,167.11	-959,591.58
II.1.1.6. OTHER NON-EXCHANGE REVENUES	-5,742.06	1,711.95
II.1.2. EXCHANGE REVENUES	-8,194,429.67	-4,257,927.65
II.1.2.1. FINANCIAL INCOME	-3,422,777.00	-2,460,115.00
II.1.2.2. OTHER EXCHANGE REVENUE	-4,771,652.67	-1,797,812.65
II.2. EXPENSES	303,032,635.57	359,006,509.48
II.2. EXPENSES	303,032,635.57	359,006,509.48
II.2.10. OTHER EXPENSES	33,738,790.59	30,251,108.61
II.2.2. EXP IMPL BY COMMISS&EX.AGENC. (DM)	-30,100,859.71	61,716,394.38
II.2.3. EXP IMPL BY OTH EU AGENC&BODIES (IM)	299,228,412.69	267,043,407.17
II.2.6. STAFF AND PENSION COSTS		-44,275.00
II.2.8. FINANCE COSTS	166,292.00	39,874.32
STATEMENT OF FINANCIAL PERFORMANCE	294,695,296.73	350,790,702.20

Explanatory Notes (facultative):

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

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

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

TABLE 5bis : OFF BALANCE SHEET MOVE

OFF BALANCE	2018	2017
OB.1. Contingent Assets	3,509,134.44	873,403.14
GR for pre-financing	3,509,134.44	873,403.14
OB.2. Contingent Liabilities	-461,600,810.74	-461,600,962.74
OB.2.1. Guarantees given for EU FI	-461,600,810.74	-461,600,962.74
OB.3. Other Significant Disclosures	0.00	-531,682,954.28
OB.3.2. Comm against app. not yet consumed	0.00	-531,682,954.28
OB.4. Balancing Accounts	458,091,676.30	992,410,513.88
OB.4. Balancing Accounts	458,091,676.30	992,410,513.88
OFF BALANCE	0.00	0.00

Explanatory Notes (facultative):

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

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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 FOR 2018 - DG MOVE

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	582	581	99.83 %	14.54	1	0.17 %	37
60	128	128	100.00 %	33.41			
75	1	1	100.00 %	58.00			
90	49	49	100.00 %	49.18			

Total Number of Payments	760	759	99.87 %		1	0.13 %	
Average Net Payment Time	20.04			20.01			37
Average Gross Payment Time	24.57			24.55			37

Suspensions							
Average Report Approval Suspension	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	28	123	16.18 %	760	19,786,242.36	5.14 %	384,661,722.91

Late Interest paid in 2018			
DG	GL Account	Description	Amount (Eur)
MOVE	65010000	Interest expense on late payment of charges	0.00
			0.00

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

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TABLE 7 : SITUATION ON REVENUE AND INCOME IN 2018

Chapter		Revenue and income recognized			Revenue and income cashed from			Outstanding balance
		Current year RO	Carried over RO	Total	Current Year RO	Carried over RO	Total	
		1	2	3=1+2	4	5	6=4+5	7=3-6
59	OTHER REVENUE ARISING FROM ADMINISTRATIVE MANAGEMENT	260,859.48	0.00	260,859.48	260,859.48	0.00	260,859.48	0.00
64	CONTRIBUTIONS FROM FINANCIAL INSTRUMENTS	18,060,171.30	0.00	18,060,171.30	0.00	0.00	0.00	18,060,171.30
66	OTHER CONTRIBUTIONS AND REFUNDS	2,662,512.82	1,940,376.69	4,602,889.51	2,453,289.71	816,065.98	3,269,355.69	1,333,533.82
90	MISCELLANEOUS REVENUE	-36,967.86	190,517.38	153,549.52	-36,967.86	80,765.63	43,797.77	109,751.75
Total DG MOVE		20,946,575.74	2,130,894.07	23,077,469.81	2,677,181.33	896,831.61	3,574,012.94	19,503,456.87

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

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

INCOME BUDGET RECOVERY ORDERS ISSUED IN 2018	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
Year of Origin (commitment)								
2008	1	57,420.64	1	57,420.64	3	84,294.30	33.33%	68.12%
2011					1	19,208.50		
2013	1	4,483.52	1	4,483.52	4	476,186.35	25.00%	0.94%
2015	7	624,139.31	7	624,139.31	9	685,752.27	77.78%	91.02%
2016					2	190,635.29		
2017					8	1,472,879.20		
Sub-Total	9	686,043.47	9	686,043.47	27	2,928,955.91	33.33%	23.42%

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			2	16,849.87			2	16,849.87	3	17,008.32	66.67%	99.07%
NON ELIGIBLE IN COST CLAIMS			15	770,072.74			15	770,072.74	21	1,044,705.12	71.43%	73.71%
CREDIT NOTES			24	564,972.46			24	564,972.46	33	1,474,128.30	72.73%	38.33%
Sub-Total			41	1,351,895.07			41	1,351,895.07	57	2,535,841.74	71.93%	53.31%

GRAND TOTAL			50	2,037,938.54			50	2,037,938.54	84	5,464,797.65	59.52%	37.29%
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Note : The figures are those related to the provisional accounts and not yet audited by the Court of Auditors

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

	Number at 01/01/2018	Number at 31/12/2018	Evolution	Open Amount (Eur) at 01/01/2018	Open Amount (Eur) at 31/12/2018	Evolution
2002	1		-100.00 %	42,709.92		-100.00 %
2011	4	4	0.00 %	81,637.58	81,637.58	0.00 %
2014	1		-100.00 %	53,589.60		-100.00 %
2016	8	4	-50.00 %	1,143,203.14	387,333.09	-66.12 %
2017	6	5	-16.67 %	809,753.83	765,091.79	-5.52 %
2018		7			18,269,394.41	
	20	20	0.00 %	2,130,894.07	19,503,456.87	815.27 %

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

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

	Waiver Central Key	Linked RO Central Key	RO Accepted Amount (Eur)	LE Account Group	Commission Decision	Comments
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Total DG MOVE	
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Number of RO waivers	
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There is one waiver below 60 000 € for an amount of -42,709.92

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

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

TABLE 11 : CENSUS OF NEGOTIATED PROCEDURES - DG MOVE - 2018

External Procedures > € 20,000

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	3,300,000.00
Total	1	3,300,000.00

Internal Procedures > € 60,000

Negotiated Procedure Legal base	Number of Procedures	Amount (€)
Art. 134.1(a) (Without prior publication) No tenders or no suitable tenders have been submitted	1	108,200.00
Total	1	108,200.00

TABLE 12 : SUMMARY OF PROCEDURES OF DG MOVE EXCLUDING BUILDING CONTRACTS**External Procedures > € 20,000**

Procedure Legal base	Number of Procedures	Amount (€)
Exceptional Negotiated Procedure without publication of a contract notice (Art. 134 RAP)	1	3,300,000.00
Total	1	3,300,000.00

Internal Procedures > € 60,000

Procedure Legal base	Number of Procedures	Amount (€)
Exceptional Negotiated Procedure without publication of a contract notice (Art. 134 RAP)	1	108,200.00
Negotiated Procedure with at least five candidates below Directive thresholds (Art. 136a RAP)	1	120,000.00
Open Procedure (Art. 104(1) (a) FR)	13	25,943,837.00
Open procedure (FR 164 (1)(a))	1	594,050.00
Total	16	26,766,087.00

Additional Comments:

TABLE 13 : BUILDING CONTRACTS

Legal base	Contract Number	Contractor Name	Description	Amount (€)

TABLE 14 : CONTRACTS DECLARED SECRET

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

TABLE 15 : FPA duration exceeds 4 years - MOVE

None of your FPA (if any) exceeds 4 years

Although no data has been extracted from the DWH report, DG MOVE is involved in one financial framework partnership agreement (FPA) exceeding the four-year duration (see point 2.1.1 of the AAR).

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ANNEX 4: Materiality criteria

Research Framework Programmes

↪ Common aspects

The assessment of the effectiveness of the different programmes' control system is based mainly, but not exclusively, on ex-post audits' results. The effectiveness is expressed in terms of detected and residual error rate, calculated on a representative sample.

- **Assessment of the effectiveness of controls**

The starting point to determine the effectiveness of the controls in place is the cumulative level of error expressed as the percentage of errors in favour of the EC, detected by ex-post audits, measured with respect to the amounts accepted after ex-ante controls.

However, to take into account the impact of the ex-post controls, this error level is to be adjusted by subtracting:

- Errors detected corrected as a result of the implementation of audit conclusions.
- Errors corrected as a result of the extrapolation of audit results to non-audited contracts with the same beneficiary.

This results in a residual error rate, calculated in accordance with the following formula:

$$ResER\% = \frac{(RepER\% * (P - A)) - (RepERsys\% * E)}{P}$$

where:

- ResER%** residual error rate, expressed as a percentage.
- RepER%** representative error rate, or error rate detected in the common representative sample, expressed as a percentage. For FP 7 this rate is the same for all Research services.
- RepERsys%** portion of the RepER% representing (negative) systematic errors, expressed as a percentage. The RepER% is composed of two complementary portions reflecting the proportion of negative systematic and non-systematic errors detected.
- P** total aggregated amount in euros of EC share of funding in the auditable population. In FP7, the population is that of all received cost statements, and the euros amounts those that reflect the EC share included in the costs claimed in each cost statement.
- A** total EC share of all audited amounts, expressed in euro. This will be collected from audit results.
- E** total non-audited amounts of all audited beneficiaries. In FP7, this consists of the total EC share, expressed in euro, excluding those beneficiaries for which an extrapolation is ongoing).

The Common Representative Audit Sample (CRAS) is the starting point for the calculation of the residual error rate. It is representative of the expenditure of each Framework Programme (FP) as a whole. Nevertheless, the Director-General (or Director for the Executive Agencies) must also take into account other information when considering if the overall residual error rate is a sufficient basis on which to draw a conclusion on assurance (or make a reservation) for specific segment(s) of FP7/Horizon 2020. This may include the results of other ex-post audits, ex-ante controls, risk assessments, audit reports from external or internal auditors, etc. All this information may be used in assessing the overall impact of a weakness and considering whether to make a reservation or not.

If the CRAS results are not used as the basis for calculating the residual error rate this must be clearly disclosed in the AAR, along with details of why and how the final judgement was made.

In case a calculation of the residual error rate based on a representative sample is not possible for a FP for reasons not involving control deficiencies¹⁰, the consequences are to be assessed quantitatively by making a best estimate of the likely exposure for the reporting year based on all available information. The relative impact on the Declaration of Assurance would be then considered by analysing the available information on qualitative grounds and considering evidence from other sources and areas. This should be clearly explained in the AAR.

As regards H2020, an entity specific residual error rate is also calculated, and used as the basis on which the amount at risk at closure is determined. The DG MOVE specific rate is used for directly managed H2020, whereas the SESAR JU specific rate is used for the indirectly managed H2020 component of the activity of the JU.

- **Multiannual approach**

The Commission's central services' guidance relating to the quantitative materiality threshold refers to a percentage of the authorised payments of the reporting year of the ABB expenditure. However, the Guidance on AARs also allows a multi-annual approach, especially for budget areas (e.g. programmes) for which a multi-annual control system is more effective. In such cases, the calculation of errors, corrections and materiality of the residual amount at risk should be done on a 'cumulative basis' on the basis of the totals over the entire programme lifecycle.

Because of its multiannual nature, the effectiveness of the Research services' control strategy can only be fully measured and assessed at the final stages in the life of the framework programme, once the ex-post audit strategy has been fully implemented and systematic errors have been detected and corrected.

In addition, basing materiality solely on ABB expenditure for one year may not provide the most appropriate basis for judgements, as ABB expenditure often includes significant levels of pre-financing expenditure (e.g. during the initial years of a new generation of programmes), as well as reimbursements (interim and final payments) based on cost claims that 'clear' those pre-financings. Pre-financing expenditure is very low risk, being paid automatically after the signing of the contract with the beneficiary.

Notwithstanding the multiannual span of their control strategy, the Director-Generals of the Research DGs (and the Directors of ERCEA, REA, and, for Horizon 2020, EASME and INEA) are required to sign a statement of assurance for each financial reporting year. In order to determine whether to qualify this statement of assurance with a reservation, the effectiveness of the control systems in place needs to be assessed not only for the year of reference but also with a multiannual perspective, to determine whether it is possible to reasonably conclude that the control objectives will be met in the future as foreseen.

¹⁰ Such as, for instance, when the number of results from a statistically-representative sample collected at a given point in time is not sufficient to calculate a reliable error rate.

In view of the crucial role of ex-post audits defined in the respective common audit strategies, this assessment needs to check in particular whether the scope and results of the ex-post audits carried out until the end of the reporting period are sufficient and adequate to meet the multiannual control strategy goals.

The criteria for making a decision on whether there is material error in the expenditure of the DG or service, and so on whether to make a reservation in the AAR, will therefore be principally, though not necessarily exclusively, based on the level of error identified in ex-post audits of cost claims on a multi-annual basis.

- **Adequacy of the audit scope**

The quantity of the (cumulative) audit effort carried out until the end of each year is to be measured by the actual volume of audits completed. The data is to be shown per year and cumulated, in line with the current AAR presentation of error rates. The multiannual planning and results should be reported in sufficient detail to allow the reader to form an opinion on whether the strategy is on course as foreseen.

The Director-General (or Director for the Executive Agencies) should form a qualitative opinion to determine whether deviations from the multiannual plan are of such significance that they seriously endanger the achievement of the internal control objective. In such case, she or he would be expected to qualify his annual statement of assurance with a reservation.

↳ **Specific aspects**

The control system of each framework programme is designed in order to achieve the operational and financial control objectives set in their respective legislative base and legal framework. If the effectiveness of those control systems does not reach the expected level, a reservation must be issued in the annual activity report and corrective measures should be taken.

Each programme having a different control system, the following section details the considerations leading to the establishment of their respective materiality threshold and the conclusions to draw with regard to the declaration of assurance.

- **Seventh Framework programme**

For the Seventh Framework programme, the general control objective, following the standard quantitative materiality threshold proposed in the Instructions for AAR, is to ensure that the residual error rate, i.e. the level of errors which remain undetected and uncorrected, does not exceed 2% by the end of the programmes' management cycle.

The question of being on track towards this objective is to be (re)assessed annually, in view of the results of the implementation of the ex-post audit strategy and taking into account both the frequency and importance of the errors found as well as a cost-benefit analysis of the effort needed to detect and correct them.

- **Horizon 2020 Framework Programme**

The Commission's proposal for the Regulation establishing H2020 framework programme¹¹ states that:

¹¹ COM(2011) 809/3 final - Proposal for a Regulation of the European Parliament and of the Council establishing Horizon 2020 – the Framework programme for Research and Innovation (2014-2020), see point move_aar_2018_annexes_final Page 34 of 84

It remains the ultimate objective of the Commission to achieve a residual error rate of less than 2% of total expenditure over the lifetime of the programme, and to that end, it has introduced a number of simplification measures. However, other objectives such as the attractiveness and the success of the EU research policy, international competitiveness, scientific excellence and in particular the costs of controls need to be considered.

Taking these elements in balance, it is proposed that the Directorates-General charged with the implementation of the research and innovation budget will establish a cost-effective internal control system that will give reasonable assurance that the risk of error over the course of the multiannual expenditure period is, on an annual basis, within a range of 2-5 %, with the ultimate aim to achieve a residual level of error as close as possible to 2 % at the closure of the multi-annual programmes, once the financial impact of all audits, correction and recovery measures have been taken into account.

Further, it explains also that:

Horizon 2020 introduces a significant number of important simplification measures that will lower the error rate in all the categories of error. However, [...] the continuation of a funding model based on the reimbursement of actual costs is the favoured option. A systematic resort to output based funding, flat rates or lump sums appears premature at this stage [...]. Retaining a system based on the reimbursement of actual costs does however mean that errors will continue to occur.

An analysis of errors identified during audits of FP7 suggests that around 25-35 % of them would be avoided by the simplification measures proposed. The error rate can then be expected to fall by 1.5 %, i.e. from close to 5 % to around 3.5 %, a figure that is referred to in the Commission Communication striking the right balance between the administrative costs of control and the risk of error.

The Commission considers therefore that, for research spending under Horizon 2020, a risk of error, on an annual basis, within a range between 2-5 % is a realistic objective taking into account the costs of controls, the simplification measures proposed to reduce the complexity of rules and the related inherent risk associated to the reimbursement of costs of the research project. The ultimate aim for the residual level of error at the closure of the programmes after the financial impact of all audits, correction and recovery measures will have been taken into account is to achieve a level as close as possible to 2 %.

In summary, the control system established for Horizon 2020 is designed to achieve a control result in a range of 2-5% detected error rate, which should be as close as possible to 2%, after corrections. Consequently, this range has been considered in the legislation as the control objective set for the framework programme.

The question of being on track towards this objective is to be (re)assessed annually, in view of the results of the implementation of the ex-post audit strategy and taking into account both the frequency and importance of the errors found as well as a cost-benefit analysis of the effort needed to detect and correct them.

Other directly managed expenditure

The assessment of the effectiveness of the different programmes' control system is based on ex-ante and, when available, on ex-post audits' results. The effectiveness is expressed in terms of detected and residual error rate, calculated from the best available estimates.

The type of controls deployed is aligned with the risk profile of the expenditure component. Service contracts, reimbursement of experts and administrative expenditure

are considered as low risk regarding legality and regularity. Moreover, the individual amounts are relatively limited. Therefore, there might be no available ex-post audit results available as the costs of such controls would exceed the potential benefits. However, this expenditure remains subject to extensive ex-ante controls.

For other operational programmes, the audit coverage is determined in function of the risk associated with the expenditure. Given the limited size of these programmes, a representative sample may not always be available. In case a calculation of the residual error rate based on a representative sample is not possible, the consequences are to be assessed quantitatively by making a best estimate of the likely exposure for the reporting year based on all available information, including the detected error rate. The relative impact on the Declaration of Assurance would be then considered by analysing the available information on qualitative grounds and considering evidence from other sources and areas.

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

RCS 1) Grants under direct management (H2020 and FP7 legacy)

Stage 1 – Ex-ante (A & B only for H2020)

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

Main control objectives: Ensuring that the most promising projects for meeting the policy objectives are among the proposals submitted; Compliance; Prevention of fraud.

Main risks	Mitigating controls	Coverage, frequency and depth	Control indicators
<p>The annual work programme and the subsequent calls for proposals do not adequately reflect the policy 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 the policy framework.</p> <p>The annual work programme for Horizon 2020 implementation is not consistent within the Research family and with the 7 years' framework.</p>	<p>1) Hierarchical validation within the authorising department 2) Inter-service consultation, including all relevant services 3) Adoption by the Commission 4) Explicit allocation of responsibility 5) Harmonised procedures, guidance and IT tools, provided by the Common Support Centre of DG RTD 6) Centralised budget planning and the monitoring of the Horizon 2020's budget implementation by DG RTD</p>	<p>Coverage / Frequency: 100% annually</p> <p>Depth: All work programmes are thoroughly reviewed at all levels, including for operational and legal aspects.</p> <p>Depth All the underlying implementation tools are defined et developed at family level.</p>	<p>Effectiveness % of budget 'over-subscription' from proposals received</p>

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

Main control objectives: Ensuring that the most promising projects for meeting the policy objectives are among the proposals selected; Compliance; Prevention of fraud

Main risks	Mitigating controls	Coverage, frequency and depth	Control indicators
<p>The evaluation, ranking and selection of proposals is not</p>	<p>1) Selection and appointment of expert evaluators 2) Assessment by independent experts</p>	<p>Coverage / Frequency: - 100% vetting (including</p>	<p>Effectiveness: - % of number of</p>

Main risks	Mitigating controls	Coverage, frequency and depth	Control indicators
carried out in accordance with the established procedures, the policy objectives, priorities and/or the essential eligibility, or with the selection and award criteria defined in the annual work programme and subsequent calls for proposals.	3) Comprehensive IT systems supporting the evaluation and monitoring of the process 4) Validation by the AOSD of ranked list of proposals and, if applicable: - Opinion of advisory bodies; - comitology; - inter-service consultation; - adoption by the Commission; - publication 5) Redress procedure	selecting) of experts for technical expertise and independence (e.g. conflicts of interests, nationality bias, ex-employer bias, collusion) - 100% of proposals evaluated - 100% of contested decisions are analysed by redress committee.	(successful) redress challenges / total number of proposals received. - number of litigation cases Efficiency: - Average time to publication of selection results - % of Time-To-Inform on time

C – Contracting (new contracts - only H2020; contract amendments – both programmes)

Main control objectives: Ensuring that the most promising projects for meeting the policy objectives are among the proposals contracted; SFM (optimal allocation of budget available); Compliance; Prevention of Fraud.

Main risks	Mitigating controls	Coverage, frequency and depth	Control indicators
<p>The description of the action in the grant agreement includes tasks which do not contribute to the achievement of the programme objectives and/or that the budget foreseen overestimates the costs necessary to carry out the action.</p> <p>The beneficiary lacks operational and/or financial capacity to carry out the actions.</p> <p>Procedures do not comply with regulatory framework.</p>	1) Project Officers implement evaluators' recommendations in discussion with selected applicants ¹² 2) Hierarchical validation of proposed adjustments 3) Validation of beneficiaries before the signature of GA, including systematic checks on operational and legal aspects 4) ad hoc anti-fraud checks for riskier beneficiaries 5) Signature of the grant agreement by the AO H2020 6) Establishment and operation of the Participant Guarantee Fund	Coverage / Frequency: - 100% of the selected proposals and beneficiaries - 100% of draft grant agreements. Depth may be differentiated; determined after considering the type or nature of the beneficiary (e.g. SMEs, joint ventures) and/or of the modalities (e.g. substantial subcontracting) and/or the total value of the grant.	Efficiency: Average time to grant (FR 128.2) % of Time-to-grant on time

¹² Given the constraints on the time to grant set out in the Horizon 2020 legislation, negotiation with applicants is kept to a minimum, as far as possible the positively evaluated projects are accepted without modification.

Main risks	Mitigating controls	Coverage, frequency and depth	Control indicators
A potentially fraudulent proposal/beneficiary was not detected in the evaluation phase.			

D – Monitoring the implementation and Financial Management

Main control objectives: ensuring that the operational and policy objectives are met; ensuring that the related financial operations comply with regulatory and contractual provisions; prevention of fraud; ensuring appropriate accounting of the operations.

Main risks	Mitigating controls	Coverage, frequency and depth	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 agreement.</p> <p>The amounts paid exceed what is due in accordance with the applicable contractual and regulatory provisions.</p> <p>The cost claims are irregular or fraudulent.</p> <p>H2020 Lack of harmonised approach within the family with the consequence of unequal treatment of the beneficiaries</p>	<p>1) Kick-off meetings and launch events involving the beneficiaries in order to avoid project management and reporting errors</p> <p>2) Effective external communication / guidance to beneficiaries</p> <p>3) Anti-fraud awareness raising & training for project officers</p> <p>4) Operational and financial checks in accordance with the financial circuits</p> <p>5) Operation authorisation by the AO</p> <p>6) For riskier operations:</p> <ul style="list-style-type: none"> - Enhanced ex-ante controls - Selection and appointment of expert for scientific reviews of intermediate and/or final reporting - On-site verification visits <p>7) If needed, application of</p> <ul style="list-style-type: none"> - Suspension/interruption of payments - Penalties or liquidated damages - Referring grant/beneficiary to OLAF <p>For H2020:</p> <p>8) Enhanced Research family approach including anti-fraud cooperation; common legal and audit service; comprehensive and common IT systems</p> <p>9) Audit certificates required for any beneficiary claiming more than EUR 375000 (FP7)/EUR 325 000 (Horizon 2020).</p>	<p>Coverage / Frequency:</p> <ul style="list-style-type: none"> - 100% of the payments (op. & fin. checks) in normal financial circuits - Riskier operations subject to more in-depth controls. <p>Depth: depending on risk criteria. However, as a deliberate policy to reduce administrative burden, and to ensure a good balance between trust and control, the level of control at this stage is reduced to a minimum</p> <ul style="list-style-type: none"> - Risk criteria: red flags, suspicions raised by POs, audit results, EDES, individual or 'population' risk assessment 	<p>Effectiveness: % and value of reductions made to EU contribution paid out through the ex-ante desk checks / total value of EU contribution claimed</p> <p>Efficiency: Average number & value of running projects managed 'per' staff FTE</p> <p>Time-to-pay: % of payments made on time</p> <p>Time-to pay: Average nb. days</p> <p>Cost of control from contracting and monitoring the execution up to payment included/ amount paid (%)</p>

Stage 2 – Ex-post

E - 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	Mitigating controls	Coverage, frequency and depth	Control indicators
<p>The ex-ante controls (as such) do not prevent, detect and correct erroneous payments or attempted fraud to an extent going beyond a tolerable rate of error.</p> <p>Lack of consistency in the ex-post audit strategy</p> <p>Lack of efficiency for absence of coordination: multiple audits on the same beneficiary/same programme that leads to high administrative burden on beneficiaries, diminish interest in later calls, reputational risk</p>	<p>FP7 & H2020</p> <p>1) As of 01/01/2014, common ex-post control strategy for the entire Research family is implemented by a central service (CSC, DG RTD), including:</p> <ul style="list-style-type: none"> - audits of a representative sample of operations - centralised measurement of the level of error in the population after ex-ante controls have been performed; - Additional audit sample to address specific risks; - When relevant, joint audits with the Court of Auditors. - In case of systemic errors detected: extrapolation of corrections to all non-audited participations of the audited beneficiary <p>CEF</p> <p>2) Multi-annual ex-post audit planning in line with programme lifecycle and based on risk analysis</p> <p>3) In case of fraud suspicion, referring the beneficiary or grant to OLAF.</p>	<p>Coverage / Frequency:</p> <ul style="list-style-type: none"> - projects selected as part of the Common Representative Sample (CRS) - Risk-based selection of projects, determined in accordance with the selected risk criteria, aimed to maximise deterrent effect and prevention of fraud or serious error. <p>Depth: common audit ex-post methodology</p>	<p>Effectiveness:</p> <p>Audit coverage: number of audits finalised & value coverage</p> <p>Representative / detected error rate.</p> <p>Residual error rate</p>

F - Implementing results from ex-post audits/controls

Main control objectives: Ensuring that the (audit) results from the ex-post controls lead to effective recoveries; Ensuring appropriate accounting of the recoveries made.

Main risks	Mitigating controls	Coverage, frequency and depth	Control indicators
<p>The errors, irregularities and cases of fraud detected are not addressed or not addressed in a timely and effective manner.</p>	<p>1) Systematic registration of audit / control results to be implemented and actual implementation.</p> <p>2) Validation of recovery in accordance with financial circuits.</p> <p>3) Authorisation of recovery by AO.</p> <p>4) Regular follow up of reported fraud cases with OLAF</p> <p>5) Monitoring of recoveries / AO approval for waiving</p>	<p>Coverage: 100% of final audit results with a financial impact</p> <p>Depth: All audit results are examined in-depth in making the final recoveries</p>	<p>Effectiveness:</p> <p>% of adjustments recovered /offset</p> <p>Number/value/% of audit results pending implementation</p> <p>Number/value/% of</p>

Main risks	Mitigating controls	Coverage, frequency and depth	Control indicators
	recoveries	For H2020 and FP7: Systemic errors are extrapolated to all the non-audited participations of audited beneficiaries	audit results implemented Funding adjustments Efficiency: - total (average) annual cost of implementing audit audits compared with benefits

RCS 2) Grants under direct management (SESAR Deployment Manager)

Stage 1 – Ex-ante controls

A - Preparation, adoption and signature of Framework Partnership agreement

Not applicable – the framework partnership agreement covers the period 2015-2020

B – Specific Grant Agreement (contracting)

Main control objectives: Ensuring that the specific grant agreement meets the policy objectives; Compliance; Prevention of fraud

Main risks	Mitigating controls	Coverage, frequency and depth	Control indicators
The description of the actions / tasks in the specific grant agreement includes tasks that do not contribute to the objectives of the SES. The planned budget overestimates the costs necessary to carry out the action(s). The beneficiary lacks operational and/or financial capacity to carry out the actions. Procedures do not comply with regulatory framework.	The tasks, actions and the responsibilities of the SDM are agreed in the framework partnership agreement, which in turn is based on the SES policy objectives defined by DG MOVE. The grant agreement is approved through a hierarchical validation process. Grant agreement is signed by AO The financial and operational viability of the beneficiary assessed before the signature of the framework partnership agreement.	Coverage: all specific grant agreement signed under the framework partnership agreement	Effectiveness: contribution to the achievement of SES policy objectives and the SESAR deployment targets Economy: costs of staff involved in the process

C – Monitoring the execution and Financial Management

Main control objectives: ensuring that the operational results (deliverables) from the project 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	Mitigating controls	Coverage, frequency and depth	Control indicators
<p>The planned actions foreseen are not, totally or partially, carried out in accordance with the technical description and requirements foreseen in the grant agreement.</p> <p>The amounts paid exceed that due in accordance with the applicable contractual and regulatory provisions.</p>	<p>Operational and financial checks in accordance with the financial circuits.</p> <p>Operation authorisation by the AO</p> <p>Reinforced monitoring through the operational Directorate in charge of SES</p> <p>If needed: suspension / interruption of payments; penalties, liquidated damages</p> <p>Referring fraud suspicions to OLAF</p>	<p>Coverage: all payments subject to standard operational and financial verification</p> <p>Depth depends on risk criteria.</p>	<p>Effectiveness:</p> <ul style="list-style-type: none"> - Nr. of control failures - Nr. of projects with cost claim errors - Budget amount of errors / cost items rejected <p>Efficiency : Time to pay</p> <p>Economy : total EC cost / funds managed</p> <p>Economy: cost of staff involved</p>

Stage 2 – Ex-post

E - Reviews, audits and monitoring

Main control objectives: Detect and correct errors after the implementation ex-ante controls; identifying possible systemic weaknesses in the ex-ante controls, or weaknesses in the rules; fraud detection.

Main risks	Mitigating controls	Coverage, frequency and depth	Control indicators
<p>The ex-ante controls (as such) do not prevent, detect and correct erroneous payments or attempted fraud to an extent going beyond a tolerable rate of error.</p> <p>Lack of consistency in the ex-post audit strategy</p>	<ol style="list-style-type: none"> 1) Ex-post audit strategy 2) Annual ex-post audit planning in line with programme lifecycle and based on risk analysis 3) In case of fraud suspicion, referring the beneficiary or grant to OLAF. 	<p>Coverage / Frequency:</p> <ul style="list-style-type: none"> - up to 90% of the budget over the lifecycle of the project - systematic coverage (100%) of all participants with eligible costs over EUR 100k <p>Depth: in line with the ex-post audit methodology of DG MOVE</p>	<p>Effectiveness:</p> <p>Audit coverage: number of audits finalised & value coverage</p> <p>Representative / detected error rate.</p> <p>Residual error rate</p>

Main risks	Mitigating controls	Coverage, frequency and depth	Control indicators
Lack of efficiency for absence of coordination: multiple audits on the same beneficiary/same programme that leads to high administrative burden on beneficiaries, diminish interest in later calls, reputational risk			Efficiency : Evolution of the adjustments made and of the corrective actions Economy : Cost of audits

F - Implementing results from ex-post audits/controls

Main control objectives: Ensuring that the (audit) results from the ex-post controls lead to effective recoveries; Ensuring appropriate accounting of the recoveries made.

Main risks	Mitigating controls	Coverage, frequency and depth	Control indicators
The errors, irregularities and cases of fraud detected are not addressed or not addressed in a timely and effective manner.	1) Systematic registration of audit / control results to be implemented and actual implementation 2) Validation of recovery in accordance with financial circuits. 3) Authorisation of recovery by AO. 4) Regular follow up of reported fraud cases with OLAF 5) Monitoring of recoveries / AO approval for waiving recoveries	Coverage: 100% of final audit results with a financial impact Depth: All audit results are examined in-depth in making the final recoveries	Effectiveness: % of adjustments recovered /offset Number/value/% of audit results pending implementation Number/value/% of audit results implemented Efficiency Funding adjustments Economy - total (average) annual cost of ex-post controls vs. total value audited or vs relevant expenditure

RCS 3) Directly managed procurement related to SES advisory bodies

This RCS covers, amongst others, the contracts with the Single European Sky advisory bodies (Eurocontrol, Network Manager and the Performance Review Body)

Stage 1 – Ex-ante controls

A - Planning

Main control objectives: Effectiveness, efficiency and economy. Compliance (legality and regularity)

Main risks	Mitigating controls	How to determine coverage frequency and depth	Control indicators
<p>The needs are not well defined (operationally and economically) and the decision to procure was inappropriate to meet the operational objectives</p> <p>Discontinuation of the services provided due to contracting issues</p> <p>The required technical financial capability is not adequately planned</p>	<p>Coordinated planning exercise (preparation of Vigie fiches), incl. economic and operational justification of new procurements</p> <p>Validation by AO(S)D of justification & planning</p> <p>Documented discussions / decisions</p>	<p>100% of the forecast procurements (open procedures with prior notification and use of framework contracts) are justified and validated through the Vigie system and the CEF Work Programme.</p> <p>All key procurement procedures formally approved by the Legal Cell and in line with the Financial Regulation.</p>	<p>Effectiveness: Number of projected tenders cancelled.</p> <p>Economy: average cost per tender.</p>

B – Needs assessment & definition of needs

Main control objectives: Effectiveness, efficiency and economy. Compliance (legality and regularity).

Main risks	Mitigating controls	How to determine coverage frequency and depth	Control indicators
<p>The Commission does</p>		<p>100% of specifications drafted by technical experts. All</p>	<p>Effectiveness - nr of open procedures</p>

Main risks	Mitigating controls	How to determine coverage frequency and depth	Control indicators
not receive good offers or cannot select good experts for the required specific expertise.	AOSD supervision & approval of tender specifications / terms of reference	specifications for open call for tenders validated by AOSD. Depth: 100% of tenders above financial threshold (>60k)	or tenders where only one or no offers were received. - nr of requests for clarification regarding the tender.

C – Selection of the offer & evaluation

Main control objectives: Effectiveness, efficiency and economy. Compliance (legality and regularity). Fraud prevention and detection

Main risks	Mitigating controls	How to determine coverage frequency and depth	Control indicators
<p>The most economically advantageous offer is not being selected, due to a biased, inaccurate or 'unfair' evaluation process.</p> <p>The offer retained does not present the required technical expertise or is financially not sustainable</p>	<p>Formal evaluation process, including Opening Committee and Evaluation Committee</p> <p>Opinion by consultative committee ('CCAM')</p> <p>Declaration of absence of conflicts of interest by members of Opening and Evaluation Committee</p> <p>Documented evaluation and exclusion criteria</p>	<p>100% of offers analysed</p> <p>Depth: all documents submitted</p> <p>100% of opening/evaluation committee members sign declaration</p> <p>100% criteria checked</p>	<p>Effectiveness</p> <ul style="list-style-type: none"> - nr of valid complaints or legal cases opened - Contract signed in time to implement the action <p>Economy</p> <ul style="list-style-type: none"> - Cost of control vs amount paid

D – Receipt of services & financial transactions

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

Main risks	Mitigating controls	How to determine coverage frequency and depth	Control indicators
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Main risks	Mitigating controls	How to determine coverage frequency and depth	Control indicators
<p>The products/services/works delivered do not meet the technical description and requirements foreseen in the contract.</p> <p>Insufficient performance or timeliness of the contractor</p> <p>Invoices received do not correspond to the services delivered or to the actual performance of the contractor</p>	<p>Monitoring and assessment of deliverables. Regular implementation report on the fulfilment of the contracted tasks. Request of supporting documentation for claimed costs / link between deliverables and payments.</p> <p>Financial checks in accordance with the financial circuits</p> <p>Operational authorisation by AO(S)D.</p>	<p>100% of the contracts are controlled. Follow-up of all actions by the technical officer in charge</p>	<p>Effectiveness:</p> <ul style="list-style-type: none"> - nr and amount of payment made - issues regarding legality and regularity <p>Efficiency:</p> <ul style="list-style-type: none"> - Time to pay <p>Economy</p> <ul style="list-style-type: none"> - Cost of control vs amount paid

Stage 2 – Ex-post controls

E – Supervisory measures

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

Main risks	Mitigating controls	Coverage, frequency and depth	Control indicators
<p>An error or non-compliance with regulatory and contractual provisions, including technical specifications, or a fraud is not prevented, detected or corrected by ex-ante control, prior to payment</p>	<p>Desk review of procurement and financial transactions & their conformity with the FR and the Vade mecum</p> <p>Review of exceptions reported and/or lessons learned</p>	<p>Risk based</p>	<p>Effectiveness:</p> <p>Amounts associated with errors detected</p>

RCS 4+5+6) Indirect entrusted management

This combined RCS covers : (1) the operating (administrative) budget of the executive agency INEA¹³, (2) the SESAR and S2R joint undertakings (3) the operating (administrative) budget of the decentralised agencies ERA, EASA and EMSA.

Stage 1: Ex-ante controls

A – Establishment (or prolongation) of the mandate to the entrusted entity ('delegation act' or 'contribution agreement')

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) and gives all the references necessary for a smooth running of the new entity.

Main risks	Mitigating controls	Coverage, frequency and depth	Control indicators
<p>The establishment (or prolongation) act 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>For PPPs: the evaluation method of the in-kind contributions provided by the industry partners is not clear.</p>	<ol style="list-style-type: none"> 1) Ex-ante evaluation of the entity 2) Widespread consultation, with internal and external stakeholders 3) Hierarchical validation within the authorising department of mandate, covering modalities of cooperation, supervision and reporting. 4) Inter-service consultation, including all relevant DGs 5) Mandate adopted by the Commission. 6) Allocation of supervision responsibility within the DG 	<p>Coverage/Frequency: 100%/once and partial for amendments or extensions.</p> <p>Depth: Checklist includes a list of the requirements of the regulatory provisions to be complied</p>	<p>Effectiveness: Timely establishment of the delegation or contribution agreements</p> <p>Nr. of IAS, ECA, OLAF or discharge criticism</p> <p>Economy: Overall supervision cost per (type of) entrusted entity / total budget entrusted (%) Ratio FTEs/funds entrusted.</p>

B – Assessment and supervision of the entrusted entity's financial and control framework

Main control objectives: Ensuring that the entrusted entity is fully prepared to start/continue implementing the delegated funds autonomously with respect of all 5 Internal Control Objectives (*legality and regularity, sound financial management, true and fair view reporting, safeguarding assets and information, anti-fraud strategy*).

¹³ In fact only the operating (administrative) budget of the executive agency is actually paid by DG MOVE. The operational budget is directly allocated to the Agency —in this case DG MOVE does not strictly have a financial responsibility, but does still have a responsibility to supervise the agency in terms of the achievement of results.

Main risks	Mitigating controls	Coverage, frequency and depth	Control indicators
The financial and control framework deployed by the entrusted entity is not fully mature to guarantee achieving all 5 ICOs	<ol style="list-style-type: none"> 1) DG internal or independent external ex-ante assessment before granting budget autonomy 2) Hierarchical validation within the authorising department; 3) Use of Model-or Framework- financial rules (MFF or FFF); 4) Requiring justification and prior consent for any deviating financial rules; 5) Standard business processes and IT tools; 6) Secondment and selection of key staff of entrusted entities 7) Review of audit reports (IAS, ECA). 	<p>Coverage/frequency: 100% of entrusted entities/once at the beginning and partial (problem focussed) for amendments or work arrangements.</p> <p>Depth: determined after considering the type / nature of the entrusted entity, its form and/or the value of the budget concerned.</p>	<p>Effectiveness: Nr. of IAS, ECA, OLAF or discharge criticism</p> <p>Number of recommendations to EE as result of ex-ante or later assessment</p> <p>Establishment of risk fiches for the EE(Decentralised Agencies and Jus)</p> <p>Economy: Included in the overall supervision costs</p>

C – Operations: monitoring, supervision, reporting

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, achievement of objectives, sound financial management, true and fair view reporting, anti-fraud strategy).

Main risks	Mitigating controls	Coverage, frequency and depth	Control indicators
<p>The Commission is not informed of relevant management issues encountered by the entrusted entity in a timely manner.</p> <p>The Commission does not react upon and mitigate notified issues in a timely manner.</p> <p>Inconsistent application of supervision/control arrangements within different</p>	<p>INEA</p> <p>1) DG MOVE's Monitoring Strategy is integrated into the Memorandum of Understanding The MoA specifies the modalities and procedures of governance and control by Parent DGs, covering the implementation of both operational and operating budget, including:</p> <ul style="list-style-type: none"> • DG MOVE representation in Steering Committee; • Liaison meetings at hierarchical level; • Ad hoc meetings and regular contacts at working level; • Quarterly operational reports from the agency; 	<p>Coverage: as determined by the MoA</p> <p>Frequency: as determined in the MoA</p>	<p>Effectiveness: Nr. of critical / very important IAS and ECA recommendations issued to INEA / DG MOVE</p> <p>Regularity of meetings and reporting flows between INEA and the parent Dgs (INEA only)</p>

Main risks	Mitigating controls	Coverage, frequency and depth	Control indicators
EEs	<ul style="list-style-type: none"> • Regular updates on the achievements of the delegated programmes' objectives; • Budgetary control via commitment and payment appropriations process; • Formal opinion and consultation on key documents (annual work programme and the annual activity report) <p>2) Review of</p> <ul style="list-style-type: none"> • Annual Activity Report of INEA • Audit reports of the IAS and ECA 		<p>Economy</p> <p>Overall supervision cost per (type of) entrusted entity (%)</p>
As above	<p>SESAR JU</p> <p>1) DG MOVE is a member of and chairs the SESAR JU Administrative Board; participates directly (in many cases with an effective veto right, particularly when acting in concert with Eurocontrol) in all the decisions affecting the budget, accounts, staff and progress of the JU</p> <p>2) All documents related to above issues are evaluated by DG MOVE in cooperation with several other services to establish Commission's position in the Board (line-to-take)</p> <p>3) Audit issues are coordinated through the Permanent Audit Panel assembling all the auditing bodies of the SESAR JU</p> <p>4) Regular financial and technical reporting and operational meetings to discuss the progress of the technical programme</p> <p>5) DG MOVE participates in the Programme Committee chaired by the JU's Executive Director</p> <p>6) DG MOVE officials regularly participate in working groups and evaluations (calls for tender, calls for proposals and staff selection) organised by the SESAR JU</p> <p>S2R JU</p> <p>1) Monitoring through participation in the Governing Board (in which the Commission holds 50% of voting rights)</p> <p>2) Regular evaluations by external experts (every 3 years and at the end of the programme, under the supervision of the Commission)</p>	<p>Coverage:</p> <p>As determined by the Statutes of the JU</p> <p>Frequency:</p> <p>As determined by the Statutes of the JU</p>	<p>Effectiveness:</p> <p>Nr. of critical / very important IAS and ECA recommendations issued to INEA / DG MOVE</p> <p>Nr. of discharge criticism issued to the JU</p> <p>Regularity of the Governing Boards meetings and of the reporting flows between the Agencies and Jus and the Commission</p> <p>Economy:</p> <p>Overall supervision cost per (type of) entrusted entity (%)</p>

Main risks	Mitigating controls	Coverage, frequency and depth	Control indicators
	3) Operational and financial reporting provisions set out in the Statutes of the S2R JU		
As above	<p>Decentralised Agencies</p> <p>1) The governance and supervision approach determined by the 'Common approach to the decentralised agencies'. Measures in place include:</p> <ul style="list-style-type: none"> - DG MOVE membership in the Management/Administrative Board; - Budgetary control via the commitment and payment appropriations; - Quarterly indicators on budgetary and administrative performance of the Agency; - Regular contacts at all levels (Director-General, Director, Head of Unit, staff); - Formal opinion and formal consultation on key documents of the Agencies (annual work programme, multi-annual staff policy plan); - External and internal audits as well as procedures against fraud; - DG MOVE involvement in audit and discharge procedures. 	<p>Coverage: all agencies / as determined by founding act</p> <p>Frequency:</p> <ul style="list-style-type: none"> - Annual Work Programme and Annual Activity Report - Quarterly operational reports - Regular contacts - at least biannual Board meetings 	<p>Effectiveness:</p> <p>Nr. of critical / very important IAS and ECA recommendations issued to INEA / DG MOVE</p> <p>Nr. of discharge criticism issued to the JU</p> <p>Economy:</p> <p>Overall supervision cost per (type of) entrusted entity (%)</p>

D – Commission contribution: payment or suspension/interruption

Main control objectives: Ensuring that the Commission adequately 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. **This is very closely linked to stage 3 above.**

Main risks	Mitigating controls	Coverage, frequency and depth	Effectiveness, efficiency, economy indicators
Bad cash forecast leading to the Commission paying too much compared to the EE's needs	<p>1) Delegation Act/Administrative Agreement specifying the control, accounting, audit, publication etc. related requirements – including reporting</p> <p>2) Management review of the supervision results.</p> <p>3) Standard procedures for the validation of all</p>	<p>Coverage: 100% of the contribution payments</p> <p>Frequency: following the rhythm of the payments</p>	<p>Effectiveness : existence or not of legality and regularity issues , effective payment of the Commission contribution</p>

Main risks	Mitigating controls	Coverage, frequency and depth	Effectiveness, efficiency, economy indicators
	payments and recovery of non-used operating budget subsidy 4) Good internal communication to ensure that issues are known and dealt with (see stage 3)		Economy : cost of control vs budgetary support

Stage 2 – Ex-post

E – Audit and evaluation, Discharge for Joint Undertakings and 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	Mitigating controls	Coverage, frequency and depth	Control indicators
The Commission has not received sufficient information from independent sources on the entrusted entity’s management achievements, which prevents drawing conclusions 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>INEA</p> <p>1) Delegation Act specifying audit rights by the Internal Audit Service of the Commission and by the European Court of Auditors</p> <p>2) DG MOVE analysis of audit reports as an element of the supervision of these bodies</p> <p>3) Interim evaluations by independent experts of achievement of policy objectives</p> <p>Joint Undertakings</p> <p>4) Statutes specifying audit rights by the IAS / ECA</p> <p>5) DG MOVE analysis of audit reports as an element of the supervision of these bodies</p> <p>6) Every three years Commission evaluation of the functioning and the results of the JU</p> <p>Decentralised Agencies</p> <p>7) Subject to audit by IAS and ECA</p> <p>8) DG MOVE analysis of audit reports as an element of the supervision of these bodies</p>	<p>Coverage:</p> <ul style="list-style-type: none"> - Audits performed on sample as needed (e.g. random/representative, value targeted, risk based) - evaluation covers all programmes entrusted <p>Frequency:</p> <ul style="list-style-type: none"> - audits – determined by audit bodies - evaluations – determined in legal base - annual ECA report on JUs <p>Depth depends on the type of entity and the level of risks assessed</p>	<p>Effectiveness:</p> <p>Assurance being provided (via management /audit reporting)</p> <ul style="list-style-type: none"> - residual error rate reported for programmes managed by entrusted entity - number of serious IAS and ECA findings of control failures.

RCS 7) CEF Debt Instruments

This ICT covers: Financial Instruments (FIs) entrusted to International Financial Institutions (IFIs) under indirect management (2014-2020), i.e. the Delegation Agreement (DA) signed by DG MOVE with the **European Investment Bank (EIB)** for the implementation of the Connecting Europe Facility Debt Instruments (CEF DI), including PBI and LGTT as from 2016. Stage 1 was completed as of end December 2015 and is no longer applicable – it is listed here for completeness.

Stage 1 – Ex-ante controls

A - Set-up/design of the Financial Instrument and designation of International Financial Institution

Main control objectives:

- Ensuring that the FI is adequate for meeting the policy or programme objectives (effectiveness); Compliance (legality & regularity); Prevention of fraud (anti-fraud strategy).
- Ensuring that the most promising IFI is pre-determined or selected to ensure that the FI is implemented effectively and efficiently; Sound financial management; Legality and regularity; Fraud prevention and detection.

Main risks	Mitigating controls	Coverage, frequency and depth	Effectiveness, efficiency, economy indicators
<p>The IFI does not have the experience and financial capacities as well as the administrative & control capacities to ensure effective and sound implementation of the FI.</p> <p>The selection of the IFI is not in line with FR and its RAP criteria, especially 'alignment of interests' (FR art 140.2e).</p>	<p>1) The selection of the EIB as entrusted entity was:</p> <ul style="list-style-type: none"> • In line with Art. 58.1(c)(iii) FR. • Explicitly indicated in the CEF Regulation as a potential entrusted entity. (recitals 41 and 50 and annex I, part III only) <p>2) Ex-ante assessment of the EIB in accordance with articles 61(1) and 60(2) FR ('six pillar assessment') successfully carried out prior to the signature of the FAFA by DG ECFIN.</p> <p>3) Formal signature of Financial and Administrative Framework Agreement (responsibility of DG ECFIN)</p> <p>4) Periodic evaluations (see also Stage 3) of EIB operations Mid-term evaluation of CEF.</p>	<p>Coverage/Frequency for DA: once</p> <p>Depth: In-depth control, full engagement of operational and financial unit resources.</p>	<p>Effectiveness: Where applicable, opinions by advisory or audit bodies (recommendations, actions taken).</p> <p>Economy : costs vs. net assets managed</p>
<p>The DA with the IFI is inadequate to cover operational and management risks</p>	<p>1) The main principles of the DA are based on the FAFA.</p> <p>2) Draft DA was reviewed in inter-service consultation (including all relevant DGs, horizontal and operational).</p> <p>3) Hierarchical validation (incl. at DG level) of the delegation agreement (DA), formal adoption by</p>	<p>Coverage/Frequency: 100% / once</p>	<p>Effectiveness: - Findings in audit reports - Observations in the audit certificate supporting the financial statements and management representations</p>

Main risks	Mitigating controls	Coverage, frequency and depth	Effectiveness, efficiency, economy indicators
	Commission decision 4) Detailed provisions in DA with regards to: <ul style="list-style-type: none"> Operational and policy objectives; Obligations and tasks of the Bank Governance provisions Operational and financial reporting obligations Control, monitoring and audit provisions		
The Commission's interests are not protected by the DA, including <ul style="list-style-type: none"> - the RSM (Risk-Sharing Mechanism) is too generous to the IFI (risk of unbalanced risks) - the fees paid to the IFI are not in line with the implementation of the FI 	1) Alignment of interest is provided through: <ul style="list-style-type: none"> Standardized risk-sharing model between EIB and Commission agreed in DA, in line with horizontal guidance from DG BUDG and ECFIN. A fee structure designed to compensate the EIB for the implementation of the financial instruments linked to the achievement of the policy objectives. 2) Each agreement between EIB and beneficiaries covers control (e.g. audit rights of the EC) and reporting obligations	Coverage/Frequency: 100 % / once Depth: In-depth control, full engagement of operational and financial unit resources.	Effectiveness: Findings in audit reports Observations in the audit certificate supporting the financial statements and management representations

B – Implementation of the FI, incl. commitments and payments

Main control objectives:

- Ensuring that the funds allocation is optimal (best value for public money; effectiveness, economy, efficiency) to meet the policy objectives (effectiveness).
- Ensuring that the remuneration paid to the IFI is adequate (cost-effectiveness).
- Compliance (legality & regularity); Prevention of fraud (anti-fraud strategy); Safeguarding of assets and information; Reliable reporting (true and fair view).

Main risks	Mitigating controls	Coverage frequency and depth	Effectiveness, efficiency, economy indicators
Final Recipients / Projects selected may not be eligible	1) Annual approval of CEF FI work programme by the CEF Coordination Committee. 2) Policy guidance, review of proposed pipeline of projects by CEF Steering Committee (chair ECFIN, with MOVE, ENER and CNECT) 3) EIB applies evaluation and selection criteria and	Coverage/Frequency: 100% - all agreements signed by EIB	Effectiveness: - number of monitoring reports

	process set out in Annex 1 of DA		
Undue or erroneous payments Undue or erroneous recoveries/re-payments	<p>1.a) Ex-ante by Commission: all payments made to EIB are subject to the normal financial circuit of DG ENER, including independent ex-ante verification.</p> <p>1.b) Ex-ante controls by EIB at 'contracting' stage – checks on eligibility, viability and relevance.</p> <p>2) Due diligence: The EIB has to</p> <ul style="list-style-type: none"> - set up and operate an internal control system - apply effective and proportionate anti-fraud measures - carry out ex ante and ex post controls, including on-the-spot checks on representative and/or risk-based samples of transactions, in accordance with Annex 8 of DA - require the Final Recipients to repay any amount unduly paid 	<p>Coverage/Frequency:</p> <p>Ex-ante verification of commitments: 100%</p> <p>Ex-ante verification of payments: 100%</p> <p>Verification of EIB transactions on sample checks</p>	<p>Effectiveness:</p> <ul style="list-style-type: none"> - number of erroneous operations - number of findings from external auditor <p>Efficiency :</p> <p>Rate of recovery / % of corrections of errors</p>
The remuneration or the reimbursement of any exceptional costs or additional tasks are unjustifiably high	<p>1) Fees, any incentives and any exceptional costs are defined in the FAFA and the Delegation Agreements, including an overall cap.</p> <p>2) Reimbursement of cost for technical assistance and additional tasks defined in the FAFA and the delegation agreement.</p> <p>3) Review of the statement of expenses together with evidence provided by the EIB.</p>	<p>Coverage: 100% of fees and eligible expenses are verified before payment against contractual conditions and supporting documentation required under the DA</p>	<p>Effectiveness:</p> <ul style="list-style-type: none"> - existence of documented checks - number of findings from external auditor

Stage 2: Ex-post controls

C – Monitoring and assurance building

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 (Fraud prevention and detection).
- Ensuring that the (audit) results from the ex-post controls lead to assurance for the accountable AOD (5 ICOs).

Main risks	Mitigating controls	Coverage, frequency and depth	Effectiveness, efficiency, economy indicators
<p>The actions supported do not reflect the policy objectives for the CEF DI</p>	<p>1) Commission Services monitor the implementation of the FI on the basis of a documented approach. 2) The Commission has several monitoring instruments that include:</p> <ul style="list-style-type: none"> • the CEF FI Steering Committee • review of the pipeline of projects • operational reports • financial statements • risk and performance reports • pipeline reports • summary of audits and controls carried out during the reporting year <p>3) Interim and ex-post evaluations are carried by EIB and Commission services.</p>	<p>Coverage/Frequency: as per documented control approach.</p> <p>Steering Committee: at least 2x/year. Operational reports 2x/year Financial statements: monthly. Risk and performance reports: quarterly.</p>	<p>Effectiveness: on the basis of success ratios and KPIs defined for CEF policy objectives:</p> <ul style="list-style-type: none"> - leverage - co-risk taking - number of FRs supported by the Financial Instrument - disbursement rate <p>Economy</p> <ul style="list-style-type: none"> - Total cost of monitoring and supervision by DG staff over value delegated - Management fees over value of budget delegated to EIB
<p>Internal control weaknesses, irregularities, errors and fraud are not detected and corrected by the entrusted entities, resulting in that the EU funds are not achieving the policy objectives and are in non-compliance with applicable regulations.</p>	<p>1) EIB maintains internal control system and applies anti-fraud measures. 2) EIB annual report is audited by independent auditor, which covers the internal control system. 3) The Commission carries out controls and monitoring by means of:</p> <ul style="list-style-type: none"> - participation in the Steering Committee; - the financial statements provided by the Bank; - representative and/or risk-based on-the-spot checks on the final recipients. 	<p>Coverage: 100% of the portfolio.</p> <p>Depth: depends on risk criteria such as past experience with the IFI, complexity or lack of experience on the area of financed actions or the management modalities.</p>	<p>Effectiveness:</p> <ol style="list-style-type: none"> 1) - Existence of EIB policies to prevent and deter fraud 2) - absence of qualification on the grounds in the auditor's opinion 3) Assurance being provided If any, analysis of 'issues' reported in management declarations: Internal control, auditing and monitoring 'issues'; interventions; issues under reinforced internal control, auditing and monitoring; critical audit findings 4) Number of cases submitted to OLAF.

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

Single European Sky air traffic management Research Joint Undertaking (SESAR JU)

	Requirement	Information
1	Programme concerned	FP7 and TEN-T multiannual Programme H2020 Programme, CEF
2	Annual budgetary amount entrusted	In 2018, DG MOVE committed EUR 112 563 000 from the H2020 budget in favour of the SESAR JU. The payments to the SJU were EUR 84 184 652.
3.	Duration of the delegation	Following Council regulation 721/2014 of 16 June 2014, extending SESAR JU until 2024, the Commission signed a new General Agreement (C(2014)9835 of 17/12/2014) with SESAR JU on 19 December 2014, prolonging the activities until 31 December 2024. The other 3 delegations have shorter durations (maximum 36 months from signature, thus closing before the end of 2020).
4	Justification of recourse to indirect centralised management	The aim of the SJU is to rationalise, centralise and coordinate all air traffic management related R&D in the Union, with the full involvement of the relevant stakeholders. The SJU is an EU body in the form of a PPP. The tasks entrusted to the JU could not have been carried out by the Commission because of the technical complexity of the programme and the number of projects.
5	Justification of the selection of the bodies (identity, selection criteria, possible indication in the legal basis etc.)	The SJU was not selected but established by the Council on the basis of Article 187 of the Treaty (Reg. (EC) 219/2007). There are two founding members: the Union, represented by the Commission, and the Eurocontrol Organisation, represented by its Agency. All other members of the SJU are selected through open competitive calls based on the criteria established in the SJU Statutes.
6.	Synthetic description of the implementing tasks entrusted	The SJU is entrusted with the task to carry out and monitor all the relevant air traffic management research, development and validation activities in accordance with the European ATM Master Plan. The SJU is also in charge of the maintenance of the Master Plan. For this purpose, the SJU manages the FP7, TEN-T (2007-2016), H2020 (2014-2024), CEF (2014-2020) and funds allocated from the European Parliament through two Pilot Projects (2016-2019), in accordance with specific delegation agreements, its financial rules and under the supervision of its Administrative Board.

Shift2Rail Joint Undertaking (S2R JU)

	Requirement	Information
1	Programme concerned	H2020 Framework programme
2	Annual budgetary amount entrusted	In 2018, the Commission committed EUR 75 million (incl. EFTA contributions) to cover both the administrative and operational budget of the Joint Undertaking. EUR 1.62 million were paid in 2018 to cover the administrative expenditures.
3.	Duration of the delegation	31.12.2024
4	Justification of recourse to indirect centralised management	<p>The S2R JU was established as a public-private partnership, in accordance with Article 187 of the Treaty on the Functioning of the European Union (TFEU), and with the Horizon 2020 Regulation, to provide a platform for coordination of research activities with a view to driving innovation in the rail sector in the years to come.</p> <p>The Horizon 2020 Regulation emphasises the achievement of a greater impact on research and innovation by combining H2020 and private-sector funds in public-private partnerships in key areas where research and innovation can contribute to the Union's wider competitiveness goals, leverage private investment, and help tackle societal challenges.</p>
5	Justification of the selection of the bodies (identity, selection criteria, possible indication in the legal basis etc.)	<p>The S2R JU was set up by Council Regulation (EU) No 642/2014 of 16 June 2014 (S2R Regulation). The founding members of the S2R JU were listed in the S2R Regulation. They are the European Union plus eight major players from the rail industry having made a commitment of at least EUR 30 million to the S2R JU. Additional associated members are to be selected following an open call that was launched on 6 October 2014. The minimum conditions and key selection criteria for associated membership are laid down in the S2R Regulation. The results of the selection procedures have been confirmed by Commission Decision C(2015) 8674 final. In addition, the participation of the wider research community will be ensured by the JU via open calls reserved for non-members for a value of at least 30% of the EU contribution in the programme.</p>
6.	Synthetic description of the implementing tasks entrusted	<p>The S2R JU will manage the entire budget for rail research under Horizon 2020. The S2R JU is entrusted with the task of developing and ensuring the effective and efficient implementation of a strategic Master Plan, identifying the key R&I priorities to contribute to the achievement of the Single European Railway Area, to a faster and less costly transition to a more attractive, user-friendly, competitive, efficient and sustainable European rail system, and to the development of a strong and globally competitive European rail industry.</p> <p>The main bodies of the S2R JU are the Governing Board, in charge of strategic decision-making, and the Executive Director, responsible for day-to-day management. The European Commission and the industrial JU members have equal voting rights in the Governing Board.</p>

ANNEX 7: EAMR of the Union Delegations

Not applicable

ANNEX 8: Decentralised agencies

Name	Acronym	Policy concerned	Subsidy paid in 2018 by DG MOVE
European Aviation Safety Agency	EASA	Mobility and Transport - Aviation	EUR 37.789.886
European Maritime Safety Agency	EMSA	Mobility and Transport - Maritime	EUR 77.714.492,12
European Railway Agency	ERA	Mobility and Transport - Rail	EUR 28.793.243

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

	ID	Title	Reason (1)	Scope (2)	Type	Associated DGs	Costs (EUR) (3)	Comments (4)	Reference (5)
	[1. Study project id]*	[2. Title of the study]	[3. Study Internal ID]	[4. Study Overview]	[5. Study Reason]	[6. Associated Services]	[7. Study Cost]	[8. Note]	[9. Title of the Deliverable]
I. Evaluations									
a. Completed in 2018									
	7134	Mid-term review of the Connecting Europe Facility - evaluation of the implementation of the CEF horizontal and transport sectorial objectives	L	Article 27(1) Evaluation of the CEF Regulation	Evaluation	Directorate-General for the Budget, Directorate-General for Communications Networks, Content and Technology, Directorate-General for Economic and Financial Affairs, European Investment Bank, Directorate-General for Energy, Directorate-General for Regional and Urban Policy, Secretariat-General	257905.0	DG ENER is the lead DG and will publish the supportive study in due time	SWD(2018) 44 , [DG ENER as leading DG will publish the supportive study in due time]
	7152	Directive 2008/106/EC on minimum level of training of seafarers & Directive 2005/45/EC on mutual recognition of seafarers' certificates	CWP	Directive 2008/106/EC & Directive 2005/45/EC.	Evaluation	Directorate-General for Employment, Social Affairs and Inclusion, Directorate-General for Internal Market, Industry, Entrepreneurship and SMEs, Directorate-General for Maritime Affairs and Fisheries, Directorate-General for Mobility and Transport	0.0	REFIT evaluation included in CWP 2016 Annex 2 REFIT (item No 22). It is conducted internally with the assistance of EMSA.	SWD(2017)19 , SWD(2017)18 , https://publications.europa.eu/en/publication-detail/-/publication/d4f49b03-cb49-11e7-a5d5-01aa75ed71a1/language-en/format-PDF/source-856107817
	7148	REFIT evaluation of Directive 2010/65/EU on reporting formalities directive and of Directive 2002/59/EC on vessel traffic management and information systems	CWP	Directive 2002/59/EC and Directive 2010/65/EU	Evaluation	Directorate-General for Humanitarian Aid and Civil Protection (ECHO), Directorate-General for Maritime Affairs and Fisheries, Secretariat-General, Legal Service	243750.0	Individual evaluation but results will be used as appropriate in the maritime legislation fitness check (CWP 2016 Annex 2 REFIT item No 21).	SWD(2018)234 , SWD(2018) 235 final , SWD(2018) 199 final , SWD(2018) 227 final , https://publications.europa.eu/en/publication-detail/-/publication/a45b09f2-cf37-11e7-a7df-01aa75ed71a1/language-en/format-PDF/source-85610797
	7150	Ex-post evaluation of Directive 2009/16/EC on port State control	CWP	Directive 2009/16/EC	Evaluation	Directorate-General for Communications Networks, Content and Technology, Directorate-General for Employment, Social Affairs and Inclusion, Directorate-General for the Environment, Directorate-General for Internal Market, Industry, Entrepreneurship and SMEs, Directorate-General for Migration and Home Affairs, Directorate-General for Justice and Consumers, Directorate-General for Taxation and Customs Union	145300.0	Individual evaluation but results will be used as appropriate in the maritime legislation fitness check (CWP 2016 Annex 2 REFIT item No 21).	SWD(2018)230, SWD(2018) 231 , https://publications.europa.eu/en/publication-detail/-/publication/e7490227-6d21-11e8-9483-01aa75ed71a1/language-en/format-PDF/source-85610776
	7151	Ex-post evaluation of Directive 2009/21/EC on compliance with flag State requirements and Directive 2009/18/EC on the investigation of accidents in the maritime transport sector	L	Directive 2009/21 and Directive 2009/18/EC	Evaluation	Directorate-General for Communications Networks, Content and Technology, Directorate-General for Employment, Social Affairs and Inclusion, Directorate-General for the Environment, Directorate-General for Internal Market, Industry, Entrepreneurship and SMEs, Directorate-General for Migration and Home Affairs, Directorate-General for Justice and Consumers, Directorate-General for Taxation and Customs Union	144000.0	Individual evaluation but results will be used as appropriate in the maritime legislation fitness check (CWP 2016 Annex 2 REFIT item No 21).	SWD(2018)232 , SWD(2018)233 , https://publications.europa.eu/en/publication-detail/-/publication/6b26c6e-6d23-11e8-9483-01aa75ed71a1/language-en/format-PDF/source-85610786
	7143	Maritime Legislation Fitness Check	CWP	Directive 2002/59/EC, Directive 2010/65/EU, Directive 2009/18/EC, Directive 2009/21 and Directive 2009/18/EC	Evaluation	Directorate-General for Communications Networks, Content and Technology, Directorate-General for Education and Culture, Directorate-General for Employment, Social Affairs and Inclusion, Directorate-General for the Environment, Directorate-General for Internal Market, Industry, Entrepreneurship and SMEs, Directorate-General for Migration and Home Affairs, Directorate-General for Justice and Consumers, Directorate-General for Maritime Affairs and Fisheries, Secretariat-General, Legal Service, Directorate-General for Taxation and Customs Union		CWP 2016 Annex 2 REFIT item No 2. The study is conducted internally based on the findings of individual evaluations.	SWD(2018)230, SWD(2018)229
	7154	Mid-term evaluation report of EMSA's activities for response to marine pollution	L	Commission obligation (Reg 911/2014) Art 7. The commission shall submit a report on the	Evaluation	Directorate-General for the Environment, Directorate-General for Maritime Affairs and Fisheries, Secretariat-General, Legal Service	0.0	Internal Evaluation based on EMSA's support	SWD(2018) 394 , http://www.emsa.europa.eu/publications/technical-reports-studies-and-plans/item/3092-emsa-guidance-on-the-inventory-of-hazardous-materials-3092.html
	7157	Evaluation of the SES performance and charging schemes	O	To evaluate Regulations 390/2013 and 391/2013 as announced in the 2015 Aviation Strategy indicative action plan	Evaluation	Directorate-General for Research and Innovation, Secretariat-General	230790.0	First step before revision of Implementing Regulations 390/2013 and 391/2013	SWD(2018) 62 , SWD(2018)63 , https://publications.europa.eu/en/publication-detail/-/publication/469397c0-0f94-11e7-8a35-01aa75ed71a1/language-en/format-PDF/source-85722316
b. Cancelled in 2018									

II. Other studies	[1. Study project]	[2. Title of the study]	[3. Study Internal]	[4. Study Overview]	[5. Study Reason]	[6. Associated Services]	[7. Study Cost]	[8. Note]	[9. Title of the Deliverable]
a. Completed in 2018									
	7259	International activities, including One Stop Security actions (2017)	O	EU AVSEC Regulations. Study on the benefits of One Stop Security	General study		137280.0	Study to confirm OSS arrangement contribute to sustainability of aviation security policies. The study is not published for security reasons	[Not to be published for security reasons]
	7311	Reducing security threats by optimizing passenger flow at airports	O	The objective of the proposed study is to analyze how to make the potential target less attractive. The study won't be published for security reasons	General study		130980.0	Support study in view of enhancing security of public areas of airports	[Not to be published for security reasons]
	9605	Piracy Study - Phase II	O	EU MARSEC Regulation	General study			Providing EU ships with real-time information on piracy world-wide. The study won't be published for security reasons	[Not to be published for security reasons]
	7673	Study on Security Measures for Ro-ro Ferries	O	Study on Security Measures for Ro-ro Ferries	General study		149960.0	To further analyse some maritime security aspects of ro-ro ferries, focusing on the security of ship passengers. The study won't be published for security reasons	[Not to be published for security reasons]
	7292	Study on the business case of the Rail Baltic project and setting up a Rail Baltic business network in Finland, Estonia, Latvia, Lithuania and Poland	O	The study shall create a business network for two-way communication about the business case of the Rail Baltic/Rail Baltica European gauge railway line project in Finland, Estonia, Latvia, Lithuania and Poland.	General study		296000.0		[Completed in 2018, in the course of publication]
	7260	Evaluation of the impacts on growth and jobs of the investments into trans-European transport infrastructure	O	desk research to identify and assess existing materials on the question of effects on growth and jobs from investments into transport infrastructure and transport	General study		248980.0	Main purpose of the study is to assess the impact of the implementation of the TEN-T on the generation of jobs and growth. Another element of the study is to feed into the preparation of the CEF under the next MFF - evaluation of the different scenarios.	[Completed in 2018, in the course of publication]
	7263	Effectiveness of Flight Time Limitation (FTL)	O	Study to develop and demonstrate a process for assessing the effectiveness of the provisions dealing with aircraft crew fatigue.	General study		1700000.0	Assessment of the effectiveness of of Flight Time Limitation (FTL) and Fatigue Risk Management (FRM) provisions as set in Article 9a of Regulation (EU) 965/2012, [MOVE Str. Plan (2016-20), Sp Ob1]	[Pending publication on EASA's website]
	7279	Pilot project study on innovative ways of sustainably financing public transport	O	Identification of best practices for financing public transport and develop the related dissemination material	General study		125000.0	Contract signed on 01/03/2017. Fin report approved on 05/4/2018	https://publications.europa.eu/en/publication-detail/-/publication/f3815f44-5fc8-11e8-ab9c-01aa75ed71a1/language-en
	7946	City logistics guidelines	O	guidance documents on different aspects of urban logistics	General study		169500.0	The purpose of this support contract is to assist the Commission to prepare six high quality non-binding guidance documents on different aspects of urban	https://ec.europa.eu/transport/themes/urban/studies_en
	7296	Study on Retrofit of vehicles fitted with the Smart Tachograph	L	Revision of a Legal basis: Article 54.2(d) FR, Article 3 of Regulation 5(EU) No 185/2014	General study		149300.0	Study on the retrofit of trucks and buses with a smart tachograph with the aim of improving road safety.	https://publications.europa.eu/en/publication-detail/-/publication/3012c99b-49c6-11e8-be1d-
	7300	Study of accident causation for traffic accidents involving powered two-wheelers and bicycles in the European Union	O	Directive 2014/45/EU	General study		989398.0		https://publications.europa.eu/en/publication-detail/-/publication/66f0d3fe-c529-11e8-9424-01aa75ed71a1
	7297	ROAD SAFETY - DRIVING LICENCES - Preparatory study for the report on the implementation of Directive 2006/126/EC on driving licences	O	Directive 2006/126/EC	General study		200000.0	The study will look into the effects of current EU rules on driving licences (except those covered by the Study on driver training, testing and medical fitness). The results of the study will feed into the report on the implementation of Directive 2006/126/EC required by Article 14 thereof.	https://publications.europa.eu/en/publication-detail/-/publication/bbd8141d-e603-11e7-9749-01aa75ed71a1/language-en/format-pdf/source-85610581

7300	Study of accident causation for traffic accidents involving powered two-wheelers and bicycles in the European Union	O	Directive 2014/45/EU	General study		989398.0		https://publications.europa.eu/en/publication-detail/-/publication/66f0d3fe-c529-11e8-9424-01aa75ed71a1
7297	ROAD SAFETY - DRIVING LICENCES - Preparatory study for the report on the implementation of Directive 2006/126/EC on driving licences	O	Directive 2006/126/EC	General study		200000.0	The study will look into the effects of current EU rules on driving licences (except those covered by the Study on driver training, testing and medical fitness). The results of the study will feed into the report on the implementation of Directive 2006/126/EC required by Article 14 thereof.	https://publications.europa.eu/en/publication-detail/-/publication/bbd8141d-e603-11e7-9749-01aa75ed71a1/language-en/format-pdf/source-65610581
7338	Eurobarometer survey 2016 on passengers and citizens satisfaction with rail services	O	The survey results will be included in the 6th Rail Market Monitoring Report as foreseen in Article 15(4) of Directive 2012/34/EU	General study	Directorate-General for Communication	380220.0	The survey results will be included in the 6th Rail Market Monitoring Report as foreseen in Article 15(4) of Directive 2012/34/EU	http://ec.europa.eu/commfrontoffice/publicopinion/index.cfm/survey/getsurveydetailinstruments/#/ash/survey/2172
7339	Assistance to the 6th Rail Market Monitoring report	O	Article 15(4) of Directive 2012/34/EU	General study		98100.0	Article 15 (4) of Directive 2012/34 requesting the Commission to report every two years to the Council and European parliament on the railway market development. The study is to support the unit in preparing this report. It will not be published as such but included in the Staff Working Document associated with the 6th RMMS Report (to be adopted early 2019)	The study will not be published as such but included in the Staff Working Document associated with the 6th RMMS Report (to be adopted early 2019)
7261	Feasibility study on the coordinated deployment and financing of the European Rail Transport Management System (ERTMS) on a core network corridor	O	Evaluation of steps necessary to establish a deployment fund to deploy, accelerate and coordinate ERTMS along a corridor	General study		400000.0	Pilot study project requested by the EP	[Completed in 2018; in course of publication]
7371	Study on on employment and working conditions of aircrews in the EU internal aviation market	O	The study aims to assess the state of play of employment and working conditions applicable to aircrews in the European aviation sector as announced in the 2015 Aviation Strategy indicative action plan	General study	Directorate-General for Employment, Social Affairs and Inclusion, Directorate-General for Migration and Home Affairs, Directorate-General for Justice and Consumers, Secretariat-General, Legal Service	150000.0	Analysis incl in the Aviation Strategy Communication (COM(2015) 538 final)	[Not yet published]
7310	Study on aviation taxes	O	The study is in view of an inventory of taxes and levies in aviation as announced in the 2015 Aviation Strategy indicative action plan	General study		150000.0	Study included in the Aviation Strategy Communication (COM(2015) 538 final)	[Not yet published]
<i>b. Cancelled in 2018</i>								
7728	Study on the implementation of Regulation 1370/2007 and on developments in the provision of public passenger transport in the EU	L	Study to be conducted in preparation of Commission report according to Art 11 of Reg. 1370/07. The study was supposed to assess the implementation of Regulation 1370/2007 in view of proposing an amendment, if appropriate.	General study	Directorate-General for Competition, Directorate-General for Internal Market, Industry, Entrepreneurship and SMEs	450000.0	VIGIE fiche 2018-73 was cancelled. The hierarchy decided to downscale the political dimension of the report. A new VIGIE fiche will be established to cater for a purely factual technical and legal support study on the implementation of the Regulation.	
7331	Support to the development, implementation, monitoring and evaluation of transport research and innovation policy activities	O	Studies, publications and communication activities to support transport Research & Innovation policy	General study		1000000.0	The study has been abandoned due to reallocation of funding to other activities.	
7342	Railway standardisation mapping support study	L	Directive 2008/57/EC and Directive (EU) 2016/797	General study		200000.0	The study was supposed support the work of the Rail Standardisation Coordination Platform for Europe (RASCOP) in its objective of simplifying the European rail standardisation landscape. It has been cancelled because there was no interest from the sector in a mapping support study at this stage.	
7354	Support study for the establishment of a maximum data set for reporting formalities, including national and local requirements	O	Revised Reporting Formality Directive (Q1 2018)	General study		60000.0		
7358	Study on harmonised criteria for charging in ports across the EU and collection and exchange learning insights	O	harmonised criteria on environmental charging	General study		180000.0	Rejected.	
7369	Studies in the area of the network functions 2018-2019	CWP	The studies aim at monitoring the work by the NM until the end of its current mandate (December 2019), preparation of the next mandate and in-depth review of the arrangements in the field of crisis management	General study		250000.0	Negative priority, action abandoned	

NOTES									
(1) Reason why the evaluation/other study was carried out, please align with StudiesDB. 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									
(3) DGs are free to decide whether to include the cost column. It is considered good practice to publish the real budget spent									
(4) Allows 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.									
(5) For evaluations the references should be 1) number of its EvaluationSWD 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.									
(*) Headings in the fields of StudiesDB									



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ANNEX 10: Specific annexes related to "Financial Management"

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

Relevant control system 1 : Directly managed grants : FP7 and H2020							
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 (%)*: Total cost of controls ÷ funds managed
1.101.120 ¹⁴	1.914.466 ¹⁵	57,51%	29.600 ¹⁶	339.060 ¹⁷	8,73%	1.130.720	59.06%
Relevant control system 2 : Directly Management grants : SESAR Deployment manager							
Ex ante controls			Ex post controls			Total**	
EC total cost (in EUR)	funds managed (in EUR)*	Ratio (%)*: Total ex ante control cost in EUR ÷ funds managed in EUR	EC total costs (in EUR)	total value verified and/or audited (in EUR)	Ratio (%): Total ex post control cost in EUR ÷ total value verified and/or audited in EUR	EC total estimated cost of controls (in EUR)	Ratio (%)*: Total cost of controls ÷ funds managed
340.000	4.465.809	7,62%	222.000	6.612.041	3,36%	562.000	12.59%
Relevant control system 3 : Directly managed procurements related to SES advisory bodies							

¹⁴ Corresponding to DG MOVE's own costs. The mutualised costs of ex-ante controls performed by the Common Support Centre for H2020 is estimated at 0.46% of the relevant expenditure.

¹⁵ Given the late stage of the FP7, where the clearing of pre-financings outpaces payments made, an alternative measurement, taking into account these clearings, would return an amount of funds managed of EUR 9.416.166. The ratios for ex-ante and total cost would then be equivalent to 11.7% and 12% respectively.

¹⁶ Corresponding to DG MOVE's own costs. The mutualised costs of ex-post controls at Common Audit Service level is estimated at 0.12% of the relevant expenditure.

¹⁷ Audits related to the FP7 and H2020 programmes are mutualised and carried out by the Common Audit Service.

Ex ante controls			Ex post controls			Total**	
EC total cost (in EUR)	funds managed (in EUR)*	Ratio (%)*: Total ex ante control cost in EUR ÷ funds managed in EUR	EC total costs (in EUR)	total value verified and/or audited (in EUR)	Ratio (%): Total ex post control cost in EUR ÷ total value verified and/or audited in EUR	EC total estimated cost of controls (in EUR)	Ratio (%)*: Total cost of controls ÷ funds managed
269.400	1.396.191	19.3%	0	N/A	N/A	269.400	19.3%
Relevant control system 4 : grants managed indirectly through joint undertakings (SESAR and S2R)							
Ex ante controls			Ex post controls			Total**	
EC total cost (in EUR)	funds managed (in EUR)*	Ratio (%)*: Total ex ante control cost in EUR ÷ funds managed in EUR	EC total costs (in EUR)	total value verified and/or audited (in EUR)	Ratio (%): Total ex post control cost in EUR ÷ total value verified and/or audited in EUR	EC total estimated cost of controls (in EUR)	Ratio (%)*: Total cost of controls ÷ funds managed
695.600	168.744.552	0,41%	0	N/A	N/A	695.600	0.41%
Relevant control system 5 : budgetary support to EU agencies (ERA,EMSA,EASA)							
Ex ante controls			Ex post controls			Total**	
EC total cost (in EUR)	funds managed (in EUR)*	Ratio (%)*: Total ex ante control cost in EUR ÷ funds managed in EUR	EC total costs (in EUR)	total value verified and/or audited (in EUR)	Ratio (%): Total ex post control cost in EUR ÷ total value verified and/or audited in EUR	EC total estimated cost of controls (in EUR)	Ratio (%)*: Total cost of controls ÷ funds managed

828.800	144.297.621	0,57%	118.400	Not quantifiable ¹⁸	0,08%	947.200	0,66%
Relevant control system 6 : Supervision of Executive Agencies (INEA)							
Ex ante controls			Ex post controls			Total**	
EC total cost (in EUR)	funds managed (in EUR)*	Ratio (%)*: Total ex ante control cost in EUR ÷ funds managed in EUR	EC total costs (in EUR)	total value verified and/or audited (in EUR)	Ratio (%): Total ex post control cost in EUR ÷ total value verified and/or audited in EUR	EC total estimated cost of controls (in EUR)	Ratio (%)*: Total cost of controls ÷ funds managed
251.600	26.670.000 ¹⁹	0.94%	0	N/A	N/A	251.600	0,94%
Relevant control system 7 : CEF DI Financial Instruments							
Ex ante controls			Ex post controls			Total**	
EC total cost (in EUR)	funds managed (in EUR)*	Ratio (%)*: Total ex ante control cost in EUR ÷ funds managed in EUR	EC total costs (in EUR)	total value verified and/or audited (in EUR)	Ratio (%): Total ex post control cost in EUR ÷ total value verified and/or audited in EUR	EC total estimated cost of controls (in EUR)	Ratio (%)*: Total cost of controls ÷ funds managed
74.000 ²⁰	0 ²¹ /477.451.000	<0.1%	0	N/A	N/A	74.000	<0.1%
Relevant control system 8 : Organisational controls (Budget and accounting, coordination, antifraud and ICT)							
Ex ante controls			Ex post controls			Total**	

¹⁸ The ex-post controls are related to budgetary and governance topics. The benefits are therefore qualitative rather than quantitative

¹⁹ The supervisory controls however also cover at least in part the transport and mobility operational expenditure managed by INEA : EUR 2.209,6 million

²⁰ To which have to be added the fees accrued to the EIB : EUR 1.708.000 in 2018

²¹ No contribution in 2018. However, the amount under management amounts to EUR 477.45 million

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>
956.100	N/A	N/A	762.200	Not quantifiable	N/A	1.718.300	N/A
OVERALL estimated cost of control at EC level							
Ex ante controls			Ex post controls			Total**	
EC total cost (in EUR)	funds managed (in EUR)*	Ratio (%)*: Total ex ante control cost in EUR ÷ funds managed in EUR	EC total costs (in EUR)	total value verified and/or audited (in EUR)	Ratio (%): Total ex post control cost in EUR ÷ total value verified and/or audited in EUR	EC total estimated cost of controls (in EUR)	Ratio (%)*: <i>Total cost of controls ÷ funds managed</i>
4.516.620	347.488.639 ²²	1,3%	1.132.200	6.951.101	16%	5.648.820	1,62%

²² As regards financial instruments, only the payments made in 2018 are taken into account for the calculation of the total.

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

For each of the Commission General Objectives to which DG MOVE's activities contribute, DG MOVE presented in an annex to its Strategic Plan the mandatory Commission impact indicators considered to be the most relevant for illustrating the contribution of transport activities. The latest known results for these impact indicators presented in tables below show generally satisfactory progress, except for in a couple of cases for which the development has been influenced by outside events and the general economic and political situation.

For the DG MOVE Specific Objectives, tables with result indicators and main annual outputs are also presented below. They indicate generally good and sustained progress made in achieving the specific objectives. More detailed information on the latest known results and any deviations are provided in the tables or in footnotes.

In addition, for the spending programmes it should be noted that more detailed reporting on objectives and indicators for these programmes is included in the relevant Programme Statements which accompany the Draft Budget for a given year.

Commission General Objectives to which DG MOVE contributes²³

General objective 1: A New Boost for Jobs, Growth and Investment			
Impact indicator: Percentage of EU GDP invested in R&D (combined public and private investment)			
Source of the data: Eurostat			
Baseline (2012)	Target (2020) Europe 2020 target	Latest known results (2017)	
2.00% [Baseline adjusted: before: 2.01%]	3.00%	2.07% (provisional)	
Impact indicator: Employment rate population aged 20-64			
Source of the data: Eurostat			
Baseline (2014)	Target (2020) Europe 2020 target	Latest (2017)	known results
69.2%	At least 75%	72.2%	
Impact indicator: GDP growth			
Source of the data: Eurostat			
Baseline (2014)	Target (2020)	Latest (2017)	known results
1.8%	Increase	2.4%	
Impact indicator: Gross Fixed Capital Formation (GFCF) investments to GDP ratio			
Source of the data: Eurostat			
Baseline (2014)	Target (2016-2020)	Latest (2017)	known results
19.4%	21%-22% Mean GFCF for the period 2016-2020 having reached the range	20.2%	

²³ Eurostat periodically revises its published data to reflect new or improved information, also for previous years. The "latest known value" column reflects the data that was available at the time of the preparation of the 2018 Annual Activity Reports (AARs) and it is the reference point for the AARs of Commission services. The cut-off date for the figures presented in the 2018 AARs is 01.02.2019.

of 21%-22%

General objective 2: A Connected Digital Single Market

Impact indicator: Aggregate score in Digital Economy and Society Index (DESI) EU-28

Explanation: DESI is a composite index that summarises relevant indicators on Europe's digital performance and tracks the evolution of EU Member States in digital competitiveness. The closer the value is to 100, the better. The DESI index is calculated as the weighted average of the five main DESI dimensions: 1 Connectivity (25%), 2 Human Capital (25%), 3 Use of Internet (15%), 4 Integration of Digital Technology (20%) and 5 Digital Public Services (15%). The DESI index is updated once a year.

Source of the data: [DESI](#)

Baseline (DESI 2015)	Target (2020)	Latest known results (DESI 2018)
45 [Baseline adjusted: before: 46 acc. to new scale]	Increase	54

Note: DESI has been updated, the indicator list has slightly changed; in addition, move from 0-1 scale to 0-100 scale

General objective 3: A Resilient Energy Union with a Forward-Looking Climate Change Policy

Impact indicator: Greenhouse gas emissions (index 1990=100)

Source of the data: European Environmental Agency

Baseline (2013)	Target (2020) Europe 2020 target	Latest known results (2017 approx. estimates by EEA)
80.4% [Baseline adjusted: before: 80.2 %]	At least 20% reduction (index ≤80)	78.1%

Impact indicator: Share of renewable energy in gross final energy consumption

Source of the data: Eurostat

Baseline (2013)	Interim Milestone ²⁴		Target (2020) Europe 2020 target	Latest known results (2016)
	(2013/2014)	(2015/2016)		
15.2% [Baseline adjusted: before: 15 %]	15.6% Baseline adjusted: before: 13.6 %]	16.9% Baseline adjusted: before: 15.9 %]	20%	17.0%

Impact indicator: Increase in energy efficiency – Primary energy consumption

Source of the data: ENER based on Eurostat data

Baseline (2013)	Target (2020) Europe 2020 target	Latest known results (2016)
1 571.2 million tonnes of oil equivalent (Mtoe) [Baseline adjusted: before: 1 569.9]	20% increase in energy efficiency (No more than 1 483 Mtoe of primary energy consumption)	1542.7 million tonnes of oil equivalent (Mtoe)

²⁴ In case of short- or medium-term objectives (all targets are set to be achieved in less than 3 years) the milestones column should be deleted from the table.

General objective 4: A Deeper and Fairer Internal Market with a Strengthened Industrial Base			
Impact indicator: Intra-EU trade in goods (% of GDP) Source of the data: Eurostat			
Baseline (2014)	Target (2020)	Latest known results (2015)	
20.3% [Baseline adjusted: before: 20.4%]	Increase	20.2%	
Impact indicator: Intra-EU trade in services (% of GDP) Source of the data: Eurostat			
Baseline (2014)	Target (2020)	Latest known results (2015)	
6.3%	Increase	6.6 %	

General objective 9: A Stronger Global Actor			
Impact indicator: GDP per capita (current prices-PPS) as % of EU level in countries that are candidates or potential candidates for EU accession Source of the data: Eurostat			
Baseline (2014)	Target (2020)	Latest known results (2017)	
34% for Western Balkans (excluding Kosovo ²⁵) 64% for Turkey	Increase	35 % for Western Balkans (excluding Kosovo ²⁶) 67% for Turkey	

Specific Objectives for DG MOVE

General objectives: 1, 2, 3, 4 and 9			
Specific objective 1: "An efficient, sustainable, safe and secure Single European Transport Area: Improve regulation, ensure a high degree of implementation of EU legislation in the transport area and open and fair competition both in the EU and in relations with key partner countries."		Related to spending programme(s):N/A	
Result indicator: Transposition rate in transport legislation (%). Source of data: MOVE.A4 monitoring			
Baseline (year)	Target (2016-2020 - annual target)	Latest known results (2018)	
94.9% (11.11.2014)	99% of Directives to be transposed in any given year (target used by the Commission for the Single Market	99%	

²⁵ This designation is without prejudice to positions on status, and is in line with UNSCR 1244 and the ICJ Opinion on the Kosovo Declaration of Independence.

²⁶ This designation is without prejudice to positions on status, and is in line with UNSCR 1244 and the ICJ Opinion on the Kosovo Declaration of Independence.

Scoreboard)			
Result indicator: Percentage of non-communication cases open and respecting the one-year benchmark (for closure or referral to Court).			
Source of data: MOVE.A4 monitoring			
Baseline (year)	Target (2016-2020 - annual target)	Latest known results 2018	
97.5% (11.11.2014)	100% (target set in the Commission Communication "A Europe of results – Applying Community law" (COM (2007) 502)	35% ²⁷	
Result indicator: Percentage of open infringement cases not open for more than 3 years			
Source of data: MOVE.A4 monitoring			
Baseline (year)	Target (2016-2020 - annual target)	Latest known results 2018	
98.5% (11.11.2014)	100% (target set in line with internal Commission benchmark)	87.7% ²⁸	
Result indicator: Comprehensive aviation agreements with neighbouring countries and key trading partners			
Source of data: MOVE.E2			
Baseline (year)	Interim Milestone (2018)	Target (2020)	Latest known results 2018
Number of agreements signed end 2015: 8 (Western Balkan countries, Morocco, Jordan, Georgia, Moldova, Israel, United States and Canada)	16	17 agreements signed in total by end 2020. (Foreseen in the Aviation Strategy adopted in December 2015)	In addition to the 8 agreements already signed, 3 agreements have been initialled since 2015, but not yet signed (due to issues related to Gibraltar). Agreement with Ukraine initialled in 2013, agreement with Armenia initialled in November 2017 and agreement with Tunisia initialled in December 2017. Eight rounds of negotiations with ASEAN, four rounds of negotiations with Qatar, four rounds of negotiations with Turkey, and two rounds of negotiations with Azerbaijan; EU-Korea horizontal agreement initialled in October

²⁷ The significant deterioration of this indicator in 2018 is mainly due to delays linked to the assessment of a number of Directives in the area of Road Safety. It is expected that the situation will improve in 2019.

²⁸ The deterioration of this indicator in 2018 is due to delays in managing sensitive/complex "clusters" of cases in areas with important legislative activity.

			<p>2018. In September 2018, the Council authorised the Commission to open negotiations with Oman. In September 2018, the UAE confirmed its readiness to open negotiations.</p> <p>Reasons for deviation: continued non-resolution of the - Gibraltar issue (holding up signature of UA, ARM and TUN) - delays in some negotiations (e.g. Azerbaijan).</p>
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Main outputs in 2018:			
All new initiatives and REFIT initiatives from the Commission Work Programme			
Output description	Indicator (e.g. adoption by the Commission; completion)	Target	Latest known results (situation on 31/12/2018)
Legislative EU framework to protect passenger railway services from terrorist acts (MOVE.A5)	Adoption of Commission proposal (Decide Planning ref. PLAN/2017/1172)	April 2018	<p>Instead of adopting a legislative proposal, the Commission decided to adopt an Action Plan to improve the security of rail passengers in the EU, COM(2018) 470 final of 13 June 2018.</p> <p>It lists 7 actions to be carried out by the Commission or the Member States. As a first deliverable under the Action Plan, the Commission adopted on 29 June 2018 a Commission Decision (2018/C 232/03) setting-up an EU Rail Passenger Security Platform to support the implementation and the monitoring of the action plan. It will provide the Commission with advice and expertise, and help Member States coordinate rail security actions</p>

			efficiently. The Platform met for the first time on 6 December 2018.
European Single Maritime Window environment (revision of Directive 2010/65/EU on Reporting Formalities for Ships) (MOVE.D1)	Adoption of Commission proposal (Decide Planning ref. PLAN/2017/1050)	Q2 2018 (within the 3rd Mobility Package)	Adopted on 17/05/2018 as part of the Third Mobility Package (COM (2018) 278).
Proposal for a legislative initiative on Electronic transport documents for freight transport (MOVE. D1)	Adoption of Commission proposal (Decide planning ref. 2018/MOVE/01)	Q2 2018 (within the 3rd Mobility Package)	Adopted on 17/05/2018 as part of the Third Mobility Package (COM (2018) 279).
Framework for effective EU road safety policy 2020-2030 (MOVE.C2)	Adoption of Commission document (Decide planning ref. PLAN/2017/1483)	Q2 2018 (within the 3rd Mobility Package)	Adoption on 17 May 2018 as part of the 3rd Mobility Package (COM/2018/293 final and)
Proposal for a Directive amending Directive 2008/96/EC on road infrastructure safety management and Directive 2004/54/EC on minimum safety requirements for tunnels in the trans-European road network (transferred from CWP 2017) (MOVE.C2)	Adoption of Commission Proposal (Decide planning ref. 2016/MOVE/007)	Q2 2018 (within the 3rd Mobility Package)	Proposal for a Directive amending Directive 2008/96/EC adopted on 17 May 2018 (COM/2018/274 final) as part of the 3rd Mobility Package; revision of Directive 2004/54/EC abandoned following result of the impact assessment.
Proposal for a Directive on port reception facilities for the delivery of waste from ships, repealing Directive 2000/59/EC and amending Directive 2009/16/EC (transferred from CWP 2016) (MOVE.D2)	Adoption of Commission proposal (Decide Planning ref. 2017/MOVE/001)	Q1 2018 (within the Circular Economy Package)	Adopted on 16/1/2018 as part of the Commission's Circular Economy Package (COM(2018)033)
Maritime legislation fitness check covering legislation on flag state responsibilities, accident investigation, port state control, the vessel traffic monitoring and information system and, the reporting formalities for ships arriving in and/or departing from ports	Adoption of Fitness Check (REFIT Evaluation - Decide Planning ref. 2016/MOVE/076)	Q1 2018	Adopted on 16/5/2018, cf. SWD(2018) 228 SWD(2018) 232 SWD(2018) 230 SWD(2018) 234 SWD(2018) 199

of Member States (transferred from CWP 2016) (MOVE.D2)			
Proposal for a Council Recommendation on safety goals and functional requirements for passenger ships below 24 m in length (Small Passenger Craft Code - follow-up to the REFIT Fitness Check on Passenger Ship Safety) (MOVE.D2)	Adoption of Commission proposal (Decide Planning ref. 2017/MOVE/014)	Q1 2018	Adopted on 23/5/2018 COM(2018)314 Accompanying Staff Working Document SWD(2018)238 EP decided not to issue an opinion. Council deliberations started in Q2 2018
Proposal for a Directive of the European Parliament and of the Council amending Directive 2008/106/EC on the minimum level of training of seafarers and repealing Directive 2005/45/EC on the mutual recognition of seafarers' certificates issued by the Member States (MOVE.D2)	Adoption of Commission proposal (Decide Planning ref. 2017/MOVE/013)	Q2 2018	Adoption on 12/1/2018 SWD(2018) 19 final/2
Other important outputs			
Output description	Indicator	Target	Latest known results (situation on 31/12/2018)
Implementation of the aviation strategy (see indicative action plan annexed to aviation strategy communication (COM/2015/598 final) (MOVE.E)	Implementation of initiatives (e.g. continuation/completion of negotiations of EU comprehensive air transport agreements and bilateral aviation safety agreements; adoption by the co-legislators of a proposal establishing a revised European Union Aviation Safety Agency including a framework on civil drones; completion of negotiations on a proposal for a revised Regulation 868/2004 on unfair practices; revised SES Network Manager and Performance Scheme; Commission document tying together the conclusions of the evaluations of Directive	2018	Continuation/completion of negotiations of EU comprehensive air transport agreements and bilateral aviation safety agreements, in particular: agreement with Armenia initialled in November 2017 (pending signature due to Gibraltar) and agreement with Tunisia initialled in December 2017; eight rounds of negotiations with ASEAN, four rounds of negotiations with Qatar, four rounds of negotiations with Turkey, and two rounds of negotiations with Azerbaijan; EU-Korea horizontal agreement initialled in October 2018; in September 2018, the Council authorised the

	<p>2009/12/EC on airport charges, of Regulation No 1008/2008 on common rules for the operation of air services, and of a fact-finding study on employment and working conditions of aircrews)</p>		<p>Commission to open negotiations with Oman; in September 2018, the UAE confirmed its readiness to open negotiations.</p> <p>Adoption of Regulation (EU) 2018/1139 on common rules in the field of civil aviation and establishing a European Union Aviation Safety Agency including essential requirements for unmanned aircraft, on 4 July 2018 (followed by publication on 22 August and entry into force on 11 September); drafting of implementing acts laying down detailed provisions concerning the operation of unmanned aircraft, and of delegated acts laying down detailed rules with regard to their design, production and maintenance (adoption early 2019); adoption of amendment of Regulation 965/2012, including new provisions to better support the mental fitness of air crew, on 23 July 2018 (Regulation 2018/1042) as a follow-up of the German wings accident).</p> <p>Agreement reached on a proposal for a revised Regulation 868/2004 on safeguarding competition in air transport, allowing the Union to address practices distorting competition between EU and non-EU airlines, and re-establish equal opportunities for all airlines where needed (adoption in Spring 2019).</p> <p>Adoption of the air traffic management network functions implementing regulation, reinforcing the</p>
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			<p>governance and autonomy of the Network Manager and preparing for the appointment of the Network manager in the course of 2019; adoption of the Performance and Charging Scheme implementing regulation paving the way to continue preparing in 2019 the next reference period starting in 2020.</p> <p>Completion of the evaluation of Directive 2009/12/EC on airport charges (publication in Q1 2019) and continuation of the evaluation of Regulation No 1008/2008 on common rules for the operation of air services (publication in Q1 2019); completion of Commission's Report "Taking stock of the EU social agenda for air transport - towards achieving socially responsible air transport" (publication in January 2019) and of a study on taxation in aviation; completion of evaluations of Regulation related to EU air safety list and of Regulation on aviation accident investigation (publication in Q1 2019)</p>
Cooperative, Connected and Automated Mobility (CCAM): Commission Delegated Regulation on Cooperative ITS (implementation of the ITS Directive 2010/40/EU) (MOVE B4)	Adoption by the Commission of the Delegated Regulation (delegated act)	Q3-Q4 2018	Adopted on 13/3/2019 C(2019) 1789 final
Mid-term evaluation report on EMSA's activities for response to marine pollution from ships and oil and	Adoption of Commission SWD (Decide Planning ref. 2017/MOVE/030)	Q1 2018	Adopted on 31/7/2018 SWD(2018)394

gas installations (Regulation (EU) n° 911/2014) (MOVE.D2)			
Evaluation of the River Information Services (RIS) Directive (MOVE.D3)	Adoption of Commission SWD (Decide Planning ref. PLAN/2017/1955)	Q4 2018	Now expected for Q4 2019. Delay due to need to align with RIS-CEF project and CESNI activities in the field. Administrative delays were also experienced due to need to relaunch the call for tender. Contract signed and kick-off meeting end January 2019.

General objectives: 1, 2, 3, 4 and 9					
Specific objective 2 : "A modern European transport infrastructure: Ensure the effective implementation of funding for the Trans-European Transport Network under the Connecting Europe Facility and under the innovative financial instruments (EFSI)"			Related to spending programme(s) : Connecting Europe Facility		
Result indicator: Total amount of Connecting Europe Facility grants, delegations, contributions signed for transport projects and programmes. (MOVE.B2)					
Source of data: Financial programming established by the Commission, Annual and Multi Annual Work Programmes for the Connecting Europe Facility and Financing Decisions.					
Baseline (2013)	Interim		Milestone	Target (2021) Target date set to 2021 as the grant agreements for the last calls can only be signed in 2021 after evaluation and selection. Target levels are defined in the CEF Transport Budget of the current MFF	Latest known results 2018
	2016		2018/2019		
0	78% of the budget: EUR 18.9 Billion committed		N/A	100% of the budget : EUR 24 Billion committed by 2021	100% of CEF Transport budget committed: EUR 24 Billion and additional EUR 73.5 million of reflows from legacy programmes (TEN-T and Marco Polo) ²⁹

²⁹ As indicated in the CEF mid-term review (SWD(2018) 44 final), the transport sector had a front-loading approach in comparison to the budgetary back-loading approach in the energy and telecoms sectors. The front-loading approach for budgetary spending in Transport was designed to provide for continuity with the former

Result indicator: Total amount of investment in EFSI transport projects (based on approved projects by the EIB Board) (MOVE.B2)

Explanation: The indicator shows the progress of EFSI transport investment, based on the value of investment, up to the deadline of July 2019. Further reporting on signed projects will continue until July 2020, which is the deadline for signature of projects.

Source of data: EIB reporting to the Commission.

Baseline (2015)	Interim		Milestone	Target	Latest known results 2018
	July 2016	July 2018	July 2018		
0	EUR 12 Billion	EUR 36 Billion	EUR 48 Billion ³⁰	EUR 27 Billion ³¹	

Result indicator: The number of removed bottlenecks and sections of increased capacity for all modes on core network corridors which have received funding from the CEF^{32*}

Source of data: INEA

Baseline (2013)	Interim		Milestone	Target	Latest known results 2018
	2016	2018	2018		
0	2	29	277 by the end of all ongoing Actions	Actual CEF Actions completed ³³ by 2018: 4)	

TEN-T programme, which included some of the same infrastructure projects. This is notably explained by the fact that most of the projects funded in the transport sector in the first two years of CEF were based on a solid project pipeline stemming from the continuity of projects and studies formerly supported via the TEN-T programme or by Cohesion Policy instruments. Therefore, these projects were ready to be implemented during the initial period of the programme. The approach also responded to the economic downturn, by contributing to job creation.

³⁰ EIB lending to EFSI transport projects is expected to have the following profile: July 2016 EUR 3.2 billion; July 2018 9.6 billion; July 2019 12.8 billion.

³¹ EFSI is a demand driven instrument. There is no ring-fenced budget allocated to transport. However, DG MOVE proactively promoted a pipeline generation throughout the CEF, with the finalisation of the blending call and the support to the advisory hub.

³² Same indicators as per CEF Programme Statement (DB 2020) specific objective 1, indicator 3.

³³ The difference between the milestones and the results might refer to CEF actions (i) experiencing delays, (ii) for which the final report is still pending or under assessment or (iii) cancelled.

Result indicator: The number of supply points for alternative fuels for vehicles using the TEN-T core network for road transport in the EU-28 supported by CEF actions^{34*}

Source of data: INEA

Baseline (2014)	Interim		Milestone	Target	Latest known results 2018
	2016	2018			
Number of supply points set up by CEF grants(2014): 0	9	733		12,844 by the completion of all ongoing Actions out of which: CNG: 424 LNG: 273 Hydrogen: 122 Electric: 11,974 LPG: 51	Actual CEF Actions completed ³⁵ by 2018: 9

Main outputs in 2018:

All new initiatives and REFIT initiatives from the Commission Work Programme

Output description	Indicator (e.g. adoption by the Commission; completion)	Target	Latest known results (situation on 31/12/2018)
Proposal for CEF post-2020 (MOVE.B2)	Adoption of Commission proposal	Q2 2018	Proposal adopted on 6.6.2018 (COM(2018) 438 final)
Streamlining the implementation of the Trans European Transport Network (TEN-T) (MOVE.B1)	Adoption of Commission proposal (Decide Planning ref. PLAN/2016/210-MOVE)	Q2 2018 (within the 3 rd Mobility Package)	Proposal adopted on 17.5.2018 (COM(2018)277 final)

Important items from work programmes/financing decisions/operational programmes³⁶

Output description	Indicator	Target	Latest known results (situation on 31/12/2018)
Amendment to the CEF Transport Multi-Annual Work Programme in November 2017 C(2017) referring to the modification and extension of the submission deadline of the Blending call for proposals (MOVE.B2)	A Selection Decision for the projects submitted under the second cut-off date of 12 April 2018	Selection Decision Q3 2018	Selection Decision for the Blending call (second cut-off) issued on 12 October 2018 C(2018) 6590 final
Finalising the Call for proposals dedicated to	Publication of the call for proposals on 6	Q3 2018	The proposals were evaluated in Q2; the

³⁴ Same indicators as per CEF Programme Statement (DB 2020) specific objective 2, indicator 1.

³⁵ The difference between the milestones and the results might refer to CEF actions (i) experiencing delays, (ii) for which the final report is still pending or under assessment or (iii) cancelled. Moreover, it is to be noted that each supply point is assumed to be operational in the year in which the CEF funded action has been completed. A CEF-funded action can include several supply points. The number of supply points is attributed to the year when the full action defined in the grant agreement has been completed (e.g. if a grant stipulates the creation of 100 supply points, the action is only considered as completed in the year when all 100 supply points have been set up. All the 100 supply points are then attributed to that year, even if most of them had already been set up in previous years).

³⁶ For a complete listing of expenditure-related outputs please refer to the Programme Statements published together with the [Draft Budget for 2020](#).

SESAR (MOVE.E3)	October 2017 with a deadline for submission of proposals of 12 April 2018 Evaluation Selection decision	Q4 2018	selection decision was taken in Q3; grant agreements were signed in Q4
Amendment to the CEF Transport Multi-Annual Work Programme (MOVE.B2)	Adoption of the amendment of the CEF Work Programme concerning the Programme Support Actions Evaluation process and signature of the grant agreements	Q1 2018 As of Q1 2018	Adoption of the CEF MAP Work programme for PSA achieved on 17 January 2018 (C(2018) 146 final). Please refer to the below output on PSAs
Appointment of the European Coordinators for the second mandate (MOVE.B1)	11 mandate letters after approval of the candidatures of the MS concerned	Q2 2018	Appointed as 14.09.2018 (C(2018) 6009 final) Mandate letters of 10 th October 2018
Call for proposals supporting the validation of drones and their safe airspace integration (MOVE.E3)	A delegation to the SESAR Joint Undertaking (SESAR JU) of EUR 10 million CEF funding.	Q1 2018	SESAR JU published the call for proposals in Q1; the proposals were evaluated in Q3; selection and grant agreements signed in Q4
Programme Support Actions providing technical assistance to the Member States and specific beneficiaries (MOVE.B2)	Grant signed	Q3 2018	All Grant Agreements signed by 31/12/2018
Other important outputs			
Output description	Indicator	Target	Latest known results (situation on 31/12/2018)
TEN-T maps for third countries (MOVE.B1)	Adoption of the delegated Acts	Q4 2018	Adopted on 9.11.2018 (C(2018)7375)
3 rd generation of work plans for the Core Network Corridors (MOVE.B1)	Approval of the nine work plans by the MS concerned	Q2 2018	All work plans approved by the MS concerned
CEF mid-term evaluation (MOVE.B2)	Publication of Staff Working Document and EC Report to Council and EP	Q1 2018	CEF Mid-term Evaluation published on 14 February 2018 COM(2018) 66 final
TEN-T ex-post evaluation (MOVE.B1)	Evaluation report prepared by the Commission, following data collection on the closed TEN-T projects	Q3 2018	Delayed. Data collection on TEN-T projects provided by INEA. Open public consultation published on 15/11/2018 until 14/02/2019.

			Commission Staff Working Document expected by 3rd quarter of 2019.
3-year evaluation of the Innovation and Networks Executive Agency required by Council Regulation (EC) 58/2003 (MOVE.B2)	Commission Staff Working Document and Report to the INEA Steering Committee, Council, European Parliament and Court of Auditors	Q4 2018	Delayed due to several iterations with consultant in charge of the final report. Staff Working Document expected for 1st quarter of 2019 and publication for 2 nd quarter of 2019.
Amendment to the CEF Debt Instrument Delegation Agreement (MOVE.B2)	Amendment to incorporate possible inclusion of NER 300 Programme in view of promoting clean transport	2018	Delayed. Expected amendment approval during 2nd quarter of 2019.

Note to specific objective 2:

For the Connecting Europe Facility (CEF), the definition of some indicators (marked with * in the table above) was changed from the one used in the Strategic Plan 2016-2020, to align it with the indicators presented in the Programme Statement³⁷ to be published together with the Draft Budget for 2020.

In particular, in the Strategic Plan 2016-2020 for DG MOVE, the third result indicator for specific objective 2 was defined as "Number of bottlenecks removed along the TEN-T Corridors financed by CEF". It has been changed into "The number of removed bottlenecks and sections of increased capacity for all modes on core network corridors, which have received funding from the CEF". This change reflects the more precise description provided in the Programme Statement, not only referring to bottlenecks but also to sections of increased capacity. It also clarifies the reference to all transport modes. At the same time, the fourth result indicator for specific objective 2 was changed from "Number of supply points for alternative fuels financed by CEF" into "The number of supply points for alternative fuels for vehicles using the TEN-T core network for road transport in the EU-28". This change reflects the more precise description provided in the Programme Statement with reference the transport mode and the location of the CEF Actions.

As included in the CEF Programme Statement, the CEF programme includes Actions with an implementation period covering several years. For this reason, the majority of the CEF Actions signed as result of past calls for proposals are still ongoing and their results (outputs) will be achieved only at the end of the programming period and beyond (up to end of 2023). Furthermore, taking into consideration that results of CEF calls are expected in the coming years, the indicators have a moving target. Indeed, the targets are defined by the accomplishment of the number of CEF ongoing actions (this number is evolving in accordance with calls for proposals over the years). The data only covers the actions funded by CEF grants and not the entire TEN-T network, to the financing of which various other actors (including Member States, structural funds and private sector) contribute. Foreseen milestones are expected results by actions still ongoing. Actual results correspond to results achieved by closed CEF Transport actions.

The difference between the foreseen Milestones and the actual results refer to possible delays experienced by CEF Transport actions. In particular, due to the complex nature of transport

³⁷ The information related to indicators in the present Annex 12 refers to the latest draft version of the Programme Statement for the draft budget 2020 of 14 March 2019.

infrastructure projects, their technical characteristics, unforeseen events, the stability of the co-funding contribution (national or other sources), public procurement issues (e.g. complaints/appeals during tender procedures) and other legal and environmental issues (e.g. permitting, spatial planning, other authorisations and land acquisition) some actions might have been delayed.

Moreover, it is to be noted that the actions are considered closed only once the final report has been received and assessed, the outputs verified and the final payment (if need be) performed. This means that if actions have already achieved some results during its implementation period, these are not measured. The only possible reporting on outputs is done once the CEF Grant Agreement is concluded (final report submitted, assessed and validated) and the final payment (or recovery) is performed. Furthermore, it is to be considered that CEF Transport beneficiaries must submit a final report within 12 months by the end date of the action.

General objectives: 1, 2 and 3					
Specific objective 3: "An innovative transport sector: Ensure the effective implementation of funding for research and innovation activities in the transport area under Horizon 2020"					
Related to spending programme : Horizon 2020					
Result indicator: Total amount of Horizon 2020 grants, delegations, contributions signed for transport projects and programmes. (MOVE.B3)					
Source of data: Financial programming established by the Commission, Horizon 2020 Work Programmes and Financing Decisions.					
Baseline (2013)	Interim		Milestone	Target (2021) Target date set to 2021 as the grant agreements for the last H2020 two stage calls can only be signed in 2021 after external evaluation. Target levels are defined in the H2020 Transport Budget of the current MFF, under the responsibility of DG MOVE.	Latest known results 2018
	(2016)	(2018)	(2018)		
0	42% of the budget: EUR 750 million for all calls up to WP 2014/15	69% of the budget: EUR 1,246 million for all calls up to WP 2016/17	69% of the budget: EUR 1,246 million for all calls up to WP 2016/17	100% of the budget: EUR 1 802 million for all calls of H2020	69% of the budget: EUR 1,246 million for all calls up to WP 2017
Main outputs in 2018:					
All new initiatives and REFIT initiatives from the Commission Work Programme					
Output description	Indicator (e.g. adoption by the Commission; completion)	Target	Latest known results (situation on 31/12/2018)		
Preparation of contribution on transport for Commission Proposal for the next Framework Programme and of the future of transport-related Joint Undertakings	Adoption of Commission proposal	Q2 2018	The Commission proposal for Horizon Europe – the Framework Programme for Research and Innovation was adopted on 7/6/2018 (COM(2018)435 final)		

Important items from work programmes/financing decisions/operational programmes ³⁸			
Output description	Indicator	Target	Latest known results (situation on 31/12/2018)
Evaluation and award decisions to the transport projects selected under the Horizon 2020 Work Programme 2016-2017	Horizon 2020 grants, delegations, contributions signed for transport projects and programmes	Selection of projects in 2018 for a total amount of approximately EUR 245 million	Completion of selection of projects in 2018 (for a total amount of approximately EUR 245 million)

³⁸ For a complete listing of expenditure-related outputs please refer to the Programme Statements published annually together with the Draft Budget.