



2018

Annual Activity Report

Annexes

**DG Maritime Affairs
and Fisheries**

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

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

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

24 April 2019

[signed]

***Dora Correia
Director***

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".

A. Human resource management

Objective: The DG deploys effectively its resources in support of the delivery of the Commission 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.

At 45% (9/20) in December 2018, DG MARE is well above the Commission average on the **representation of women in middle management functions** (40%). We are committed to ensuring that gender balance objectives are fully achieved. Since May 2017, DG MARE had made three first female appointments to middle management positions and exceeded the set target (2). In addition, MARE participated in the new corporate programme to develop female managerial talent in 2018, with 3 participants.

In 2018, we also organised an information and discussion session with colleagues eligible for and interested in a management career, which will support our work on growing female potential in MARE. Of the 4 deputy Heads of Unit appointed in MARE in 2018, 3 were women. We will continue to pay close attention to gender balance when any posts of deputy Head of Unit or Head of Sector becomes free.

With a Staff Engagement Index of 78%, DG MARE is well above the Commission average (69%), based on the 2018 Commission Staff Survey. Furthermore, 51% of MARE staff feel that the Commission cares about their well-being. The results are the outcome of continuous and active efforts on **staff engagement and wellbeing** enhancing activities in 2018, and in communicating on these to staff.

In early 2018, the 2017 Staff Engagement Action Plan was evaluated, and with an 87% achievement score, found to be implemented to a high degree. It was further confirmed by MARE staff in the satisfaction survey on staff engagement & wellbeing action launched in January-February 2018.

The MARE Staff Engagement, Diversity and Inclusion (SEDI) working group met twice in 2018 to discuss staff engagement and wellbeing issues.

In January 2018, a DG MARE town hall meeting was organised to provide colleagues with an opportunity to provide feedback to the Director-General, and to exchange amongst colleagues on topics including staff engagement and wellbeing.

Building on the outcomes of the DG MARE survey, the feedback from staff during the town hall meeting, the evaluation of the 2017 Staff Engagement Action Plan as well as discussions in the SEDI group, DG MARE adopted a 2018 Staff Engagement Action Plan, including actions aiming to improve staff wellbeing.

Key actions relate to the allocation of resources and working methods, wellbeing, greening DG MARE and the EU Institutions, Knowledge Management, learning & development, management and the Professional Future.

On wellbeing specifically, in terms of the physical space, for example, former archives in DG MARE were converted into 2 social corners, new bicycle racks were installed and common areas were redecorated.

Staff engagement, however, seems to be affected by an increasing workload. This was raised as a serious concern both in the town hall meeting and the MARE staff survey of early 2018, and supported by the results of the latest Internal Control Standards survey completed by all MARE managers. The results of the ICS survey showed that the area in which managers were least satisfied, by far, related to the increasing workload, staffing level and distribution within the DG.

In the first half of 2019, we will assess the state of implementation of the 2018 MARE Staff Engagement Action Plan, and disseminate results to staff. We will also carry out an assessment of the outcomes of the 2018 Staff Survey.

Indicator 1 (mandatory – data provided by DG HR): Percentage of female representation in middle management.

Source of data:

- SEC(2015)336: targets for female representation in management functions in the Commission for the years 2015-2019.
- SEC(2017)359: quantitative targets of first female appointments to be made per Directorate-General and service at middle management level by 1 November 2019.

Baseline January 2015	Target 2019	Latest known results (2018)
44% (EC average 30,8%) 2 women out of 3 first appointments to middle managers function by 2019.	50% (EC target 40%) (Equal Opportunities Strategy 2015-2019 for senior management, middle management and non-management administrators). Targets for each Directorate-General adopted by the Commission on 15 July 2015 - SEC(2015)336. In addition, the Commission adopted a target for each DG in terms of first female appointments: 2 out of 5 first appointments made in DG MARE between July 2017 and November 2019 should be female.	45% of MARE Heads of Unit were female (9/20) on 16/12/2018. First appointments of women to middle management positions, since May 2017: DG MARE has made 3 first female appointments (out of 5 appointments), exceeding its target.

Main outputs in 2018:

Description	Indicator	Target	Latest known results
Monthly dashboard from DG HR.	% of women in middle management functions.	2018: 50% of females appointed when other middle management vacancies come free by end 2018 ² .	See above.

² October 2017: 47%. End 2017: 2 out of 3 first female appointments.

Indicator 2 (mandatory – data provided by DG HR): Percentage of staff who feel that the Commission cares about their well-being.

Source of data: Commission staff survey

Baseline 2014	Target 2020	Latest known results (2018)
38,65% (EC average 34,9%)	50% This target was proposed by the HR unit based on an analysis of the staff survey results and follow-up actions and was agreed by the hierarchy. DG MARE was at 43% in the 2013 staff survey and with the different measures that will be put in place, DG MARE expects to increase the result and reach this ambitious but realistic target.	51% Target reached with substantial increase from 32% (2016) to 51% (2018) of MARE staff who feel that the Commission cares about their well-being.

Main outputs in 2018:

Description	Indicator	Target	Latest known results
Development of a new Staff Engagement Action Plan – actions on wellbeing.	Staff survey results available on wellbeing.	2018: improve the score of 32% of the 2016 Staff Survey to 40%.	Results of 2018 Staff Survey proved substantial increase and resulted in exceeding the target by 11%.
		Raise awareness on flexible working arrangements (16% of MARE staff carrying out structural telework, and 42%) carrying out occasional telework in 2017).	In December 2018, DG MARE had 26.6% of staff making use of telework. This includes 11% of staff carrying out structural telework and 19% carrying out occasional telework.
		Raise staff awareness on availability at corporate level in terms of office ergonomics and organise dedicated sessions in MARE.	No dedicated sessions on ergonomics were organised in DG MARE in 2018 as the Medical Service no longer offers this service to DGs outside of the context of “Health Weeks”, and MARE was not granted a Health Week in 2018 by DG HR.
		Create more space for staff to meet (3 social corners).	2 additional meeting rooms were created and 3 social corners inaugurated in 2018.

Indicator 3 (mandatory – data provided by DG HR): Staff engagement index.**Source of data:** Commission staff survey

Baseline 2014	Target 2020	Latest known results (2018)
<p>73% (EC average 54%).</p> <p>DG MARE is well above the Commission average on staff engagement. Through a number of dedicated actions and the creation of a Staff Engagement, Diversity and Inclusion Working Group, DG MARE has a high level of ambition and its objective is to reach a Staff Engagement Index of 80, or as a minimum to maintain the already high score of 73.</p>	<p>80%, or at least 73% by 2020.</p>	<p>Staff engagement index went up to 78% remaining well above Commission average (69%).</p> <p>SEDI working group met 2 times in 2018 to reflect on the workload in DG MARE, staff engagement, career development for AST staff, and greening DG MARE.</p> <p>Implementation of the 2018 Staff Engagement Action Plan: at this stage, we have not yet been able to assess the degree of implementation of the 2018 action plan.</p>

Main outputs in 2018:

Description	Indicator	Target	Latest known results
Development of a new Staff Engagement Action Plan – overall level of staff engagement.	Staff survey results available on Staff Engagement Index.	2018: improve the score of 67% of the 2016 Staff Survey. Launch of the survey in Spring ³ .	Target achieved: Staff engagement index went up to 78%.

³ October 2017: 2017 MARE Staff Engagement Action Plan adopted and being implemented. Regular reporting to staff and managers on actions carried out.

B. Better Regulation

In 2018, two **Impact Assessments** (on the Commission proposal revising the fisheries control system and the on the Commission proposal for the future EMFF for 2021-2027) were completed and scrutinized by the Regulatory Scrutiny Board. Both reports received positive opinions on first submission.

Three **evaluations** were completed in 2018 to prepare for a new Sustainable Fisheries Partnership Agreements or Protocol with Morocco, Cabo Verde, and Madagascar.

The main planned outputs linked to the Better Regulation objective in the Strategic Plan are listed in Annex 1 under the relevant specific objective in the tables.

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

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: DG MARE

Baseline 2015	Interim milestone 2016	Target 2020	Latest known results (2018)
<p>0% (2/2)</p> <p>Two impact assessment reports⁴ were submitted to and scrutinized by the RSB/IAB in 2015. Both received a positive opinion only after a resubmission.</p> <p>This rate was 50% in 2014 when one immediately received a positive opinion; the other only after a resubmission.</p> <p>In comparison, the Commission average in 2014 was 40%; in 2015 it was 48%⁵.</p>	<p>50% (2/2)⁶</p> <p>Positive trend compared to DG's situation in 2015.</p>	<p>Positive trend compared to DG's situation in 2016.</p>	<p>100% (2/2)⁷</p> <p>In 2018, the RSB scrutinized two Impact assessment (IA) reports submitted by DG MARE. Both received a positive opinion on its first submission.</p> <p>This is a continuous positive trend compared to baseline 2015 when both IAS had to be resubmitted, and to 2016 when one of the two IAs had to be resubmitted.</p>

⁴ Impact Assessment report concerning the proposal for a Regulation of the European Parliament and the Council on **technical measures** for the protection of marine organisms on conservation of fishery (negative RSB opinion on 19/06/2015 – positive RSB opinion on the resubmitted report on 30/10/2015);
- Impact Assessment report concerning the proposal for a Regulation of the European Parliament and the Council establishing a long-term **plan for the North Sea demersal fisheries** (negative RSB opinion on 06/07/2015 ; positive RSB opinion on resubmitted report on 12/10/2015).

⁵ Impact Assessment Board / Regulatory Scrutiny Board 2015 activity statistics:
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Indicator 2 (mandatory – monitored by the DGs concerned): Percentage of the DG's regulatory acquis covered by retrospective evaluation findings and Fitness Checks not older than five years.

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

DG MARE's primary regulatory acquis consists of ten primary legislations/regimes⁸.

http://ec.europa.eu/smart-regulation/impact/key_docs/docs/iab_rsb_stats_2015.pdf

⁶ - Impact Assessment report concerning the proposal for a Regulation of the European Parliament and the Council establishing a mixed fishery multiannual **plan for the demersal stocks** and their fisheries **in the Western EU waters** (negative RSB opinion on 19/02/2016 - positive RSB opinion on resubmitted report on 29/09/2017);

- Impact Assessment report concerning the proposal for a Regulation of the European Parliament and of the Council establishing a multiannual **plan for small pelagic stocks** and their fisheries **in the Adriatic Sea** (positive RSB opinion on 13/06/2016 at its first submission).

⁷ Proposal on the **revision of the Fisheries Control System** (REFIT initiative): COM(2018)368, SWD(2018)279, SWD(2018)280 and SEC(2018)267.

Proposal for a Regulation of the European Parliament and of the Council on the **EMFF-post 2020**: COM(2018)390, SWD(2018)295 and SEC(2018)276.⁸ DG MARE's primary regulatory acquis consists of three European Parliament and Council regulations, thirteen Council regulations and one Directive of the European Parliament and of the Council as follows:

⁸ DG MARE's primary regulatory acquis consists of three European Parliament and Council regulations, thirteen Council regulations and one Directive of the European Parliament and of the Council as follows:

- 1) Regulation (EU) No 508/2014 of the European Parliament and of the Council of 15 May 2014 on the European Maritime and Fisheries Fund and repealing Council Regulations (EC) No 2328/2003, (EC) No 861/2006, (EC) No 1198/2006 and (EC) No 791/2007 and Regulation (EU) No 1255/2011 of the European Parliament and of the Council;
- 2) Regulation (EU) No 1380/2013 of the European Parliament and of the Council of 11 December 2013 on the Common Fisheries Policy, amending Council Regulations (EC) No 1954/2003 and (EC) No 1224/2009 and repealing Council Regulations (EC) No 2371/2002 and (EC) No 639/2004 and Council Decision 2004/585/EC;
- 3) Regulation (EU) No 1379/2013 of the European Parliament and of the Council of 11 December 2013 on the common organisation of the markets in fishery and aquaculture products, amending Council Regulations (EC) No 1184/2006 and (EC) No 1224/2009 and repealing Council Regulation (EC) No 104/2000;
- 4) Council Regulation (EC) No 1224/2009 of 20 November 2009 establishing a Community control system for ensuring compliance with the rules of the common fisheries policy, amending Regulations (EC) No 847/96, (EC) No 2371/2002, (EC) No 811/2004, (EC) No 768/2005, (EC) No 2115/2005, (EC) No 2166/2005, (EC) No 388/2006, (EC) No 509/2007, (EC) No 676/2007, (EC) No 1098/2007, (EC) No 1300/2008, (EC) No 1342/2008 and repealing Regulations (EEC) No 2847/93, (EC) No 1627/94 and (EC) No 1966/2006;
- 5) Council Regulation (EC) No 1006/2008 of 29 September 2008 concerning authorisations for fishing activities of Community fishing vessels outside Community waters and the access of third country vessels to Community waters, amending Regulations (EEC) No 2847/93 and (EC) No 1627/94 and repealing Regulation (EC) No 3317/94;
- 6) Council Regulation (EC) No 1005/2008 of 29 September 2008 establishing a Community system to prevent, deter and eliminate illegal, unreported and unregulated fishing, amending Regulations (EEC) No 2847/93, (EC) No 1936/2001 and (EC) No 601/2004 and repealing Regulations (EC) No 1093/94 and (EC) No 1447/1999;
- 7) Council Regulation (EC) No 199/2008 of 25 February 2008 concerning the establishment of a Community framework for the collection, management and use of data in the fisheries sector and support for scientific advice regarding the Common Fisheries Policy;
- 8) Council Regulation (EC) No 768/2005 of 26 April 2005 establishing a Community Fisheries Control Agency and amending Regulation (EEC) No 2847/93 establishing a control system applicable to the common fisheries policy;
- 9) Directive 2014/89/EU of the European Parliament and of the Council of 23 July 2014 establishing a framework for maritime spatial planning; and

Source of data: DG MARE			
Baseline 2015	Interim Milestone 2016	Target 2020	Latest known results (2018)
40% (4/10) ⁹ DG MARE's primary regulatory acquis has been covered by retrospective evaluations not older than 5 years or planned according to the life cycle of the measures (e.g. as planned in the law and/or in the accompanying Impact Assessment).	Positive trend compared to baseline.	Positive trend compared to interim milestone.	60% (6/10) ¹⁰ . There is no change compared to 2017. The 3 evaluations conducted in 2018 are outside of DG MARE's primary regulatory acquis.

10) The current technical measures regime that is formed by the following Council Regulations (EC) No 1967/2006, (EC) No 1098/2007, (EC) No 894/97, (EC) No 850/98, (EC) No 2549/2000, (EC) No 254/2002, (EC) No 812/2004 and (EC) No 2187/2005.

⁹ These 4 evaluations are:

- [Evaluation of the Data Collection Framework \(DCF\)](#) (2013);
- [State of play regarding application and implementation of the IUU Regulation](#) (2014);
- [Study in support of the development of a new technical conservation measures framework within a reformed CFP- Volume 1. Retrospective evaluation, and](#)
- [Five Year Independent External Evaluation of the European Fisheries Control Agency](#) (2015, carried out by the EFCA).

¹⁰ The 2 additional evaluations (to the 4 evaluations mentioned under the previous footnote) are:

- [SWD\(2017\)134 final: Commission Staff Working Document - REFIT - Evaluation of the impact of the fisheries regulation accompanying the Report from the Commission to the European Parliament and the Council on the Implementation and evaluation of Regulation \(EC\) 1224/2009 establishing a **Community control system** for ensuring compliance with the rules of the common fisheries policy as required under Article 118.](#)(2017)
- [SWD\(2017\)274 final: Commission Staff Working Document – Ex post evaluation of the **European Fisheries Fund 2007-2013**.](#) (2017)

C. Information management aspects

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

2018 was marked by the entry into application of the new **General Data Protection Regulation** (GDPR) (EU) No 2016/679 and entry into force and application of the **Internal Data Protection Regulation** No 2018/1725 applicable to the Institutions, as well as the Commission's Action Plan on Data Protection. The Data Protection Coordinator in DG MARE ensured transparency and provided guidance on the implementation of this new legislative framework and the follow-up of the action plan. The following steps have been taken in 2018, in particular to ensure compliance with the new rules:

- Establishment of a complete inventory of all data processing operations (preparation and start of the conversion of the notifications of DG MARE into records, and archiving the notifications that were no longer necessary in the DPO-2 database);
- Assessment of compliance with general principles in particular as regards lawfulness, data minimisation and storage limitation. Several meetings with all the controllers in DG MARE were held to explain the principles and to check whether the processing operations under their responsibility complied with them;
- Appropriate information provided to the data subjects concerned through concise and intelligible privacy statements (including modifying the specific privacy statements to ensure reference to the new regulation, the possibility of data subjects to contact the Data Protection Officer of the Commission);
- DG MARE identified the need to restrict the data subjects rights in the context of implementing Council Regulation (EC) No 1005/2008 establishing a Community system to prevent, deter and eliminate illegal, unreported and unregulated fishing. The necessary draft decision is planned to be adopted around mid-2019¹¹;
- DG MARE organised a meeting with DG JUST, the **Legal Service** and the Data Protection Officer to discuss compliance with the rules concerning the international dimension.

Important documents are registered, filed and retrievable. The use of e-signatory is fully applied in DG MARE including in financial circuits (with exceptions where a handwritten blue ink signature and paper circulation are still needed). AresLook is largely used; the archives "cleaning operation" was maintained and physical archives backlog was reduced and space freed up.

¹¹ Draft Commission decision laying down internal rules concerning the processing of personal data by the European Commission in the Community system to prevent, deter and eliminate illegal, unreported and unregulated (IUU) fishing in relation to the provision of information to data subjects and the restrictions of certain rights (PLAN/2019/5048).

Indicator 1 (mandatory – data provided by DG DIGIT): Percentage of registered documents that are not filed (ratio).

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

Baseline 2015	Milestone 2016	Target 2020	Latest known results (2018)
1,92%	≤ 1%	≤ 1%	0,12%
<p><i>According to the statistics provided by SG/DIGIT for 2015:</i></p> <ul style="list-style-type: none"> – Total registered documents in 2015: 21.555 – Not filed documents registered in 2015: 413 			
Main outputs in 2018:			
Description	Indicator	Target	Latest known results (2018)
Filing of registered documents.	Percentage of non-filed documents.	≤ 1%	0,12%
<p><i>According to the statistics provided by SG/DIGIT on 24/01/2019.</i></p> <ul style="list-style-type: none"> – Total registered documents in 2018: 17.221 – Not filed documents registered in 2018: 84 			

Indicator 2 (mandatory – data provided by DG 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)	
83,75%	To be maintained	86,51%	
<p><i>According to the statistics provided by SG/DIGIT.</i></p> <p>All MARE files are accessible to MARE staff except for the limited ones.</p>			
Main outputs in 2018:			
Description	Indicator	Target	Latest known results (2018)
Files accessible by all units in the DG.	Percentage of accessible files	83,75%	86,51%
<p><i>According to the statistics provided by SG/DIGIT on 24/01/2019.</i></p>			

The percentage of **Commission wide opened files** was increased following an awareness campaign that took place during 2018 and after having analysed together with all units the possibility of opening MARE's files for the sake of sharing information and data within the Commission.

During this awareness campaign it was stipulated that the protection of information/documents will be taken into consideration whenever is needed by applying markings or classification.

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

Source of data: HAN statistics

Baseline 2015	Target	Latest known results (2018) (*)
0,21%	Target for 2018: ≥4%	Statistics based on the number of active or closed files created before 31/12/2018: files shared with other DGs: 18,15% (files & subfiles shared with other DGs: 39%)
<i>According to the statistics provided by SG/DIGIT and ARES/NOMCOM reports of 24/01/2019.</i>		

(*) Latest known results:

Following an awareness campaign during 2018 and after having analysed together with all units the possibility of opening MARE's files for the sake of sharing information and data within the Commission, the percentage of MARE files shared Commission-wide has increased significantly and far beyond the 4% put forward for 2018.

Nevertheless, during the awareness campaign it was stipulated that the protection of information/documents will be taken into consideration whenever is needed by applying markings or classification.

Main outputs in 2018:

Description	Indicator	Target	Latest known results (2018)
Files shared with other DGs – Commission wide. <i>According to the statistics provided by SG/DIGIT and ARES/NOMCOM reports of 24/01/2019.</i>	Percentage of MARE files with file readers expanded to other DGs-Commission wide.	≥4%	Statistics based on the number of active or closed files created before 31/12/2018: – Files: 4.054 – Number of files shared with other DGs: 736 – Percentage of files shared with other DGs: 18,15% – Files & subfiles: 7.358 – Number of files shared and subfiles: 2.915 – Percentage of files & subfiles shared with other DGs: 39%

Other main outputs in 2018:

Description	Indicator	Target	Latest known results (2018)
<p>Implementation of e-signatory workflow as a general rule on internal and outgoing documents.</p> <p><i>According to the statistics provided by ARES reports of 04/02/2018.</i></p>	Percentage of registered documents with no paper circulation in parallel.	<p>Maintain the level of 2017 (October):</p> <ul style="list-style-type: none"> e-signatory: 90% parallel paper signatory: 20% 	<p>On 5.352 registered documents 92% (4.904) with e-signatory workflow, out of them 18% (905) with parallel paper signatory.</p> <p>E-signatory is fully applied; parallel paper signatory is applied only on exceptions where handwritten signature is required.</p>
<p>AresLook use for emails registration.</p> <p><i>According to statistics provided by DIGIT.</i></p>	Number of registered emails.	<p>≥50%</p> <p>(October 2017: ±7.000 corresponding to ±50% of registered documents)</p>	<p>In 2018: 8925 documents registered by AresLook corresponding to 51% of the total registered documents in 2018.</p> <p>Areslook is largely used.</p>
<p>Paper archives "cleaning operation" (transfer or elimination of files with expired Administrative Retention Period).</p>	Number of files transferred to the Historical Archives Services (HAS).	Maintain the operation	In 2018: 258 files (physical units) transferred to HAS, which corresponds to ±21 linear meters.
	Gain in space.	Maintain the operation	In 2018: total space freed up ±40 linear meters.

Indicator 4: Percentage of briefings managed in accordance with a uniform business process and using a common tool.

Source of data: BASIS is an IT tool used in DG MARE to manage briefing requests for the Commissioner and the Director General. It is a transparent tool; all MARE staff can access.

Baseline 2015	Interim Milestone 2016	Target 2020	Latest known results (2018)												
<p>All briefing requests for the Commissioner and the Director-General are encoded and managed in BASIS.</p> <p>Repository available since 2012.</p> <p>The standardised process includes hierarchical validation.</p>	<p>BASIS will be launched as a common tool in the Commission.</p>	<p>BASIS is a well-functioning IT tool. Updates and new features according to needs.</p>	<p>100% of the briefings is managed in BASIS according to a standard procedure. Exception: briefing requests from DGs, Services or Delegations not using BASIS are managed by email, as are briefings for COREPER and Council meetings as well as for the EP PECH Committee and the EP Plenary session.</p> <table border="1" data-bbox="1046 887 1406 1357"> <thead> <tr> <th colspan="2">Briefing requests managed in 2018</th> </tr> <tr> <th>Request for :</th> <th>Total :</th> </tr> </thead> <tbody> <tr> <td>Commissioner VELLA</td> <td>244 (199 Vella + 45 Cabinet)</td> </tr> <tr> <td>Director-General</td> <td>133</td> </tr> <tr> <td>Others (President, Vice-Presidents, other Commissioners, EEAS, etc.)</td> <td>61</td> </tr> <tr> <td>Total</td> <td>438</td> </tr> </tbody> </table>	Briefing requests managed in 2018		Request for :	Total :	Commissioner VELLA	244 (199 Vella + 45 Cabinet)	Director-General	133	Others (President, Vice-Presidents, other Commissioners, EEAS, etc.)	61	Total	438
Briefing requests managed in 2018															
Request for :	Total :														
Commissioner VELLA	244 (199 Vella + 45 Cabinet)														
Director-General	133														
Others (President, Vice-Presidents, other Commissioners, EEAS, etc.)	61														
Total	438														

D. External communication activities

In January, DG MARE adopted a new communication strategy for the years 2018-2019. On this basis, significant progress was made throughout the year towards building a coherent "taking care of the oceans" narrative targeting both the general public and specialised stakeholders. Highlights from 2018 include the following:

Both during the internal preparations of the Commission proposal on **Single Use Plastics** Directive and during the inter-institutional process, DG MARE took the lead in particular on the part related to lost fishing gear. DG MARE thus contributed significantly to the successful outcome of the negotiations and the political agreement reached in steering the negotiations on this new Directive as far as fishing gear is concerned. The European Parliament and the Council reached a political agreement on 19 December. The Directive will include ambitious measures to tackle marine litter at its source, by targeting plastic products most often found on beaches, as well as and abandoned fishing gear.

Throughout the year, important emphasis was put on the topic of **marine litter**, in particular lost fishing gear. In September-October, DG MARE organised jointly with EEAS and DG COMM a global beach clean-up campaign with more than 60 actions worldwide via Delegations and Representations and several thousands of participants. It generated important local media attention to EU ocean policy, including the Plastics Strategy. The Beach Cleanup campaign (joint project with EEAS and DG COMM) resulted in 65 actions worldwide and attracted over 3,000 participants. #EUBeachCleanup was among the most successful Commission hashtags in 2018. The campaign will take place every year around the International Coastal Cleanup Day.

In 2018, DG MARE's **Twitter** account was ranked fourth of all EU institutional accounts in terms of engagement. This is the result of targeted use of innovative video products, most of which are produced in-house at low cost. For instance, the series of videos for the 2018 Our Ocean Conference attracted nearly 400,000 views on Facebook alone.

DG MARE has proactively contributed to a number of corporate communication campaigns. Most prominently **InvestEU**, where the branding of a series of BlueInvest events in Brussels and throughout the EU have been aligned with corporate visuals and generated very positive response, including on social media.

DG MARE also launched cooperation with **Euronews** to produce a series of monthly televised magazines ("Ocean") on ocean-related matters. A first episode on sustainable fisheries was broadcasted in January 2019.

The 11th **European Maritime Day** (EMD, 31 May-1 June, Burgas)¹² brought together 800 participants from the maritime sector across the Black Sea and the EU. It was for the first time that the conference took place in the Black Sea region. The EDM community discussed new approaches to address the challenges and opportunities of our oceans and seas. The conference hosted 130 speakers, 18 stakeholder workshops, 3 DG MARE info sessions and 28 exhibitors. The European Enterprise Network facilitated 154 business-to-business (B2B) meetings. 80 national events ("EMD in my country") – a record number – were organised in the EU Member States and beyond.

DG MARE participated with a stand at the **Seafood Expo** (April, Brussels)¹³. Seafood Expo is the world's largest trade fair in the fisheries sector, with 1.850 exhibitors from 79 countries this year. DG MARE organised 2 high-level debates and 20 information sessions with experts. DG MARE's event on "Food from the Ocean" was awarded as the most attended during the expo.

¹² <https://webgate.ec.europa.eu/maritimeforum/en/node/4170>

¹³ <https://www.seafoodexpo.com/global/>

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

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

DG MARE promotes the Common Fisheries Policy and the Integrated Maritime Policy through its internal and external communication, including awareness-raising and dialogue with stakeholders. Eurobarometer measures the state of public opinion in the EU Member States.

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

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

Baseline (November 2014)	Target (2020)	Latest known results (2018)
<ul style="list-style-type: none"> Total "positive" image of the EU: 39% Total "neutral": 37 % Total "negative": 22% 	Positive image of the EU ≥ 50%	Figures at corporate level: <u>May 2017:</u> <ul style="list-style-type: none"> positive image: 40% neutral image: 37% negative image: 21% do not know: 2% <u>21/12/2018:</u> <ul style="list-style-type: none"> positive image: 43% (highest level since autumn 2009) neutral image: 36% negative image: 20% do not know: 1% Source: http://europa.eu/rapid/press-release_IP-18-6896_en.htm

Main outputs in 2018:

Description	Indicator	Target	Latest known results (*)
Direct reach of DG MARE communication actions via websites and key known multipliers.	Number of unique visitors to the websites of DG MARE	Digital transformation ongoing throughout 2018	531,802 unique visitors (= decline by 29% compared to 2017)
Monthly newsletter of DG MARE.	Number of subscribers	15,000	13,303 (2017: 12,920)
Direct reach of DG MARE communication actions via social media.	Number of followers	Twitter: 40,000 Facebook: 120,000	Twitter: 40,500 (21% increase compared to 2017). DG MARE's twitter account was number 4 of all EU accounts in terms of engagements. Facebook : 107,000

			(11% under target)
Seafood 2018.	Number of participants in expert meetings	150	130 participants in scheduled expert meetings. (the actual number of visitors to the stand at Seafood is significantly higher)
European Maritime Day 2018.	Number of participants	700	800 (= 14% above target)

Throughout 2018, the following resources have been allocated to the communication actions undertaken by DG MARE:

Annual communication spending (based on estimated commitments – budget 2018):			
Baseline (2017)	Target (2018)	Total amount spent (2018)	Total of FTEs working on external communication (2018)
2.700.000 € in commitments (including 1.200.000 € for the Our Ocean Conference 2017) (source: AAR 2017)	2.200.000 € estimated commitments (source: Management Plan 2018)	4.059.949,48 € in commitments	4

ANNEX 3: Draft annual accounts and financial reports

AAR 2018 Version 1

Annex 3 Financial Reports - DG MARE - 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

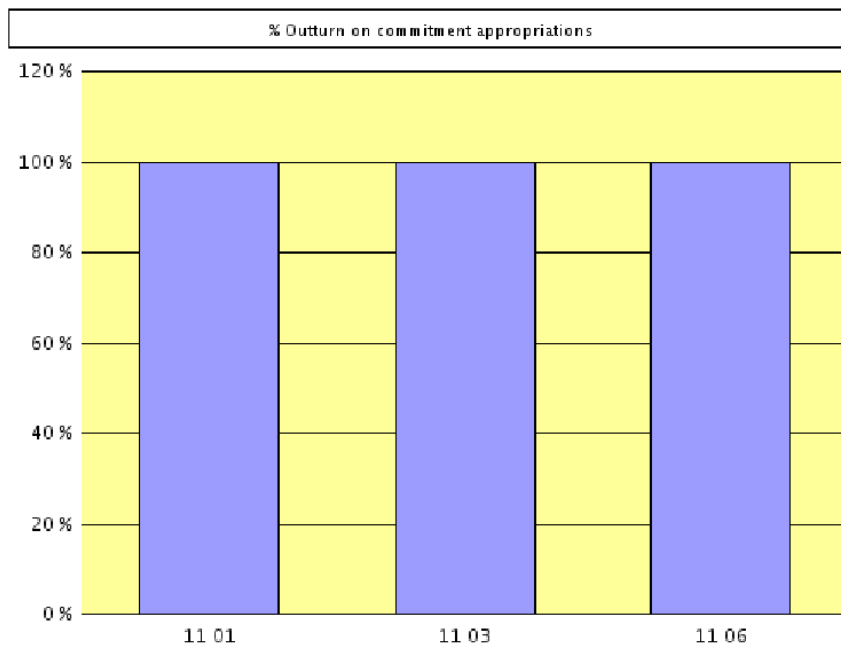
Table 15 : FPA duration exceeds 4 years

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

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Report printed on 19/03/2019

TABLE 1: OUTTURN ON COMMITMENT APPROPRIATIONS IN 2018 (in Mio €)					
			Commitment appropriations authorised	Commitments made	%
			1	2	3=2/1
Title 11 Maritime affairs and fisheries					
11	11 01	Administrative expenditure of the 'Maritime affairs and fisheries' policy area	5.13	5.11	99.76 %
	11 03	Compulsory contributions to Regional Fisheries Management Organisations and other International Organisations and Sustainable Fisheries Agreements	94.54	94.31	99.76 %
	11 06	European Maritime and Fisheries Fund (EMFF)	1,037.49	1,034.73	99.73 %
Total Title 11			1,137.15	1,134.15	99.74%
Total DG MARE			1,137.15	1,134.15	99.74 %

* 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).

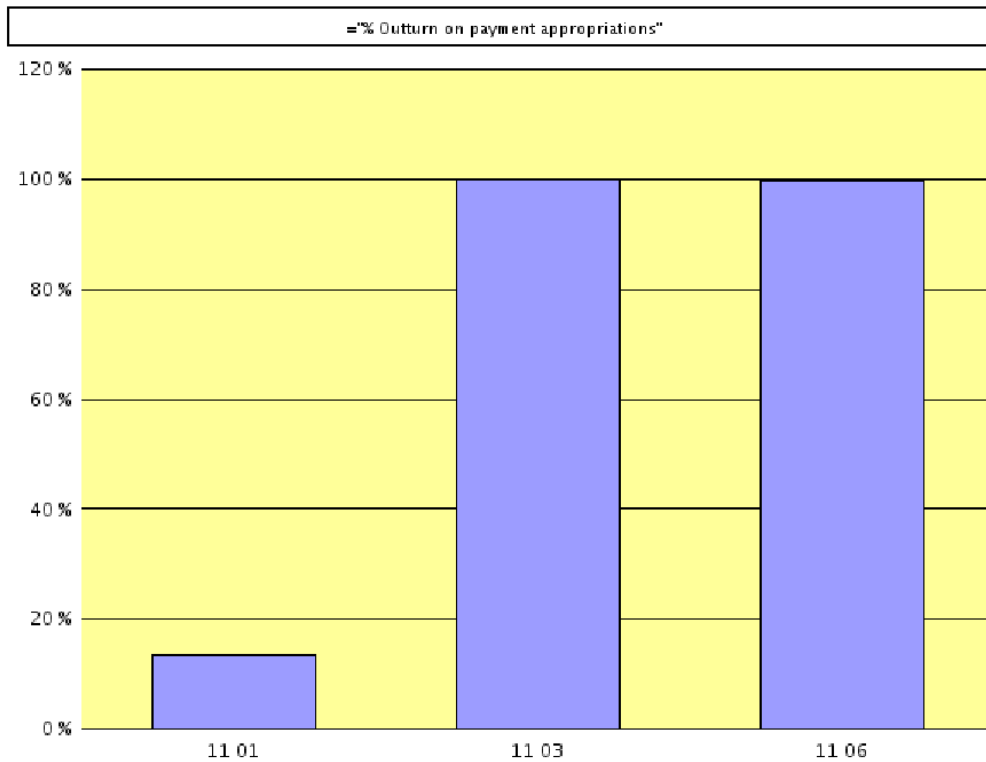


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TABLE 2: OUTTURN ON PAYMENT APPROPRIATIONS IN 2018 (in Mio €)					
Chapter			Payment appropriations authorised *	Payments made	%
			1	2	3=2/1
Title 11 Maritime affairs and fisheries					
11	11 01	Administrative expenditure of the 'Maritime affairs and fisheries' policy area	5.76	0.78	13.47 %
	11 03	Compulsory contributions to Regional Fisheries Management Organisations and other International Organisations and Sustainable Fisheries Agreements	97.45	97.45	100.00 %
	11 06	European Maritime and Fisheries Fund (EMFF)	753	750.8	99.71 %
Total Title 11			856.21	849.03	99.16%
Total DG MARE			856.21	849.03	99.16 %

* 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).



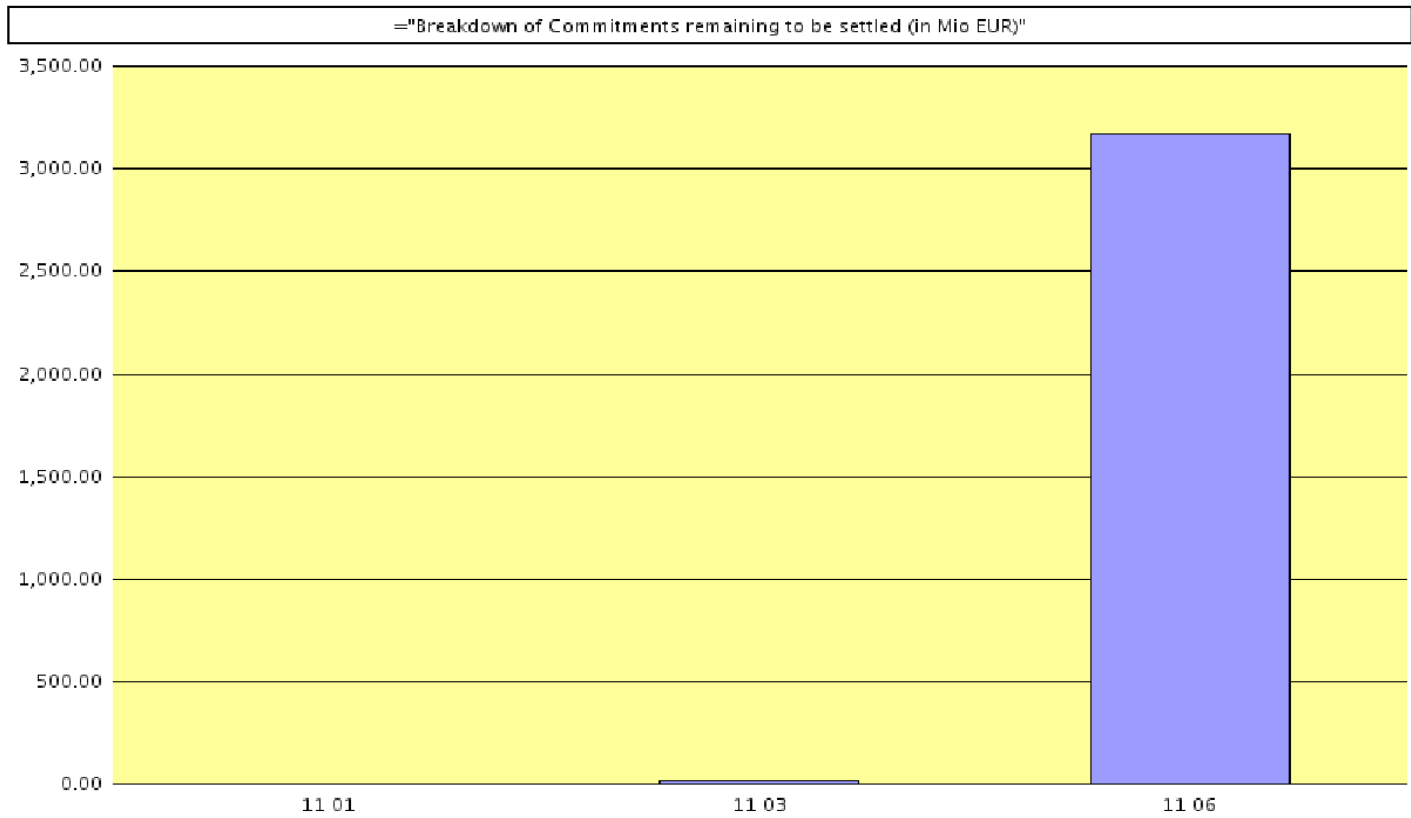
Note : The figures are those related to the provisional accounts and not yet audited by the Court of Auditors

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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 11 : Maritime affairs and fisheries									
11	11 01	Administrative expenditure of the 'Maritime affairs and fisheries' policy area	5.03	4.15	0.88	17.54 %	0.00	0.88	0.97
	11 03	Compulsory contributions to Regional Fisheries Management Organisations and other International Organisations and Sustainable Fisheries Agreements	94.31	87.19	7.12	7.55 %	8.03	15.15	21.06
	11 06	European Maritime and Fisheries Fund (EMFF)	1,034.73	30.03	1,004.69	97.10 %	2,163.04	3,167.73	3118.18
Total Title 11			1,134.07	121.37	1,012.7	89.30%	2,171.07	3,183.77	3,140.21
Total DG MARE			1,134.07	121.37	1,012.7	89.30 %	2,171.07	3,183.77	3,140.21

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 MARE

BALANCE SHEET	2018	2017
A.I. NON CURRENT ASSETS	182,985,381.84	388,035,713.87
A.I.1. Intangible Assets	3,578,111.83	3,897,363.08
A.I.5. Non-Current Pre-Financing	179,407,270.01	384,138,350.79
A.II. CURRENT ASSETS	368,009,701.11	188,048,706.02
A.II.2. Current Pre-Financing	311,549,267.75	102,902,151.88
A.II.3. Curr Exch Receiv & Non-Ex Recoverables	56,460,433.36	85,146,554.14
ASSETS	550,995,082.95	576,084,419.89
P.II. CURRENT LIABILITIES	-220,134,867.02	-196,558,458.22
P.II.4. Current Payables	-202,542,418.58	-67,985,674.03
P.II.5. Current Accrued Charges & Defrd Income	-17,592,448.44	-128,572,784.19
LIABILITIES	-220,134,867.02	-196,558,458.22
NET ASSETS (ASSETS less LIABILITIES)	330,860,215.93	379,525,961.67
P.III.2. Accumulated Surplus/Deficit	3,013,523,895.84	2,971,835,088.4
Non-allocated central (surplus)/deficit*	-3,344,384,111.77	-3,351,361,050.07
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.

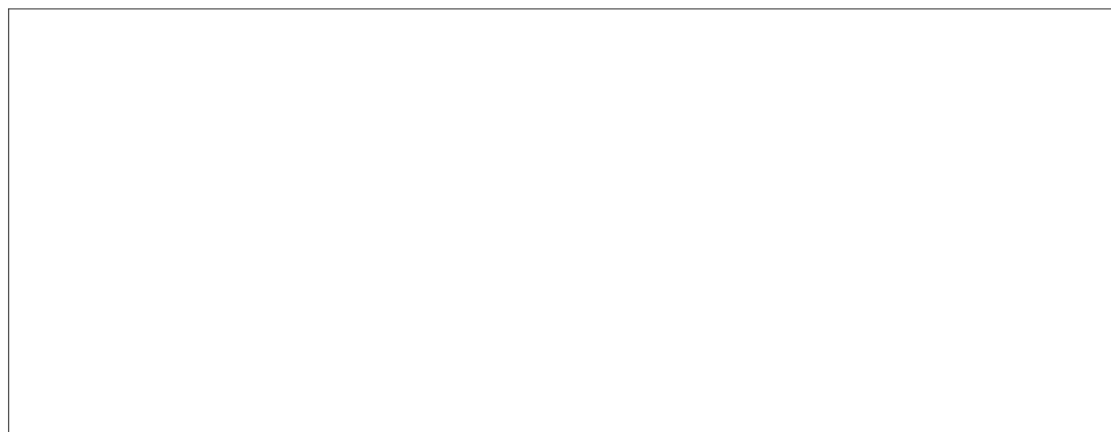
Additionally, the figures included in tables 4 and 5 are provisional since they are, at this date, still subject to audit by the Court of Auditors. It is thus possible that amounts included in these tables may have to be adjusted following this audit.

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 MARE

STATEMENT OF FINANCIAL PERFORMANCE	2018	2017
II.1 REVENUES	15,327,062.69	-85,335,947.05
II.1.1. NON-EXCHANGE REVENUES	13,458,290.94	-86,725,555.93
II.1.1.5. RECOVERY OF EXPENSES	13,458,290.94	-86,725,555.93
II.1.2. EXCHANGE REVENUES	1,868,771.75	1,389,608.88
II.1.2.2. OTHER EXCHANGE REVENUE	1,868,771.75	1,389,608.88
II.2. EXPENSES	742,710,487.81	127,024,754.49
II.2. EXPENSES	742,710,487.81	127,024,754.49
II.2.10. OTHER EXPENSES	5,567,891.64	4,912,405.89
II.2.1. EXP IMPLM BY MEMBER STATES (SH)	596,174,304.63	-73,550,639.72
II.2.2. EXP IMPLM BY COMMISS&EX.AGENC	124,730,000.76	179,362,033.75
II.2.3. EXP IMPL BY OTH EU AGENC&BODIES	16,650,055.02	16,872,300.19
II.2.6. STAFF AND PENSION COSTS	-412,214.00	-573,006.24
II.2.8. FINANCE COSTS	449.76	1,660.62
STATEMENT OF FINANCIAL PERFORMANCE	758,037,550.50	41,688,807.44



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

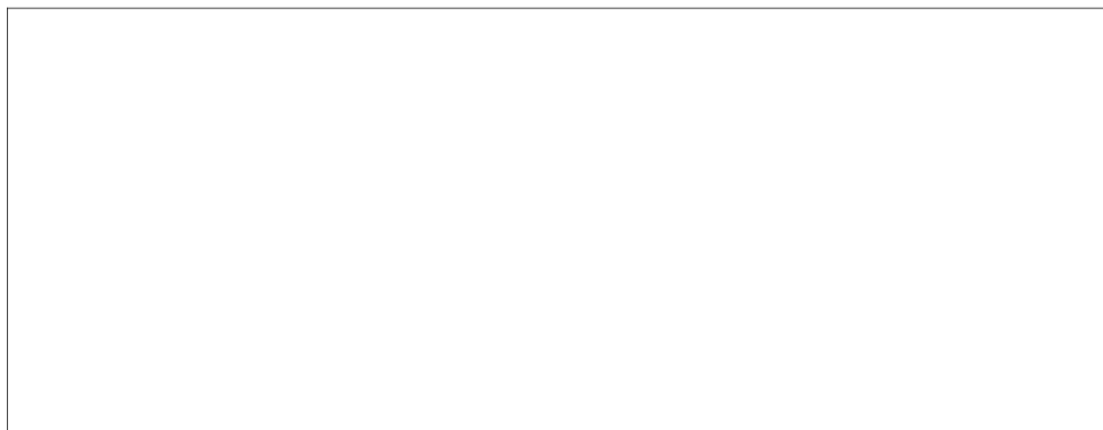
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Note : The figures are those related to the provisional accounts and not yet audited by the Court of Auditors

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TABLE 5bis : OFF BALANCE SHEET MARE

OFF BALANCE	2018	2017
OB.1. Contingent Assets	29,977.35	0
GR for pre-financing	29,977.35	0.00
OB.2. Contingent Liabilities	0	0
OB.2.7. CL Legal cases OTHER	0.00	0.00
OB.3. Other Significant Disclosures	-4,712,274,298.35	-5,615,506,072.32
OB.3.2. Comm against app. not yet consumed	-2,964,111,645.35	-2,943,519,708.32
OB.3.3.1 Structural operations	-1,701,717,697.00	-2,539,240,930.00
OB.3.3.3.Fisheries agreement	-46,444,956.00	-132,745,434.00
OB.4. Balancing Accounts	4,712,244,321	7,005,674,626.36
OB.4. Balancing Accounts	4,712,244,321.00	7,005,674,626.36
OFF BALANCE	0.00	1,390,168,554.04



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.

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TABLE 6: AVERAGE PAYMENT TIMES FOR 2018 - DG MARE

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)
3	1	1	100.00 %	1			
9	1	1	100.00 %	9			
17	1				1	100.00 %	19
19	1	1	100.00 %	8			
22	2	2	100.00 %	6.5			
24	1	1	100.00 %	12			
30	535	518	96.82 %	14.87	17	3.18 %	45.06
39	1	1	100.00 %	7			
45	8	7	87.50 %	28.71	1	12.50 %	77
60	194	185	95.36 %	26.83	9	4.64 %	81.44
90	21	18	85.71 %	55	3	14.29 %	94.67
180	27	27	100.00 %	21.33			

Total Number of Payments	793	762	96.09 %		31	3.91 %	
Average Net Payment Time	20.63			19.01			60.61
Average Gross Payment Time	30.11			24.35			171.84

Suspensions							
Average Report Approval Suspension Days	Average Payment Suspension Days	Number of Suspended Payments	% of Total Number	Total Number of Payments	Amount of Suspended Payments	% of Total Amount	Total Paid Amount
0	47	160	20.18 %	793	556,817,521.27	76.01 %	732,592,833.22

Late Interest paid in 2018			
DG	GL Account	Description	Amount (Eur)
MARE	65010100	Interest on late payment of charges New FR	449.76
			449.76

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	
61	REPAYMENT OF MISCELLANEOUS EXPENDITURE	139,583,228.66	0	139,583,228.66	139,583,228.66	0	139,583,228.66	0
65	FINANCIAL CORRECTIONS	46,715.17	272,246.97	318,962.14	46,715.17	0	46,715.17	272,246.97
66	OTHER CONTRIBUTIONS AND REFUNDS	660,773.49	0	660,773.49	650,014.71	0	650,014.71	10,758.78
Total DG MARE		140,290,717.32	272,246.97	140,562,964.29	140,279,958.54	0	140,279,958.54	283,005.75

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 Year of Origin (commitment)	Irregularity		OLAF notified		Total undue payments recovered		Total transactions in recovery context (incl. non-qualified)		% Qualified/Total RC	
	Nbr	RO Amount	Nbr	RO Amount	Nbr	RO Amount	Nbr	RO Amount	Nbr	RO Amount
2008	1	0.03			1	0.03	2	575,572.85	50.00%	0.00%
2012	1	15,330.31			1	15,330.31	1	15,330.31	100.00%	100.00%
2013							1	44,440		
2014							1	2,677,748.14		
2015	2	14,880	1	15,692.42	3	30,572.42	34	134,756,369.76	8.82%	0.02%
2016							5	302,190.17		
2017							2	254,143.87		
No Link							2	2,275.17		
Sub-Total	4	30,210.34	1	15,692.42	5	45,902.76	48	138,628,070.27	10.42%	0.03%

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	131,090.82	1	975,753.22	3	1,106,844.04	3	1,106,844.04	100.00%	100.00%
NON ELIGIBLE IN COST CLAIMS			9	839,802.23	1	135,668.82	10	975,471.05	58	215,708,933.59	17.24%	0.45%
CREDIT NOTES			10	178,779.3			10	178,779.3	17	258,010.14	58.82%	69.29%
Sub-Total			21	1,149,672.35	2	1,111,422.04	23	2,261,094.39	78	217,073,787.77	29.49%	1.04%
GRAND TOTAL			25	1,179,882.69	3	1,127,114.46	28	2,306,997.15	126	355,701,858.04	22.22%	0.65%

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

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

	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
2006	1	1	0.00 %	112,483.00	112,483.00	0.00 %
2007	1	1	0.00 %	159,763.97	159,763.97	0.00 %
2018		1			10,758.78	
	2	3	50.00 %	272,246.97	283,005.75	3.95 %

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

Total DG MARE	
---------------	--

Number of RO waivers	
----------------------	--

There are no waivers below 60 000 €

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

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

Negotiated Procedure Legal base	Number of Procedures	Amount (€)
Total		

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

Internal Procedures > € 60,000

Procedure Legal base	Number of Procedures	Amount (€)
Negotiated Procedure with at least five candidates below Directive thresholds (Art. 136a RAP)	1	68,000.00
Open procedure (FR 164 (1)(a))	1	13,042,346.00
Total	2	13,110,346.00

Additional Comments:

TABLE 13 : BUILDING CONTRACTS

Legal base	Contract Number	Contractor Name	Description	Amount (€)

TABLE 14 : CONTRACTS DECLARED SECRET

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

TABLE 15 : FPA duration exceeds 4 years - MARE

None of your FPA (if any) exceeds 4 years

ANNEX 4: Materiality criteria

I. For shared management

Assessment of management and control systems in the Member States and for the programming period 2007-2013

➤ **The assessment at closure**

At closure the Annual Control Reports were submitted as part of the closure packages. For each programme, the Directorate General carried out an in depth assessment of the information provided (in particular the audit opinion, the projected error rate covering the 2015 and 2016 expenditure and the residual risk rate communicated by the Audit Authorities and reviewed by the Commission).

As the audit authorities were required to disclose a residual risk rate calculated on the basis of the expenditure certified during the whole programming period, the residual risk rate is used as this is the best estimate of the expenditure which is not in full conformity with contractual or regulatory provisions over the lifetime of the programme.

The assessment of the relevant reports, data and other information available requires the application of professional judgement, namely when weighting contradictory information or considering abnormal statistical results. When taking into account reported corrections, the authorising officer by delegation also assesses that they are reliable based on all audit information and in particular the validation made at closure by the audit authorities and that they effectively mitigate the risks identified and that they result in a reduction in the level of the error that remains uncorrected in the population.

➤ **Materiality criteria and reservations**

Final payments are made for the closure of the programmes only when all issues are cleared.

Following the in-depth assessment of closure documents, a non-quantified reservation is made for those programmes, where either additional audit work is requested or financial corrections may need to be applied exceeding the retention (5% or less for underspent programmes of the overall allocation made at programme level). The decision on whether to issue a reservation will be made taking into account the cumulative residual risk reviewed by the Commission.

Exceptions, if any, are clearly reported and explained in the body of the Annual Activity Report. In some cases, reservations may be made at sub-programme level (priority axis or implementing bodies) when the systemic deficiencies only affect a specific component of the management and control system, not used for the other activities under the same programme.

The same approach is followed to calculate the amount at risk for programmes under reservation. For a reservation made at sub-programme level, a flat rate depending on the deficiencies identified is applied to the relevant expenditure¹⁴. No financial corrections are taken into account for the quantification of the reservation, as the financial corrections already implemented are mainly linked to expenditure declared in previous years.

➤ **Estimation of the amounts at risk at payment and at closure**

For the 2017 AAR and onwards, the risk "at payment" is estimated by applying the residual risk rate communicated by the audit authorities as part of the closure documents and validated by the Commission services to the "relevant expenditure" (i.e. payments

¹⁴ i.e. paid in the relevant year in relation to the concerned sub-programme

and the cleared pre-financing made during the reporting year).

Being at the stage of the closure of the programming period, the amount at risk at closure is equal to the risk at payment.

Assessment of management and control systems in the Member States and for the programming period 2014-2020

➤ **The assessment of each operational programme is based on the following elements:**

1. The first element is the **assessment of the effectiveness of management and control systems** carried out by the audit directorate based on all information available (i.e. opinion issued by the audit authority on the management and control systems, total error rate, results of national systems audits, results of Commission audit work and/or the European Court of Auditors, elements received from operational managers in their regular contacts with programme authorities).
2. The second element is the **assessment of legality and regularity of expenditure**, as reflected in the residual total error rate reported by the audit authorities in their Annual Control Reports (ACR). The residual total error rate is the best indicator of the corrective capacity of the programme's management and control system and represents the remaining risk present in the amounts certified in the accounts taking into account the already applied financial corrections.

The Directorate General assesses the reliability of the total error rate and the residual total error rate reported in two stages:

- Total Error Rates and Residual Total Error Rates for the accounting year 2016-2017 are confirmed which takes into account all available information and audit results assessed through desk review and, where necessary and conclusions are already available, risk-based on the spot compliance audits carried out in 2018. Following 2014-2020 legal framework, the Commission can in subsequent years (during the documents retention period) continue to carry out on the spot audits to address specific risks or programmes.
- In relation to the Total Error Rates and Residual Total Error Rates for the accounting year 2017-2018 communicated by the audit authorities by 1 March 2019, first preliminary consistency review is carried out to identify potential inconsistencies or clerical mistakes. The resulting adjusted total error rates and residual total error rates are disclosed in annex of the AAR for information purposes and to identify the need to issue additional reservations. If no error rates are reported by the audit authorities or they are not considered reliable at the date of signature of the AAR, flat rates are used (2,5 or 10% depending on the level of risk).

➤ **Materiality criteria and reservations**

The Directorate General assesses **each operational programme** in order to identify the need for reservations and corrective measures to be applied. Operational programmes with management and control systems in common can be grouped for the purpose of this assessment.

At operational programme level, reservations or partial reservations (at sub-programme level) are made in case of significant weaknesses in the Member States' management and control systems leading to a material risk to the EU budget. In practice, this means that reservations or partial reservations are made for programmes included in the categories 'limited assurance with medium risk' and 'limited assurance with high risk' (see below).

As a general rule, a programme will be put under reservation if at least one of the

following conditions applies, based on the 2017-2018¹⁵ assurance packages received in February 2019:

- a total error rate above 10%
- deficiencies in key elements of the systems, which could result in/lead to irregularities above 10% and for which no adequate corrective measures to remedy the deficiencies have yet been implemented;
- a residual total error rate above 2%;
- material issues concerning the completeness, accuracy and veracity of the accounts.

Exceptions, if any, are clearly reported and explained in the body of the AAR. In some cases, reservations may be made at sub-programme level (priority axis or implementing bodies) when the systemic deficiencies only affect a specific component of the management and control system, not used for the other activities under the same programme.

In case there is no financial impact for the reporting year (e.g. no expenditure paid) for a programme under reservation, a non-quantified reservation is made.

In addition, reputational reservations are made for deficiencies of a qualitative nature (e.g. significant systemic deficiencies or major control failures) which have a significant impact on the reputation of the Commission.

The operational programmes are classified in five categories:

- **Operational programmes not in reservation:**

- **Reasonable assurance** means that there is no material deficiency affecting key elements of the systems (only minor improvements may be needed in some cases) and there are no material issues concerning either conformity of expenditure (residual total error rate < 2%) or the accounts;
- **Reasonable assurance with low risk** of irregularities covers programmes with the existence of some deficiencies in key elements of the systems without material impact on the EU Budget; and where there are no material issues with either the legality and regularity of the expenditure (residual total error rate < 2%) or the accounts;
- **Limited assurance with medium risk** of irregularities covers programmes with deficiencies in key elements of the systems with no material risk for the EU budget (e.g. programme with a total error rate between 5% and 10% and where adequate financial corrections have been implemented);

- **Operational programmes in reservation:**

- **Limited assurance with medium risk** of irregularities covers:
 - programmes with deficiencies in key elements of the systems with a material risk for the EU budget (e.g. programme with a total error rate between 5% and 10% and where no adequate financial corrections have been implemented yet); and/or
 - programmes with material legality and regularity issues and insufficient financial corrections implemented ("residual total error rate" remains above

¹⁵ No reservation is made for cases where the Residual Error Rate for the accounting year 2016-2017 is confirmed above 2% given that additional financial corrections will be applied.

2%); and/or

- programmes with material issues concerning the completeness, accuracy and veracity of the accounts.
- o **Limited assurance with high risk** of irregularities covers:
 - programmes with widespread deficiencies in key elements of the systems with a material risk for the EU budget (e.g. programme with a total error rate above 10% and no adequate corrective measures to remedy the deficiencies have yet been implemented); and/or
 - programmes with widespread material legality and regularity issues and insufficient financial corrections implemented ("residual total error rate" remains above 2%); and/or
 - programmes with widespread material issues concerning the completeness, accuracy and veracity of the accounts.

For the calculation of the amounts impacted by a reservation, where the reservation is due to a risk estimated to be above 10%, the estimated risk rate is applied to the expenditure of the second semester while the 2017-2018 residual error rate is applied to the expenditure of the first semester, if applicable.

Where there is no financial impact for the reporting year in question (e.g. no expenditure paid) for a programme under reservation, a non-quantified reservation is made. In addition, reputational reservations are made for issues that could have a significant impact on the reputation of the Commission.

➤ **Estimation of the amounts at risk at payment and at closure**

The amounts at risk "at payment" and the error rates are calculated on the expenditure incurred from 1 July 2016 to 30 June 2017, while the risk has to be estimated on the expenditure of year 2018.

The total error rates are calculated on the expenditure incurred from 1 July 2016 to 30 June 2017, while the risks at payment and at closure have to be estimated on the expenditure of year 2018.

The risk at payment for each programme is obtained by applying to the "relevant expenditure" the residual total error rate of the accounting year 2016-2017 confirmed by the Commission services after neutralising the impact of the advances paid into financial instruments and included in the sample of audit authorities based on declared expenditure (in line with Article 127 CPR) or, when it is higher, the residual total error rate reported by the audit authorities for the accounting year 2017-2018.

The "relevant expenditure" of the Commission reporting year is equal to: payments made during the reporting year excluding new pre-financing and including the 10% retained, and including the cleared pre-financing minus the retentions released and any deductions applied in the accounts covering the expenditure of the period 1 July 2017 to 30 June 2018.

In case there is no confirmed residual total error rate for the accounting year 2016-2017, the higher residual total error rate between the one reported by the audit authorities for the accounting year 2017-2018 and a 2% flat rate is applied.

In case no error rates are reported yet by the audit authorities a 2% flat rate is used by default.

For the estimation of the amount at risk at closure, the estimated future corrections - if

any - are deducted from the amount at risk at payment.

II. For direct management

To judge the significance of weaknesses, DG MARE uses an approach based on both qualitative and quantitative criteria. Even if the amount at risk is under the materiality threshold, a reservation may still be made on qualitative grounds.

Qualitative criteria for defining significant weaknesses

For the main direct expenditure DG MARE uses an approach based on the following criteria:

- nature and scope of the weakness;
- duration of the weakness;
- existence of the weakness;
- existence of effective remedial actions to correct the weaknesses (action plans and financial corrections which have had a measurable impact).

In this respect, if a 'critical' recommendation would be issued by auditors in the context of a final audit report, provided it is accepted by the auditee, and that sufficient corrective action has not been taken to implement this recommendation, it will be considered.

For Sustainable Fisheries Partnership Agreements

Given that Fisheries Partnership Agreements provide a financial contribution principally to gain access to fishing possibilities in third countries, qualitative factors such as weaknesses detected in the functioning of the internal control system at the level of the Commission or factors which affect or are likely to affect in a significant manner the reputation of the Commission, are considered as materiality criteria.

Procurement and Grants

A combination of preventive, detective and corrective controls are embedded into the programming and planning, verification, execution and monitoring, management and reporting processes so as to ensure effective mitigation of the financial and management risks. The procurement and grant procedures are, to a large extent, subject to regulatory requirements which cannot be curtailed.

In conclusion, through the analysis of the available control results an assessment can be made of identified weaknesses and their relative impact on legality and regularity and has not unveiled any significant weakness which could have a material impact as regards the legality and regularity of the financial operations.

Quantitative criteria for defining reservations

In establishing a judgement on materiality, it is necessary to ensure that sufficient weight is given to the significance of the detected error rate in relation to the payments made in the year in question for the policy area concerned. Taking account of the fact that the programmes/contracts are multi-annual and that the Member States audited have been chosen on the basis of a risk analysis, a deficiency should materialise and a reservation should be made if the potential financial impact of errors detected by ex-post controls during the year exceeds 2% of the payments sampled for the programmes concerned **and** if the multi-annual error rate resulting from the current year and previous years' ex-post control activity account for more than 2% of the sampled payments audited for those activities.

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

EXPENDITURE IN SHARED MANAGEMENT

DG MARE distinguishes 3 main stages in the implementation of its budget under the shared management mode: (1) Negotiation and assessment/approval of spending proposals; (2) Implementation of operations (Member States); and (3) Monitoring and supervision of the execution, including ex-post controls. The tables below set out the main risks identified and related benefits for each stage. DG MARE estimates that the annual overall costs incurred amount to approximately 1% of total appropriations. This is made up of:

- The annual cost of audit work: this covers DG MARE's assessment of management and control systems in Member States, including analysis of Audit Authorities' systems reports and Annual Control Reports (ACRs), DG MARE's own audit work¹⁶ and drafting of interruption letters.
- The annual costs of DG MARE staff who carry out controls throughout the different design, implementation and monitoring phases. For the 2014-2020 period, this will include the setting-up of the management and control systems in the Member States, the checks in the designation process (sampling of national designations), and the Commission ex-ante checks of the periodic expenditure declarations (financial circuits).

¹⁶ Systems audits, re-performance of audits of operations, audits in respect of ACRs, follow-up of audit authorities, closure audits, fact finding audits, etc.

Stage 1 – Negotiation and assessment/approval of spending proposals:

Main control objectives: Ensuring the Commission adopts the actions that contribute most towards achievement of the policy objectives (effectiveness)

Main risks It may happen (again) that...	Mitigating controls	Coverage, frequency and depth of controls	Cost-effectiveness indicators
The Operational Programmes (OPs) financed do not adequately reflect the policy objectives or priorities.	Internal consultation, hierarchical validation of each OP. Inter-service consultation (including all relevant DGs) Adoption by Commission Decision, where foreseen by EU law.	Coverage / Frequency: 100%. Depth: checklist, guidelines, lists of requirements in the relevant regulatory provisions and reflection of policy objectives and priorities in position papers.	Effectiveness: - % of OPs adopted/ approved. Efficiency: - average time to adopt/ approve an OP ¹⁷ . Economy (Costs): - COM cost of control

Stage 2 – Implementation of operations (Member States):

A. Setting up of the systems

Main control objectives: ensuring that the management and control systems are adequately designed

Main risks It may happen (again) that...	Mitigating controls	Coverage, frequency and depth of controls	Cost-effectiveness indicators
The process of designation of national authorities in the Member States (MS) is not effective and, as a result, the management and control systems are not compliant with the applicable rules.	Supervision by Commission (for 2014-2020): - Commission review (and audits) of a sample of national designations. - submission of MS Audit Strategies to the Commission (on request).	Coverage / Frequency: fixed in sector-specific rules Depth: verification (desk review + audit missions where necessary) of description of management and control systems communicated by MS. Designation audits are generally done on-the-spot.	For 2014-2020: Effectiveness: - % of authorities designated. Efficiency: - number of authorities for which serious weaknesses found by designation reviews/audits (% of total checked). Economy (Costs): - COM costs of control

¹⁷ Impacted by the time required by Member States to react

B. MS controls to prevent, detect and correct errors within the declared certified expenditure

Main control objectives: ensuring that the periodic expenditure declarations submitted to the Commission for each action are legal and regular

Main risks It may happen (again) that...	Mitigating controls	Coverage, frequency and depth of controls	Cost-effectiveness indicators
<p>Periodic expenditure declarations submitted to the Commission include expenditure which is irregular or non-compliant with EU and/or national eligibility rules and legislation.</p>	<p>Management verifications: first level checks by designated/accredited programme authorities or bodies.¹⁸</p> <p>Certification, audit opinion and annual report by the relevant authorities or bodies designated/accredited.¹⁹</p>	<p>Coverage: fixed in legislation.</p> <p>Frequency: fixed in legislation.</p> <p>Depth:</p> <ul style="list-style-type: none"> - <u>management verifications</u>: performance of first-level checks (administrative (100%) and on the spot controls (sample)). - <u>certification</u>: [limited] additional verification (desk checks and on-the-spot), with where appropriate additional checks. - <u>audit opinion</u>: system audits on the checks already carried out, where necessary with re-performance of on-the-spot checks; where applicable, audits of operations (on a statistical basis) and additional substantive testing on expenditure as well as audits on the annual accounts. 	<p>Effectiveness:</p> <ul style="list-style-type: none"> - error rates as reported by the Member States. - annual audit opinions (or certificate opinions) of the Member States. <p>Efficiency:</p> <ul style="list-style-type: none"> - verifications and audits are carried out in a timely manner and in accordance with the legislative framework - adequate quality of reporting <p>Economy (Costs):</p> <ul style="list-style-type: none"> - MS costs of control

¹⁸ For Maritime affairs: Managing Authorities (MA).

¹⁹ For Maritime affairs: Certifying Authorities (CA) and Audit Authorities (AA).

Stage 3 – Monitoring and supervision of the execution, including ex-post control

Main control objectives: ensuring that the expenditure reimbursed from the EU budget is eligible and regular

Main risks It may happen (again) that...	Mitigating controls	Coverage, frequency and depth of controls	Cost-effectiveness indicators
<p>The management verifications and subsequent audits/controls by the Member States have failed to detect and correct ineligible costs or calculation errors.</p> <p>The audit work carried out by the audit/certifying authorities is not sufficient to obtain adequate assurance on the submitted declarations.</p> <p>The Commission services have failed to take appropriate measures to safeguard EU funds, based on the information it received.</p>	<p>Commission checks of periodic MS expenditure declarations.</p> <p>Commission assessment of management and control systems in the MS, in particular of work done and/or reported by the AA/PA/CB, namely:</p> <ul style="list-style-type: none"> - assessment of annual control/audit/certification report calculation of projected error rate (where applicable) and of a residual error total rate (RTER) - assessment of systems audits reports from AA/CB - own Commission audits <p>Interruptions and suspensions of payments.</p> <p>Financial corrections (implemented by Commission).</p>	<p>Coverage: verification of information provided in the annual (audit/control /certification) report and annual audit opinion.</p> <p>Frequency: annual</p> <p>Depth: desk checks and/or on-the-spot audits based on risk assessment; <u>verification</u> of the quality and reliability of the information based on Commission's own audit work; <u>'validation' and where necessary adjusting of error rates reported</u> by MS.</p>	<p>Effectiveness:</p> <ul style="list-style-type: none"> - best estimate of residual risk of error per MS. - number of programmes/MS/PA with a reported error rate assessed as reliable (and subject to an adjustment). - % of the expenditure for which the Commission can rely on the work of the AA (where applicable). <p>Efficiency:</p> <ul style="list-style-type: none"> - processing of payment applications within legal deadlines - timely assessment of the elements received from the MS throughout the control cycle. - mitigating and corrective actions taken as necessary - delivery of audit reports within legal deadlines <p>Economy (Costs):</p> <ul style="list-style-type: none"> - COM costs of control

EXPENDITURE FOR SUSTAINABLE FISHERIES PARTNERSHIP AGREEMENTS

Sustainable Fisheries Partnership Agreements (SFPAs) are negotiated and concluded by the Commission, on behalf of the European Union. Under an SFPA the EU obtains access to a third country's exclusive economic zone (EEZ) for EU vessels which may carry out fishing activities. In return, the EU provides a financial contribution. This financial contribution is paid to each partner country annually, on the basis of the provisions set by the Protocol.

Each year, the Commission identifies in its Draft Budget proposals those agreements that will be in force the following year together with possible future agreements or renewals of protocols. In 2018, the total amount committed and paid in respect of International Fisheries Agreements was respectively €89.6 million and €92.5 million. While the contributions for SFPA in force are covered by the annual allocation on the operational line, the amounts for new and renewed SFPAs are put in the reserve and only transferred to the operational line once the relevant legal basis enters into force.

The main challenge faced by the Commission in the implementation of the SFPAs and their negotiation is to ensure that the financial contribution paid by the EU budget represents a fair balance between the access to third country waters and the positive returns for the EU.

Stage 1: Choice of partner country, negotiation and adoption of SFPA protocols

Main control objectives: ensure that the financial contribution resulting from the negotiations represents a fair balance between the access to third country waters and the positive returns for the EU, ensure formal adoption of the agreements and protocols

Each agreement is negotiated under a formal mandate given to the Commission by the Council. The choice of the partner country with which the EU negotiates a new agreement, or the renewal of an existing one, is based on several factors, including a sufficient demand from the EU side (Member States and industry) and the corresponding interest of the third country in such negotiations, as well as the practicalities of the agreement and protocol proposed.

The results of the evaluations of existing protocols are taken on board in the negotiations for the renewal of agreements, more notably in relation to the level of fishing opportunities agreed upon, the relevant technical provisions applicable and the rules regarding the implementation and monitoring of the multiannual sectoral programmes.

The level of the financial contribution is based on two elements: the economic evaluation of the access by Community vessels to third country waters and fisheries resources, and the needs expressed by the partner country for supporting the implementation of a sustainable fisheries policy in its waters. A specific envelope of the financial contribution under the agreement is set aside to support the sectoral fisheries policy in the partner country.

Provided the negotiations are successful, the agreement and protocol are initialled by the Commission and the third country. This may be followed by a Council decision on provisional application and signature and conclusion. The agreements and protocols are then concluded by the Council

with the consent of the European Parliament. A specific Council regulation is adopted allocating the available fishing possibilities and providing a breakdown per Member State and per category of vessel for the quota of fishing authorisations.

Main risks It may happen (again) that...	Mitigating controls	Coverage, frequency and depth of controls	Cost-effectiveness indicators
<ul style="list-style-type: none"> - Insufficient demand from EU side (Member States and industry) or insufficient interest of third country. - Governance and sustainability of third country fisheries sector needs strengthening. 	<ul style="list-style-type: none"> - Systematic in depth ex-ante and, where appropriate, ex-post evaluation including scientific analysis of the stock situation of the targeted fishery species. - Sectoral initiatives must be undertaken by third countries in partnership with EU. 	<p>Coverage/frequency/depth: All Partnership agreements (100%).</p>	<p>Effectiveness (<i>incl. benefit of controls and their quantification if possible</i>) :</p> <ul style="list-style-type: none"> - Evaluations finalised for each Protocol prior to the negotiation process. These are shared with stakeholders and the partner country. - Recommendations of evaluation taken into account in negotiation strategies. - Number of Protocols in force. <p>Efficiency (workload and time indicators)</p> <p>Economy (cost):</p> <ul style="list-style-type: none"> - Estimation of the cost of staff involved.

Stage 2: Implementation and monitoring of the agreements

Main control objectives: ensure that the financial contribution paid by the EU budget represents a fair balance between the access to third country waters and the positive returns for the EU

Main risks It may happen (again) that...	Mitigating controls	Coverage, frequency and depth of controls	Cost-effectiveness indicators
<ul style="list-style-type: none"> - Lack of coherence between SFPA and the fishery policy of the partner country, in particular with regard to the sustainable management of fisheries. - Inadequate implementation of agreement (including fishing activity of EU vessels: delivery of licences, positioning, infringement procedures, and data collection) or inadequate implementation of agreed national sectoral programmes. - Inadequate use of resources under sectoral policy. 	<ul style="list-style-type: none"> - Establishment of Joint Committees under each SFPA with identification of priorities, jointly with Commission. - Monitoring of a number of key requirements of SFPA and protocols. Discussion during annual Joint Committee meeting (work of committee supported by preparatory technical and/or scientific meetings). - Discussion on action plan (objectives broken down in annual targets and indicators) during annual Joint Committee meeting. - Monitoring of the implementation of the agreement by fisheries attachés in the EU Delegations. 	<p>Frequency : Monitoring on a continuous basis.</p> <p>Annual revision of objectives and targets in the light of real progress on the ground by the Joint Committees</p>	<p>Effectiveness (incl. benefit of controls and their quantification if possible) :</p> <ul style="list-style-type: none"> - Agreement on annual and multi-annual plan (Matrix). <p>Efficiency (workload and time indicators)</p> <ul style="list-style-type: none"> - Fishing activity of EU vessels. - Smooth cooperation with partner country authorities. - Increased dialogue and ad hoc meetings to resolve issues. - Timely disbursement of sectoral support on basis of positive assessment of requirements. - Capacity to suspend payments in case of poor implementation of multi-annual plans <p>Economy (cost): Estimation of the cost of staff incl. fisheries attachés involved.</p>

EXPENDITURE IN DIRECT MANAGEMENT - PROCUREMENT AND GRANTS

Stage 1 – Planning, programming, evaluation and selection

A – Planning, preparation, adoption and publication of Annual Work Programme and Calls

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

Main risks It may happen (again) that...	Mitigating controls	Coverage, frequency and depth of controls	Cost-effectiveness indicators (3 E's)
<p><u>Procurement:</u> - The needs are not well defined (operationally and economically) and that the decision to procure was inappropriate to meet the operational objectives.</p> <p>- Discontinuation of the services provided due to a late contracting (poor planning and organisation of the procurement process).</p>	<p>Detailed Annual Work programme listing all the procurement/grant actions.</p> <ul style="list-style-type: none"> - Hierarchical validation within the authorising department. - Inter-service consultation, including all relevant DGs. - Adoption by the Commission. <p>Publication of contract notices in the OJ for all open procedures.</p> <p>Validation by AOSD before launching a procurement/grant process, and central (finance Unit) ex-ante control on procurement process.</p>	<p>Coverage / Frequency/ Depth: 100%.</p>	<p>Effectiveness <i>incl. benefits of controls (if quantified e.g. amounts recovered, error rate) non-quantified benefits of controls e.g fraud prevention, deterrent effect, prevention of conflict of interest:</i></p> <ul style="list-style-type: none"> - Benefits: No procedure cancelled or abandoned.
<p><u>Grants:</u> - The annual work programme does not adequately reflect the policy objectives, priorities, is incoherent and/or the essential eligibility, selection and award criteria are not adequate to ensure the evaluation of the proposals.</p>			<p>Efficiency <i>workload (e.g. number of transactions, number of audits, complexity of programmes:</i></p> <ul style="list-style-type: none"> - Time to publish <p>Economy (Costs): <i>Cost of control as a percentage of value contracted/granted.</i></p> <ul style="list-style-type: none"> - Estimation of the cost of staff involved.

B - Needs assessment & definition of needs

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

Main risks It may happen (again) that...	Mitigating controls	Coverage, frequency and depth of controls	Cost-effectiveness indicators (3 E's)
<p><u>Procurement and grants:</u></p> <ul style="list-style-type: none"> - The best offers/proposals are not submitted due to the poor definition of the tender specifications/call for proposals. 	<ul style="list-style-type: none"> - AOSD supervision and approval of specifications/call for proposal documents. 	<p>Coverage/frequency: 100% of the tenders</p> <p>Depth: above 1000 € are reviewed.</p>	<p>Effectiveness:</p> <ul style="list-style-type: none"> - Benefits: No tender/call for proposal cancelled and no litigation with third parties for open procedures. <p>Efficiency workload and time-to-indicators:</p> <ul style="list-style-type: none"> - 100% of the specifications/call for proposal documents are scrutinised. - N° of requests for clarification regarding the open tenders. <p>Economy (costs): Related cost of control as a percentage of value contracted.</p> <ul style="list-style-type: none"> - Estimation of the cost of staff involved.

C – Selection & evaluation

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

Main risks It may happen (again) that...	Mitigating controls	Coverage, frequency and depth of controls	Cost-effectiveness indicators (3 E's)
<p><u>Procurement:</u> - The most economically advantageous offer not being selected, due to a biased, inaccurate or 'unfair' evaluation process.</p>	<p>Opening committee and Evaluation committee are always appointed by the AOSD for all open procedures.</p> <p>Declaration of absence of conflict of interest by the member of the opening and evaluation committees.</p> <p>Exclusion criteria.</p> <p>Opinion by consultative committee "PEG" (Procurement Examination Group) for all the open procedures</p> <p>Standstill period</p>	<p>Coverage, frequency and depth :</p> <p>100% of the offers analysed.</p> <p>100% of the members appointed of the evaluation and opening committee.</p> <p>100% checked for all the tenders.</p> <p>100% of the open procedures.</p> <p>Applied to all tenders above Directive threshold.</p>	<p>Effectiveness:</p> <ul style="list-style-type: none"> - Selection of the most economically advantageous tenders. - Compliance with FR. - No complaints or litigation cases. - No reported cases of instructions (art. 92.3 FR) cases of derogations from the principle of non-retroactivity (art. 193.2 FR); cases of flat rates for indirect costs exceeding 7% (art. 125.3 FR) to disclose and is not concerned by cases of financing not linked to costs (new FR art 125.3); Financial Framework Partnerships >4 years (new FR art 130.4). <p>Efficiency: <i>related cost of control as a percentage of value contracted.</i></p> <ul style="list-style-type: none"> - Time-to- publication of selection results (TTP). <p>Economy (costs):</p> <ul style="list-style-type: none"> - Estimation of costs of staff involved.

Main risks It may happen (again) that...	Mitigating controls	Coverage, frequency and depth of controls	Cost-effectiveness indicators (3 E's)
<p><u>Grants:</u></p> <ul style="list-style-type: none"> - The evaluation, ranking and selection of proposals is not carried out in accordance with the established procedures, the policy objectives, priorities and/or the essential eligibility, or with the selection and award criteria defined in the annual work programme and subsequent calls for proposals. 	<p>Assignment of staff (e.g. programme officers).</p> <p>Assessment by staff (e.g. programme officers) and/or by experts from other DGs.</p> <p>Review and hierarchical validation by the AO of ranked list of proposals.</p>	<p>Coverage, frequency and depth:</p> <p>100% of Project Officers appointed.</p> <p>100% of proposals are evaluated.</p> <p>100% of ranked list of proposals. Supervision of work of evaluators.</p>	<p>Effectiveness:</p> <ul style="list-style-type: none"> - Selection of the most economically advantageous offers. - Compliance with FR. - no complaints or litigation cases. <p>Efficiency: <i>related cost of control as a percentage of value contracted.</i></p> <ul style="list-style-type: none"> - Time-to- publication of selection results (grants) (TTP). <p>Economy (costs):</p> <p>Estimation of costs of staff involved.</p>

Stage 2 – Contracting, monitoring and financial transactions

Main control objectives: Ensuring that the actions and funds allocation is optimal and that the implementation (operational, financial and reporting aspects) is in compliance with the signed contract/agreement

Main risks It may happen (again) that...	Mitigating controls	Coverage frequency and depth of controls *	Cost-effectiveness indicators (3 E's)
<p><u>Procurement:</u></p> <p>The products/services foreseen are not, totally or partially, provided in accordance with the technical description and requirements foreseen in the contract and/or 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>Coverage, frequency and depth:</p> <p>100% of the contracts are controlled, including checks on the provision of the service and the need to apply liquidated damages.</p>	<p>Effectiveness (incl. benefits of controls) :</p> <ul style="list-style-type: none"> - Irregularities, errors and overpayments prevented by controls. In the area of studies/scientific advice, DG MARE's staff carefully checks the reports sent by the contractors and provides comments and guidance to the contractor

<ul style="list-style-type: none"> - Business discontinues because contractor fails to deliver. 			<p>on the necessary improvements. This work is essential to ensure that the final product is in accordance with the terms of reference and with the policy needs. The added value of this control is difficult to estimate precisely.</p> <ul style="list-style-type: none"> - number/amount of liquidated damages. - Interruption of time limits for report approval in order to request additional information/complementary work. - Late interest payment and damages paid (by the Commission). <p>Efficiency: <i>related cost of control as percentage of amount paid.</i></p> <ul style="list-style-type: none"> - Time-to-pay (TTP) <p>Economy (Costs):</p> <ul style="list-style-type: none"> - estimation of cost of staff involved.
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<p>Grants:</p> <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>	<p>All awarded proposals lead to the signing of a grant agreement.</p> <p>Validation of beneficiaries (operational and financial viability) and planning of (mid-term and final) monitoring.</p> <p>Signature of the grant agreement by the AOSD and operational authorisation.</p> <p>In-depth financial verification.</p>	<p>Coverage/frequency:</p> <p>100% of the selected proposals and beneficiaries are scrutinised.</p> <p>Depth: 100% of draft grant agreements.</p>	<p>Effectiveness:</p> <ul style="list-style-type: none"> - 100% of actions granted. <p>Efficiency Indicators: <i>related cost of control as percentage of amount paid</i></p> <ul style="list-style-type: none"> - Time-to-Grant (TTG). <p>Economy (Costs):</p> <ul style="list-style-type: none"> - estimation of cost of staff involved
<p>Grants:</p> <ul style="list-style-type: none"> - The actions foreseen are not, totally or partially, carried out in accordance with the technical description and requirements foreseen in the grant agreement and/or the amounts paid exceed that due in accordance with the applicable contractual and regulatory provisions. 	<p>Operational and financial checks in accordance with the financial circuits.</p> <p>Operation authorisation by the AO.</p> <p>If needed: application of Suspension/interruption of payments.</p>	<p>Coverage/frequency: 100% of the projects are controlled, including only value-adding checks.</p> <p>Depth: depends from results of ex-ante controls.</p>	<p>Effectiveness:</p> <ul style="list-style-type: none"> - budget value of penalties and liquidated damages. - cost items rejected. <p>Efficiency Indicators: <i>related cost of control as percentage of amount paid</i></p> <ul style="list-style-type: none"> - Time-to-pay (TTP) <p>Economy (Costs):</p> <ul style="list-style-type: none"> - estimation of cost of staff involved

Main risks <i>It may happen (again) that...</i>	Mitigating controls	Coverage frequency and depth of controls	Cost-effectiveness indicators
<p><u>Procurement:</u></p> <ul style="list-style-type: none"> - The products/services foreseen are not, totally or partially, provided in accordance with the technical description and requirements foreseen in the contract and/or the amounts paid exceed that due in accordance with the applicable contractual and regulatory provisions. - Business discontinues because contractor fails to deliver. 	<p>Operational and financial checks in accordance with the financial circuits.</p> <p>Operation authorisation by the AO.</p>	<p>Coverage/frequency and Depth: 100% of the contracts are controlled, including checks on the provision of the service and the need to apply liquidated damages.</p>	<p>Effectiveness (incl. benefits of controls :</p> <ul style="list-style-type: none"> - Irregularities, errors and overpayments prevented by controls. <p>In the area of studies/scientific advice, DG MARE's staff carefully checks the reports sent by the contractors and provides comments and guidance to the contractor on the necessary improvements. This work is essential to ensure that the final product is in accordance with the terms of reference and with the policy needs. The added value of this control is difficult to estimate precisely.</p> <ul style="list-style-type: none"> - number/amount of liquidated damages. - Interruption of time limits for report approval in order to request additional information/complementary work. <p>Efficiency: <i>related cost of control as percentage of amount paid.</i> Time-to-pay (TTP)</p> <p>Economy (Costs): estimation of cost of staff involved. Late interest payment and damages paid (by the Commission).</p>

Main risks <i>It may happen (again) that...</i>	Mitigating controls	Coverage frequency and depth of controls	Cost-effectiveness indicators
<p>Grants:</p> <ul style="list-style-type: none"> - 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. - The beneficiary lacks operational and/or financial capacity to carry out the actions. - Procedures do not 	<p>Project Officers implement evaluators' recommendations in discussion with selected applicants. Hierarchical validation of proposed adjustments.</p> <p>Validation of beneficiaries (operational and financial viability) and planning of (mid-term and final) evaluations.</p> <p>Signature of the grant agreement by the AO.</p> <p>In-depth financial verification.</p>	<p>100% of the selected proposals and beneficiaries are scrutinised.</p> <p>100% of draft grant agreements.</p>	<p>Effectiveness:</p> <ul style="list-style-type: none"> - cost items rejected. <p>Efficiency Indicators: related cost of control as percentage of amount paid</p> <ul style="list-style-type: none"> - Time-to-Grant. <p>Economy (Costs):</p> <ul style="list-style-type: none"> - estimation of cost of staff involved
<p>Grants:</p> <ul style="list-style-type: none"> - The actions foreseen are not, totally or partially, carried out in accordance with the technical description and requirements foreseen in the grant agreement and/or the amounts paid exceed that due in accordance with the applicable contractual and regulatory provisions. 	<p>Operational and financial checks in accordance with the financial circuits. Operation authorisation by the AO.</p> <p>If needed: application of Suspension/interruption of payments.</p>	<p>100% of the projects are controlled, including only value-adding checks.</p> <p>Depth: depends from results of ex-ante controls.</p>	<p>Effectiveness:</p> <ul style="list-style-type: none"> - budget value of penalties and liquidated damages. - cost items rejected. <p>Efficiency Indicators: <i>related cost of control as percentage of amount paid</i></p> <ul style="list-style-type: none"> - Time-to-pay (TTP) <p>Economy (Costs):</p> <ul style="list-style-type: none"> - estimation of cost of staff involved

Stage 3 – Supervisory measures including audits

For all the contracts above €15.000, an ex-post publication of the beneficiaries is ensured through the Financial Transparency System (http://ec.europa.eu/budget/fts/index_en.htm). In addition, the beneficiaries of procurement contracts between €15.000 and €60.000 are published in the Official Journal.

ANNEX 6: Implementation through national or international public-sector bodies and bodies governed by private law with a public sector mission (not applicable)

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

ANNEX 8: Decentralised agencies

Name	Acronym	Policy concerned	Subsidy paid in 2018 by DG MARE
European Fisheries Control Agency	EFCA	Maritime Affairs and Fisheries – Control and Enforcement of the Common Fisheries Policy	€16.813.000

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

Study project ID	Title of the study	Study internal ID	Study overview	Study reason	Associated services	Study cost (€)	Note	Title of the deliverable
7466	Evaluation of the Protocol to the Fisheries Partnership Agreement with Morocco	L, MFF	Expenditure instrument: possible future FPA. The main purpose of the evaluation of the current Protocol is to provide information to and guide DG MARE during the negotiations in view of renewal of the Protocol.	Evaluation	Directorate-General for International Cooperation and Development, European External Action Service, Secretariat-General	69.676,0	Completed	Evaluation report: SWD(2018) 1 final - 08/01/2018 Summary: SWD(2018) 2 final of 08/01/2018 ; Study: Évaluation rétrospective et prospective du Protocole à l'accord de partenariat dans le domaine de la pêche durable entre l'Union européenne et le Royaume du Maroc
7463	Evaluation of the Protocol to the Fisheries Partnership Agreement with Cape Verde	L, MFF	Expenditure instrument: possible future FPA. The main purpose of the evaluation of the current Protocol is to provide information to and guide DG MARE during the negotiations in view of renewal of the Protocol.	Evaluation	Directorate-General for International Cooperation and Development, European External Action Service, Secretariat-General	44.885,0	Completed	Evaluation report: SWD(2018)194 final - 16/05/2018 Summary: SWD(2018)193 final - 16/05/2018; Study: Ex-post and ex-ante evaluation study of the sustainable fisheries partnership agreement between the European Union and the Republic of Cabo Verde

7467	Evaluation of the Protocol to the Fisheries Partnership Agreement with Madagascar	L, MFF	Expenditure instrument: possible future FPA. The main purpose of the evaluation of the current Protocol is to provide information to and guide DG MARE during the negotiations in view of renewal of the Protocol.	Evaluation	Directorate-General for International Cooperation and Development, European External Action Service, Secretariat-General	44.905,0	Completed	Evaluation report: SWD(2018)143 final - 25/04/2018 Summary: SWD(2018)144 final - 25/04/2018 ; Study: Évaluation rétrospective et prospective du protocole à l'accord de partenariat dans le domaine de la pêche durable entre l'Union européenne et la République de Madagascar
7520	Study on projects related the implantation of the Atlantic Action Plan	O - Other	The study will consist of a survey of projects that contribute to the implementation of the Atlantic Action Plan Communication - COM(2013) 279 final	General study	Directorate-General for Regional and Urban Policy	150.000,0	Completed	Study feeding into the mid-term review of the implementation of the Atlantic Action Plan
7521	Study on the economic benefits of marine protected areas	O - Other	It aims to explore the economic and ecosystem services benefits of marine protected areas for blue economy sectors, with emphasis on sectors other than fisheries and tourism (without excluding these). The study will identify any research already done and, where relevant, propose a methodology for such research.	General study	Directorate-General for International Cooperation and Development, Directorate-General for the Environment, Joint Research Centre	281.185,0	Completed	Study on the economic benefits of marine protected areas

7535	Which lessons learned and good practices can CISE leverage from peer-developments?	O - Other	Support the Commission in exploring relevant IT interoperability achievements enabling enhanced information sharing in USA and among other non-EEA maritime states to assess their potential to support maritime Common Information Sharing Environment (CISE) development.	General study	Directorate-General for Informatics, Joint Research Centre	239.339,8	Completed	Which lessons learned and good practices can CISE leverage from peer-developments?
7542	Review of CISE implementation	O - Other	Review process to assess the implementation of Maritime CISE and the need for further action.	General study	Directorate-General for Humanitarian Aid and Civil Protection (ECHO), Directorate-General for the Environment, Directorate-General for Migration and Home Affairs, Directorate-General for Mobility and Transport, Directorate-General for Taxation and Customs Union	325.000,0	Completed (Final report has been delivered, but yet published)	Study supporting the review of CISE
9726	Eurobarometer - EU consumer habits regarding fishery and aquaculture products		This survey aims at providing up-to-date information on how EU consumers position themselves regarding fishery and aquaculture products. The re-run of the opinion poll is aimed at continuing the series so that in the medium term it will be possible to identify which trends are	General study	Directorate-General for Communication	482.268,34	Completed	Special Eurobarometer 475 report - EU consumer habits regarding fishery and aquaculture products, Special Eurobarometer 475 Summary - EU consumer habits regarding fishery and aquaculture

			emerging in the EU market, including in terms of the role played by smart technologies and by sustainability issues.					products
7544	International Oceans Governance -Scientific Support	O - Other	The objective of the study is to analyse the state of play in ocean governance mechanisms and identify main problem areas and gaps vis a vis SDG 14 implementation in SFP countries and regions. Building on this analysis, the project will generate concrete recommendations on capacity building projects to support SDG 14 delivery.	General study	Directorate-General for International Cooperation and Development, EASME, Directorate-General for the Environment	219.899,5	Completed	International Oceans Governance -Scientific Support
7505	Ex-ante evaluation study for a new SFPA with The Gambia	L, MFF	Expenditure instrument: possible future SFPA. The main purpose of the evaluation is to provide information to and guide DG MARE during the negotiations in view of a new SFPA.	General study	Directorate-General for International Cooperation and Development, European External Action Service, Secretariat-General	44.958,0	Completed	Ex ante evaluation study of a sustainable fisheries partnership agreement between the European Union and the Republic of The Gambia

7525	Study on the availability and dissemination of DCF data	O - Other	<p>The study aims to check the implementation of the first phase of the DCF data availability platform by exploring a possible interface between Member States data collectors and (national and international) data users and also facilitating the annual reporting required from Member States. This project will also include ensuring compatibility between existing DCF databases and IT platforms at national and supra-national level, taking into account the requirements of the INSPIRE Directive. Synergies in data collection and data sharing with other platforms will also be explored (e.g. environmental data).</p>	General study	Directorate-General for the Environment	594.000,0	<p>Abandoned - The Study on the availability and dissemination of DCF data (also known as the Fish Hub study) has been terminated in May 2018 due to insufficient progress registered by that time (12 months in the process). Both parties (Commission and consortium) agreed that the objectives of the study could not be fulfilled on account of objective constraints among others and the study was closed.</p>	
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8505	Reference Points, Harvest Control Rules and Management Strategy Evaluation in Tuna RFMOs	O - Other	Reference Points, Harvest Control Rules and Management Strategy Evaluation in Tuna RFMOs	General study		149.998	Completed, but not yet published	Reference Points, Harvest Control Rules and Management Strategy Evaluation in Tuna RFMOs
7508	Study on the assessment of the EU support to the implementation of the of the Common Fisheries Policy (CFP) and Integrated Maritime Policy (IMP)	O - Other	he study aims to look for answers of the following questions: 1) What are the market failures this instrument should address?, 2) To which components of the CFP and IMP and which types of operations, should it provide public support? and 3) In which form (grants, financial instruments, legislative support)? And to which level of support?	General study		500.000,0	Abandoned	
7509	Bio-economic modelling on changes in selectivity	O - Other	The study aims to provide a basis to assess the biological and economic impacts in selectivity.	General study	EASME		Abandoned	

7514	Study on fleet renewal in the outermost regions	O - Other	The objective of the study is to assess the need for State aid for the renewal of the EU fleet in the nine outermost regions of the EU and to analyse the conditions under which aid for the purchase of new fishing vessels could be granted. The study will therefore provide a comprehensive overview of the difficulties of the EU fishing in the concerned regions, in particular in view of renewing vessels, and test a set of identified conditions in terms of CFP objectives and State aid rules.	General study		79.835,0	Completed	Study on the challenges of fleet renewal in the outermost regions of the EU , Study on the challenges of fleet renewal in the outermost regions of the EU - Executive summary
8469	Study to support impact assessment for options to reduce the level and detrimental impact of plastic from fishing		To provide a basis for an impact assessment of options at an EU level that could reduce the level and detrimental impact of plastic from fishing	Impact assessment	Directorate-General for the Environment	90.000,0	Completed	Study to support impact assessment for options to reduce the level of ALDFG
7512	Study related to the preparation of impact assessment on a new control regulation	CWP	Study related to the preparation of impact assessment on a new control regulation	Impact assessment	Directorate-General for the Environment, Secretariat-General, Legal Service	69.895,0	Completed	Assessment of the impacts of the policy options proposed for the amendment of the fishery control system

ANNEX 10: Specific annexes related to "Financial Management"

Follow-up of 2017 EFF reservation

Member State	Quantification (relevant expenditure at risk)	Reasons for Reservation	Actions taken in 2017 and status
Bulgaria	NIL	Reported error rate > 5%	RESOLVED Audit work finalised and financial corrections at closure identified.
Czech Republic	NIL	Reported error rate > 5%	RESOLVED Audit work finalised and financial corrections at closure identified.
Italy	NIL	2015 ACR not submitted in due time (revised version sent 14 March 2017). Unfinished audit work. Reported error rate in final control report > 5%	OPEN Permanent cessation: Analysis of ACR 2015 ongoing, possibly resulting in proposing a financial correction at closure. Unfinished audit work: Timeline agreed with the Member State and additional information expected to be received by end April 2019. <u>Actions to be taken:</u> To analyse the information to be received and to draw conclusions for the closure procedure.
The Netherlands	NIL	Reported error rate > 5%	RESOLVED Audit work finalised and financial corrections at closure identified.
Romania	NIL	Unfinished audit work. Reported error rate > 5%	RESOLVED Audit work finalised and financial corrections at closure identified.

Calculation of EMFF relevant expenditure for 2018 (€)

MS	Payments made in 2018	Pre-financing made in 2018	2018 Retention	Cleared Prefinancing in 2018	Retention released in 2018	Deductions made in Feb 2019 on the accounts 01/07/2017 - 30/06/2018	Adjusted deductions made in Feb 2019 on the accounts 01/07/2017 - 30/06/2018	Relevant expenditure
	(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)
	<i>as per AAR annex 3, table 2</i>	<i>as per ABAC DWH BO report on prefinancing</i>	<i>SFC2014 back-office</i>	<i>as per ABAC DWH BO report on prefinancing</i>	<i>SFC2014 back-office</i>	<i>SFC2014 back-office</i>	<i>SFC2014 back-office</i>	$= (1) - (2) + (3) + (4) - (5) - (7)$
AT	787.822	180.045	67.531	37.686	37.686	1.989	1.989	673.319
BE	6.875.740	1.079.135	644.067	0	0	882	882	6.439.790
BG	2.975.086	2.276.522	77.618	0	0	4.295	4.295	771.887
CY	5.657.241	1.026.638	514.511	0	0	452.388	452.388	4.692.727
CZ	6.122.965	804.142	590.980	0	0	204.980	204.980	5.704.822
DE	31.043.374	5.676.564	2.818.534	0	0	100.899	100.899	28.084.445
DK	5.385.988	5.385.988	0	2.452.216	2.452.216	3.053.696	0	-
EE	14.505.009	2.610.085	1.321.658	578.555	578.555	510.767	510.767	12.705.814
ES	59.811.324	30.027.900	3.309.269	0	0	498.347	498.347	32.594.346
FI	13.952.198	1.923.063	1.336.571	641.526	641.526	209.077	209.077	13.156.628
FR	87.421.445	15.199.287	8.024.684	0	0	914.382	914.382	79.332.460
GR	33.545.456	10.049.909	2.610.616	0	0	0	0	26.106.163
HR	35.693.791	6.530.825	3.240.330	0	0	942.792	942.792	31.460.504
HU	1.390.526	1.010.639	42.210	0	0	0	0	422.096
IE	17.411.007	3.815.511	1.510.611	0	0	4.981	4.981	15.101.126
IT	85.775.752	13.888.237	7.987.502	0	0	16.656.611	16.656.611	63.218.405
LT	7.062.230	1.639.723	602.501	389.167	389.167	0	0	6.025.008
LV	22.397.885	3.614.702	2.087.020	772.649	772.649	0	0	20.870.203
MT	2.085.957	584.919	166.782	24.965	24.965	0	0	1.667.820
NL	10.219.140	2.624.376	843.863	0	0	18.619	18.619	8.420.007
PL	78.126.635	13.732.023	7.154.957	0	0	22.947	22.947	71.526.622
PT	51.241.152	10.145.749	4.566.156	210.803	210.803	2.776.514	2.776.514	42.885.044
RO	21.418.570	4.353.692	1.896.098	0	0	278.169	278.169	18.682.806
SE	25.901.048	3.106.033	2.532.779	65.721	65.721	49	49	25.327.746
SI	1.957.676	641.316	146.262	0	0	0	0	1.462.622
SK	1.010.444	408.042	66.934	0	0	0	0	669.335
UK	42.273.439	6.285.154	3.998.698	431.366	431.366	1.690.648	1.690.648	38.296.335
Total	672.048.899	148.620.222	58.158.742	5.604.654	5.604.654	28.343.033	25.289.337	556.298.080

EMFF Programming period 2014-2020 – Error rates and estimated amount at risk at closure (€)

		Accounting year 2016-2017				Accounting year 2017-2018		Reporting year 2018			
MS	MCS functioning effectively ¹	Total Error Rate confirmed by EC ²	Total Error Rate without advances to financial instruments confirmed by EC	Residual Total Error Rate confirmed by EC	Residual Total Error Rate without advances to financial instruments confirmed by EC	Total Error Rate reportable by EC	Residual Total Error Rate reportable by EC	Relevant expenditure (interims+retentions-deductions)	Residual Total Error Rate (RTER) applied	Estimated amount at risk at Payment	Risk at Closure (taking into account expected additional financial corrections) ³
	(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)
	as confirmed by DG MARE audit work	as confirmed by DG MARE audit work	as confirmed by DG MARE audit work	as confirmed by DG MARE audit work	as confirmed by DG MARE audit work	as preliminarily reviewed by DG MARE	as preliminarily reviewed by DG MARE	as per SFC2014	as per Annex 4	= (8) * (9)	= (10)
AT	✓	0,53%	0,53%	0,38%	0,38%	0,06%	0,05%	673.319	0,38%	2.559	2.559
BE	✓	0,19%	0,19%	0,00%	0,00%	0,13%	0,12%	6.439.790	0,12%	7.728	7.728
BG	✓	-	-	-	-	1,44%	0,00%	771.887	2,00%	15.438	15.438
CY	✓	-	-	-	-	0,00%	0,00%	4.692.727	2,00%	93.855	93.855
CZ	✓	-	-	-	-	7,31%	0,36%	5.704.822	2,00%	114.096	114.096
DE	✓	-	-	-	-	0,06%	0,00%	28.084.445	2,00%	561.689	561.689
DK	-	1,97%	1,97%	0,48%	0,48%	0,00%	0,00%	-	0,48%	-	-
EE	✓	0,27%	0,34%	0,23%	0,29%	0,12%	0,00%	12.705.814	0,29%	36.847	36.847
ES	✓	-	-	-	-	3,84%	0,47%	32.594.346	2,00%	651.887	651.887
FI	✓	0,06%	0,06%	0,00%	0,00%	0,00%	0,00%	13.156.628	0,00%	-	-
FR	✓	0,75%	0,75%	0,51%	0,51%	6,86%	2,00%	79.332.460	2,00%	1.586.649	1.586.649
GR	✓	-	-	-	-	0,00%	0,00%	26.106.163	2,00%	522.123	522.123
HR	-	-	-	-	-	3,72%	0,20%	31.460.504	2,00%	629.210	629.210
HU	-	-	-	-	-	-	-	422.096	2,00%	8.442	8.442
IE	✓	-	-	-	-	0,13%	0,09%	15.101.126	2,00%	302.023	302.023
IT	-	-	-	-	-	-	-	63.218.405	2,00%	1.264.368	1.264.368

		Accounting year 2016-2017				Accounting year 2017-2018		Reporting year 2018			
MS	MCS functioning effectively ¹	Total Error Rate confirmed by EC ²	Total Error Rate without advances to financial instruments confirmed by EC	Residual Total Error Rate confirmed by EC	Residual Total Error Rate without advances to financial instruments confirmed by EC	Total Error Rate reportable by EC	Residual Total Error Rate reportable by EC	Relevant expenditure (interims+retentions-deductions)	Residual Total Error Rate (RTER) applied	Estimated amount at risk at Payment	Risk at Closure (taking into account expected additional financial corrections) ³
	(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)
	as confirmed by DG MARE audit work	as confirmed by DG MARE audit work	as confirmed by DG MARE audit work	as confirmed by DG MARE audit work	as confirmed by DG MARE audit work	as preliminarily reviewed by DG MARE	as preliminarily reviewed by DG MARE	as per SFC2014	as per Annex 4	= (8) * (9)	= (10)
LT	✓	0,00%	0,00%	0,00%	0,00%	0,00%	0,00%	6.025.008	0,00%	-	-
LV	✓	0,00%	0,00%	0,00%	0,00%	0,00%	0,00%	20.870.203	0,00%	-	-
MT	✓	1,21%	1,21%	0,00%	0,00%	0,00%	0,00%	1.667.820	0,00%	-	-
NL	✓	-	-	-	-	0,68%	0,68%	8.420.007	2,00%	168.400	168.400
PL	✓	-	-	-	-	0,31%	0,21%	71.526.622	2,00%	1.430.532	1.430.532
PT	✓	5,33%	5,33%	1,40%	1,40%	4,55%	1,15%	42.885.044	1,40%	600.391	600.391
RO	✓	-	-	-	-	0,34%	0,34%	18.682.806	2,00%	373.656	373.656
SE	✓	0,00%	0,00%	0,00%	0,00%	0,00%	0,00%	25.327.746	0,00%	-	-
SI	✓	-	-	-	-	0,00%	0,00%	1.462.622	2,00%	29.252	29.252
SK	-	-	-	-	-	-	-	669.335	2,00%	13.387	13.387
UK	✓	1,71%	1,71%	0,90%	0,90%	3,81%	0,07%	38.296.335	0,90%	344.667	344.667
TOTAL				0,45%	0,46%			556.298.080		8.757.199	8.757.199
					KPI 5					Risk at payment	Risk at closure
										1,57%	1,57%

^{1,2} Indicators for the application of the enhanced proportionate arrangements for period 2021-2027.

³ No future financial corrections are expected on the relevant expenditure 2018.

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

Shared management							
Ex ante controls			Ex post controls			Total	
EC total costs (in EUR)	funds managed (in EUR)*	Ratio (%):	EC total costs (in EUR)	total value verified and/or audited (in EUR)**	Ratio (%):	EC total estimated cost of controls (in EUR)	Ratio (%):
		<i>Total ex ante control cost in EUR ÷ funds managed in EUR</i>			<i>Total ex post control cost in EUR ÷ total value verified and/or audited in EUR</i>		<i>Total cost of controls ÷ funds managed</i>
4.996.700,31	695.654.679,44	0,7%	1.563.194,51	N/A	N/A	6.559.894,82	0,9%

SFPAs							
Ex ante controls			Ex post controls***			Total	
EC total cost (in EUR)	funds managed (in EUR)*	Ratio (%):	EC total costs (in EUR)	total value verified and/or audited (in EUR)	Ratio (%):	EC total estimated cost of controls (in EUR)	Ratio (%):
		<i>Total ex ante control cost in EUR ÷ funds managed in EUR</i>			<i>Total ex post control cost in EUR ÷ total value verified and/or audited in EUR</i>		<i>Total cost of controls ÷ funds managed</i>
1.706.732,70	92.467.389,89	1,8%	N/A	N/A	N/A	1.706.732,70	1,8%

Procurement and Grant							
Ex ante controls			Ex post controls			Total	
EC total cost (in EUR)	funds managed (in EUR)*	Ratio (%):	EC total costs (in EUR)	total value verified and/or audited (in EUR)	Ratio (%):	EC total estimated cost of controls (in EUR)	Ratio (%):
		<i>Total ex ante control cost in EUR ÷ funds managed in EUR</i>			<i>Total ex post control cost in EUR ÷ total value verified and/or audited in EUR</i>		<i>Total cost of controls ÷ funds managed</i>
2.838.497,97	32.874.418,29	8,6%	9.939,00	1.433.602,13	0,7%	2.848.436,97	8,7%
OVERALL estimated cost of control at COM level							
Ex ante controls			Ex post controls			Total	
EC total cost (in EUR)	funds managed (in EUR)*	Ratio (%):	EC total cost (in EUR)	total value verified and/or audited (in EUR)	Ratio (%):	EC total estimated cost of controls (in EUR)	Ratio (%):
		<i>Total ex ante control cost in EUR ÷ funds managed in EUR</i>			<i>Total ex post control cost in EUR ÷ total value verified and/or audited in EUR</i>		<i>Total cost of controls ÷ funds managed</i>
9.541.930,98	820.996.487,62	1,2%	1.573.133,51	N/A	N/A	11.115.064,49	1,4%

* Funds managed = amounts paid (relevant indicators are disclosed in the text of the AAR per control stage in accordance with the RCS)

** Ex-post controls comprise actions going beyond the mere auditing of values, including system audits and assessment of other relevant documentation

*** Protocols do not provide for any ex post controls

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

Annex 11 to be provided only if needed (optional & free content), for more details on AAR Section 2.1.3. See the Guidance for examples of such information.

ANNEX 12: Performance tables

DG MARE's main priorities for 2018 reflected the three specific objectives set out in our Strategic Plan 2016-2020, which contribute to four general objectives of the Commission, each corresponding to one of the ten priorities defined in President Juncker's political guidelines. The structure of the performance tables below reflects the **inter-linkages between the objectives (general/specific) and related indicators (impact/result)**:

General objective I: A New Boost for Jobs, Growth and Investment
Impact indicator: Employment rate population aged 20-64.
1. Specific measurement of Growth for Fisheries: MSY
2. Specific measurement of Jobs for Fisheries: Employment created and maintained with EMFF support In fisheries, aquaculture and coastal communities
3. Specific measurement of Growth for Fisheries: Profitability of the EU fishing fleet .
Specific objective 1: More sustainable and competitive fisheries and aquaculture by 2020
Result indicator 1: Volume and value of aquaculture production in the EU.
Result indicator 2: Number of Member States with an effective control system .
Specific objective 2: A sustainable blue economy generating growth, jobs and prosperity by 2020
Result indicator 1 - Blue economy: EU investment relating to the blue economy expressed as percentage of total European Structural and Investment Funds (ESIF). Estimate based on analysis of the Member States' ESIF operational programmes.
Result indicator 2: Marine Knowledge 2020 measured by the degree of use of EMODnet in terms of the number of downloads of data per month.

General objective II: A Resilient Energy Union with a Forward-Looking Climate Change Policy
Impact indicator: Share of renewable energy in gross final energy consumption.
4. Specific measurement: Share of ocean energy and offshore wind energy in the overall EU renewable energy mix.
Specific objective 2: A sustainable blue economy generating growth, jobs and prosperity by 2020
Result indicator 1a - Ocean Energy: installed capacity in offshore ocean energy .
Result indicator 1b - Offshore Wind: installed capacity in offshore wind energy .

General objective III: Towards a New Policy on Migration

Impact indicator: Rate of return of irregular migrants.

5. Specific measurement for Maritime security - **Maritime CISE**: Closing the information gap across borders and sectors to improve maritime surveillance

Specific objective 2: A sustainable blue economy generating growth, jobs and prosperity by 2020

Result indicator - Maritime security: Degree of implementation of **EUMSS**

General objective IV: A Stronger Global Actor

Impact indicator: Sustainable Development Goal 1.1.1: Proportion of population below international poverty line.

6. Specific measurement for Stronger Global Actor, Fisheries: Improvement in **global fisheries governance**, measured by the sustainable management of emblematic tuna and tuna-like species as per relevant scientific advice.

7. Specific measurement for Stronger Global Actor, Fisheries: **Fighting IUU fishing** globally measured by the number of third countries that the Commission has engaged in a dialogue with and the number of countries having addressed their deficiencies.

Specific objective 3: Sustainable fisheries worldwide and improved international governance by 2020

Result indicator 1: Conservation measures based on scientific advice adopted, for all species under the purview of **RFMOs** of which the EU is a member.

Result indicator 2: Number of **SFPAs** in force.

Result indicator 3: **Control of imports** of fisheries products in the EU.

General objective I: A New Boost for Jobs, Growth and Investment

Impact indicator: Employment rate population aged 20-64

Source of the data: Eurostat

Baseline (2014)	Latest known value (2017)	Target (2020) Europe 2020 target
69.2%	72.2%	At least 75%
Bookmark		

KPI 1. Specific measurement of Growth for Fisheries:

Economic growth potential and environmental sustainability measured by the proportion (Atlantic) or number of stocks (Mediterranean and Black Sea) that are fished at Maximum Sustainable Yield (MSY) levels

This indicator measures the potential for yield (fish catches) derived from the sustainable exploitation of marine biological resources. Fishing at Maximum Sustainable Yield means fishing at a rate such that the average long-term catches are the highest that the stock can provide over the long-term. This ensures higher and more stable revenue for fishermen. The fishing mortality rate is the annual catch divided by the annual average biomass of exploitable fish in the sea.

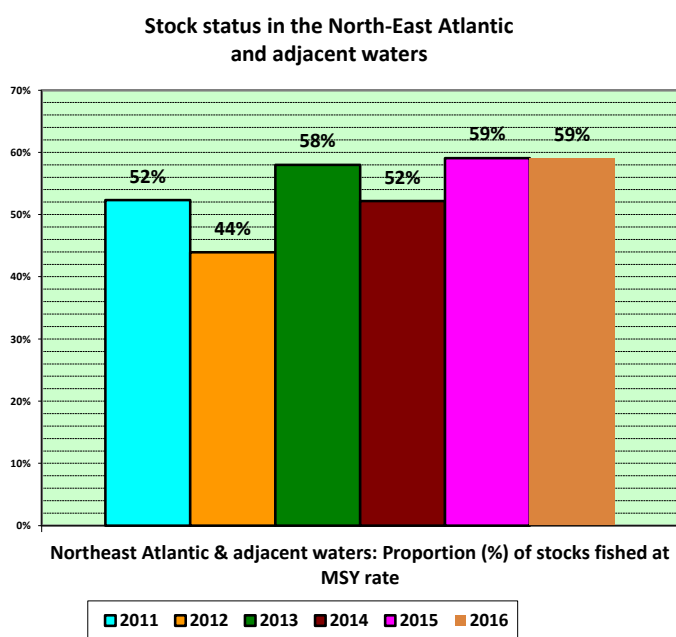
Source of data:

- For the North-East Atlantic and adjacent waters: report from the Scientific, Technical and Economic Committee for Fisheries (STECF) "Monitoring the performance of the Common Fisheries Policy", STECF-17-04, Table 3.2.
- For the Mediterranean and Black Seas, within the Working Groups of the STECF and the GFCM-SAC (General Fisheries Commission for the Mediterranean - Scientific Advisory Committee on Fisheries):
 - STECF 17-14: Stock assessments in the Black Sea 2017 (EWG 17-11, Ispra, September 2017);
 - STECF 17-15: Stock assessments in the Mediterranean Sea 2017 - Part I (EWG 17-09, Barza, September 2017);
 - STECF 18-XX: Stock assessments in the Mediterranean Sea 2017 - Part II (EWG 17-15, Barza, September 2017) – Report to be endorsed at the STECF spring plenary by March 2018;
 - GFCM Working groups on stock assessment of demersal species and small-pelagic species (Rome, November 2017) – Reports to be endorsed at the 20th session of the SAC (Marrakech, June 2018).

Baseline 2013²⁰
(updated with data available at end of 2018)

Interim milestone

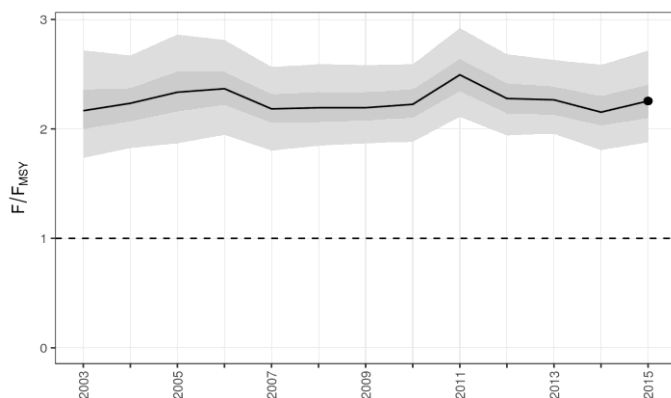
Target: by 2020 at the latest



In 2015 and in 2016 (latest available data), 59% of the exploited fish stocks (with F_{MSY} ²¹ advice) in the **North-East Atlantic and adjacent waters** were fished at Maximum Sustainable Yield.

The state of stocks managed or fished together with **Norway or in Coastal States** arrangements was similar to the state of stocks managed exclusively by the EU.

F/F_{MSY} trend in the Mediterranean and Black Seas
(source: Policy Statement for 2019 (SWD(2018)329, figure 8))



Average fishing mortality compared to MSY values (where=1 for $F=F_{MSY}$), means that the stock is fished at F_{MSY} ($F=F_{MSY}$); where >1 means that the stock is

No interim milestones have been set in EU legislation.

Exploitation at MSY rate for fish stocks by 2020.
Target set by Article 2 of Regulation (EU) No 1380/2013 of the European Parliament and of the Council of 11 December 2013 on the Common Fisheries Policy.

²⁰ Methodology used to assess the situation of fish stocks, and its outcomes: see SWD(2016) 199 accompanying the Communication from the Commission to the European Parliament and the Council – Consultation on the fishing opportunities for 2017 under the Common Fisheries Policy (COM(2016) 396).

²¹ F_{MSY} : the rate of fishing that produces the maximum sustainable yield (MSY).

classified as overfished in relation to the FMSY objective of the Common Fisheries Policy), for stocks in the Mediterranean and Black Seas .		
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Latest known results (2018)²²:

Source: Communication from the Commission to the European Parliament and the Council on the State of Play of the Common Fisheries Policy and Consultation on the Fishing Opportunities for 2019 – COM(2018)452.

According to the Scientific, Technical and Economic Committee for Fisheries (STECF)²³, in the **ICES area** (North-East Atlantic, Baltic Sea, North Sea, Irish Sea, Celtic Sea and adjacent waters), fishing mortality is decreasing steadily and the indicator value in 2016 was close to 1 (compared to 1,5 in 2003), which means that overall stock exploitation levels are, on average, close to FMSY.

In December 2018, the Council adopted 59 Total Allowable Catches (TACs) in line with Maximum Sustainable Yield (34 in Western waters, 18 in the North Sea and 7 in the Baltic Sea), compared to 53 in 2017. It is important to note that the methodology for counting TACs in line with Maximum Sustainable Yield has changed, following a decision by DG MARE Management of October 2018. The 2018 and 2019 figures are therefore not fully comparable, in real terms there were 3 additional TACs set in line with Maximum Sustainable Yield.

In terms of volume:

- In the Baltic Sea, TACs were set based on the Baltic multi-annual plan. 95% of the expected catches come from TACs set in line with FMSY and 4% from TACs with precautionary advice.
- In the North Sea, Skagerrak and Kattegat, for the FMSY assessed stocks managed by the EU alone, 99.7% of the expected landings come from TACs set in line with FMSY.
- In the North Western and South Western Waters, for the FMSY assessed stocks managed by the EU alone, this figure is 94% and 90% respectively.

In the Mediterranean and Black Sea, the trends in F/F_{MSY} show a median level that varies slightly, staying at around 2.3 from 2003 to 2015, with no decreasing trend.

In the **Mediterranean Sea**, out of 47 stocks, only around 13% (6 stocks) are not overfished: red mullet in GSA 10 (South Tyrrhenian Sea), GSA 17-18 (Adriatic Sea) and GSA 22 (Aegean Sea); European anchovy in GSA 22 (Aegean Sea); deep-water rose shrimp in GSA 9 (Ligurian and North Tyrrhenian Sea); and common cuttlefish in GSA 17 (Northern Adriatic Sea).

In the **Black Sea**, 5 out of the 6 assessed stocks remain overfished, with the exception of sprat. It is clear that further efforts are required to achieve the 2020 FMSY objective in these sea basins.

To reverse the situation in the Mediterranean and the Black Sea, the Commission has taken significant steps in 2018 (please refer to section 1.1 Fisheries conservation).

For the first time, the Council also agreed to apply for 2018 a three-month closure of **eel fisheries** to protect spawners. Furthermore, the Commission and Member States made a political commitment to reinforce the implementation of the Eel regulation and evaluate its effectiveness²⁴.

²² See also the EMFF Programme statement for the draft budget 2020.

²³ STECF-Adhoc-18-01.

²⁴ Council Regulation (EC) 1100/2007 of 18 September 2007 (OJ L 248, 22.9.2007, p. 17). The roadmap of the evaluation was published on April 2018: http://ec.europa.eu/info/law/better-mare_aar_2018_final

For **deep-sea stocks**, fishing opportunities were set in November 2016 for 2017 and 2018 and make up less than 1% of all landings in the EU. Deep-sea stocks are data or assessment limited, with the exception of Roundnose grenadier in North Western Waters, the TAC of which was set at FMSY.

For **stocks subject to Coastal States consultations** only 1 out of 10 TACs with FMSY advice is in line with FMSY, namely Atlanto-scandian herring representing 4% of the landings of all Coastal States TACs in terms of volume. Achieving FMSY by 2020 for all Coastal States stocks remains therefore a challenge.

Main outputs in 2018:

Important items from work programmes/financing decisions/operational programmes

Output description	Indicator	Target	Latest known results (situation on 31/12/2018)
Implementation of a harmonized message standard (FLUX) based on the United Nations Centre for Trade Facilitation and Electronic Business (UN/CEFACT) standard allowing automating the collection and dissemination of the fishery catch and sales data needed for sustainable fishery management and for detecting and combatting IUU fishing.	Effective installation and use of the updated electronic reporting system by the Member States as foreseen by Commission Implementing Decision (EU) 2016/1138.	May 2018	See below

Other important outputs

Output description	Indicator	Target	Latest known results (situation on 31/12/2018)
Fishing opportunities 2019:	Adoption by the Commission		
Communication from the Commission to the European Parliament and Council on the State of Play of the CFP and Consultation on the Fishing Opportunities for 2019 (so-called 'Policy Statement') (PLAN/2018/2418)		Q2 2018	COM(2018)452 and SWD(2018)329 of 11/06/2018
Proposal for a Council Regulation on fishing opportunities in the Baltic Sea for 2019 (PLAN/2017/2295)		August 2018	COM(2018)608 of 31/08/2018 Council Regulation (EU) 2018/1628 of 30/10/2018
Proposal for a Council Regulation amending Regulation (EU) 2017/1970 fixing for 2018 the fishing opportunities in the Baltic Sea.		new	COM(2018)500 of 05/07/2018

Proposal for a Council Regulation fixing for 2019 the fishing opportunities in Union waters and, for Union fishing vessels, in certain non-Union waters, for 2019 (PLAN/2018/3092)		November 2018	COM(2018)732 of 07/11/2018 Council Regulation (EU) 2019/124 of 30/01/2019
Proposal for a Council Regulation fixing for 2019 and 2020 the fishing opportunities for Union fishing vessels for certain deep-sea fish stocks (PLAN/2018/2458)		October 2018	COM(2018)676 of 09/10/2018 Council Regulation (EU) 2018/2025 of 17/12/2018
Proposal for a Council Regulation fixing for 2019 the fishing opportunities in the Black Sea (PLAN/2017/2205)		November 2018	COM(2018)710 of 24/10/2018 Council Regulation (EU) 2018/2058 of 17/12/2018
Proposal for a Council Regulation amending Regulation (EU) 2018/120 as regards fishing opportunities for European seabass (PLAN/2018/2440)		new	COM(2018)613 of 04/09/2018
Proposals for multiannual plans:	Adoption by the Commission		
Demersal stocks in Western EU waters.		Q1 2018	Proposal: COM(2018)149 of 23/03/2018 IAB Opinion: SEC(2018)196 IA summary: SWD(2018)113 IA: SWD(2018)112 Pending in Council and EP.
Demersal species in the Western Mediterranean (2016/MARE/021)		Q1 2018	Proposal: COM(2018)115 of 08/03/2018 IAB Opinion: SEC(2018)132 IA summary: SWD(2018)59 IA: SWD(2018)60 Pending in Council and EP.
Polish-Russian eel management plan in the Pregola drainage basin and Vistula Lagoon (Commission Implementing Decision) (2016/MARE/092)		Q2 2018	Cancelled: CITES decided in November 2017 not to relax the export restrictions on eels
Proposal for a Regulation of EP and Council on a multiannual recovery plan for Mediterranean		new	COM(2018)229 of 24/04/2018

swordfish (PLAN/2017/1671)			Pending in Council and EP.
Commission Delegated Regulations establishing discard plans for:	Adoption by the Commission		
Demersal fisheries in the North Sea (PLAN/2018/2428)		October 2018	C(2018)6793 of 18/10/2018
Demersal fisheries in North-Western waters for 2019-2021 (PLAN/2018/2429)		October 2018	C(2018)6789 of 18/10/2018
Demersal fisheries in South-Western waters (PLAN/2018/2430)		October 2018	C(2018)6794 of 18/10/2018
Demersal fisheries in the Mediterranean Sea		December 2018	This proposal concerns an amendment of the current discard plan.
Turbot in the Black Sea		Q4 2018	This proposal concerns an amendment of the current discard plan.
Commission Delegated Regulations amending discard plans for:	Adoption by the Commission		
Demersal fisheries in the Mediterranean Sea (PLAN/2017/2201)		Q4 2018	C(2018)6718 of 18/10/2018
Demersal fisheries (turbot) in the Black Sea (PLAN/2017/2182)		Q4 2018	No Joint Recommendation submitted by relevant Member States.
Commission Implementing Decision amending the Eel Management Plan of the Netherlands (PLAN/2018/2414)	Adoption by the Commission	new	C(2018)2153 of 16/04/2018
Commission Delegated Regulation establishing fisheries management measures in the North Sea (PLAN/2017/1031)	Adoption by the Commission	new	C(2018)1194 of 02/03/2018 Rejected by the European Parliament on 14/06/2018 ²⁵ .
Commission Report on the use of delegated powers under the CFP (PLAN/2017/1536)	Adoption by the Commission	Q1 2018	COM(2018)79 of 26/02/2018. North Sea Member States may resubmit a revised Joint Recommendation later in 2018 or in 2019.
Commission Implementing Regulation establishing the deep-sea fishing footprint in EU waters, including the	Adoption by the Commission	October 2018	Planned for Q2 2019

²⁵ EP Reference: B8-0299/2018 / P8_TA(2018)0265

establishment of a list of areas where Vulnerable Marine Ecosystems are known to occur or are likely to occur (PLAN/2018/2448)			
Commission Implementing Decisions approving the work plan of Member States for data collection in the fisheries and aquaculture sector for 2019.	Adoption by the Commission	new	2018 (1 decision per Member State)
Evaluations			
Evaluation of the entry-exit fleet scheme (PLAN/2017/1556)	Publication of the Staff Working Document	Q4 2018	Planned for Q2 2019 (postponed until the evaluation on engine power will be completed)
Pending proposals for a Regulation of the European Parliament and the Council:			
Technical measures for the protection of marine organisms (COM(2016)134). (Linked to proposal on the driftnets ban COM(2014)265)	Adoption by EP and Council	Q4 2018-2019	Trilogues on-going in 2018. Political agreement between co-legislators found on 13/02/2019.
Multi-annual plan for demersal stocks in the North Sea (COM(2016)493)		Q1 2018	Signature of the Regulation by the co-legislator on 04/07/2018. Regulation (EU) 2018/973 of 04/07/2018.
Multiannual plan for small pelagic stocks in the Adriatic Sea (COM(2017)97)		Q4 2018	EP Opinion adopted in November 2018. No developments in Council.

KPI 2. Specific measurement of Jobs for Fisheries:**Employment created and maintained with support from the European Maritime and Fisheries Fund (EMFF).**

This indicator measures the direct effects of the EMFF on employment. It does not measure changes in employment due to external factors.

Source of data:

- Member States' EMFF Annual Implementation Reports (AIRs)
- Infosys reports.

Baseline 2012-2013	Interim milestone 2017²⁶	Target 2023²⁷	Latest known results (2017)²⁸ (*)
Fisheries: 110.096 in Full Time Equivalent (FTE). Source: 2013, AER fishing fleet.	<ul style="list-style-type: none"> • 0 FTE created. • 35.910 FTE maintained. 	<ul style="list-style-type: none"> • 4.083 jobs created in FTE (jobs created represent 4% of the baseline employment). • 35.910 FTE jobs maintained. 	<ul style="list-style-type: none"> • 61 FTE created. • 1.826 FTE maintained.
Aquaculture: 34.400 FTE. Source: 2012, AER aquaculture (freshwater aquaculture is not included).	<ul style="list-style-type: none"> • 310 FTE created. • 22.462 FTE maintained. 	<ul style="list-style-type: none"> • 1.546 jobs created in FTE (jobs created represent 4% of the baseline employment). • 22.462 FTE jobs maintained. 	<ul style="list-style-type: none"> • 129 FTE created • 103 FTE maintained.
Coastal communities: 140.000 FTE. Source: no data requested in context indicators. 100% of jobs in fisheries are in coastal areas. 90% of jobs in aquaculture are in coastal Member States and at least 95% of jobs are in coastal areas.	<ul style="list-style-type: none"> • 890 FTE created. • 6.000 FTE maintained. 	<ul style="list-style-type: none"> • 4.624 jobs created in FTE due to Community-led Local Development. • 6.000 FTE jobs maintained. 	<ul style="list-style-type: none"> • 139 FTE created • 355 FTE maintained

(*) Latest known results:

Source: the Annual Implementation Reports for 2017 (AIR 2017) and Infosys reports for 2017 (Infosys 2017) submitted to the Commission in May and April 2018 respectively. They refer to cumulative EMFF implementation data until the end of 2017.

The indicator "Jobs for Fisheries" measures the direct effects of the EMFF on

²⁶ Data source: Member States' Annual Implementation Reports.

²⁷ Article 65(2) of the Common Provisions Regulation (EU) No 1303/2013: Expenditure shall be eligible for a contribution from the ESI Funds if it has been incurred by a beneficiary and paid between the date of submission of the programme to the Commission or from 1 January 2014, whichever is earlier, and 31 December 2023.

²⁸ See also the EMFF Programme statement for the draft budget 2020.

employment, i.e. jobs created and maintained with EMFF support. It does not measure changes in employment due to external factors.

Data show a large gap between the figures for 2017 and the target for 2023. The figures reported in the 2017 Annual Implementation Reports and Infosys 2017 only refer to employment figures based on fully completed operations. Operations still in progress were not included in the reporting. The basis for reporting only on completed operations is the technical guidance for Member States issued for reporting Infosys data. Previously, some Member States reported all projects regardless of the implementation stage of operations. This guidance was introduced to make data comparable across Member States. The number of completed operations (and consequently the employment numbers included in the result indicator) could be expected to increase in 2018 reports when more projects of 2017 are completed. The total number of projects in 2018 increased by nearly 100% (to 11,309) compared to the number of projects in 2016.

Main outputs in 2018:

All new initiatives and REFIT initiatives from the Commission Work Programme

Output description	Indicator	Target	Latest known results (situation on 31/12/2018)
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Post-2020 EU funds to support the implementation of the CFP and IMP (EMFF-2):

Impact assessment on the EMFF-2.	Impact assessment published as a Staff Working Document	Q2 2018	IA: SWD(2018)295 IA Board Opinion: SEC(2018)276
Proposal for a Regulation of the European Parliament and of the Council on the EMFF-2 and repealing Regulation (EU) No 508/2014 of the European Parliament and of the Council.	Adoption by the Commission (oral procedure)	End May 2018	Proposal and IA summary: COM(2018)390 of 12/06/2018; 2018/0210(COD) Pending in Council and EP.

Important items from work programmes/financing decisions/operational programmes

Output description	Indicator	Target	Latest known results (situation on 31/12/2018)
EMFF support to sustainable and competitive fisheries and aquaculture.	EMFF payment requests by EMFF Managing Authorities	2018	2018

Other important outputs

Output description	Indicator	Target	Latest known results (situation on 31/12/2018)
EFF Closure. Examination and acceptance of Member States' (MS) closure documents.	Financial closure by the Commission.	2018	2018
Designation of authorities responsible	– Completion by MS – Acceptance by	2018	2018

for EMFF implementation.	Commission Services		
Annual accounts for MS with payment claims for 2017.	<ul style="list-style-type: none"> – Completion by MS; – Examination and acceptance by the Commission. 	2018	2018
2017 EMFF Annual Implementation Reports (AIR) as per Art. 50(2) of CPR ²⁹ (including Financial Instruments, Ex-ante conditionalities, etc.).	<ul style="list-style-type: none"> – Submission by MS – Analysis by Commission Services and approval of AIR. – Follow-up of action plans for EMFF Ex-ante conditionalities by Commission Services. 	2018	2018
Commission Implementing Decision(s) on revised EMFF operational programme submitted by (some) MS.	Adoption by the Commission	<p>Q1 2018: BG, DK, IE, HU, IT, LV and PL.</p> <p>Q2 2018: BE, EE, ES and LT.</p>	During 2018 ³⁰
Progress report on the ESIF ³¹ .	Completion by the MS	2018	2018
Contribution to the Strategic Report summarising the ESIF progress reports of the MS (Art. 53(2) of CPR).	Submission to EP, Council, CoR, EESC, and debate	2018	Completed on 19/12/2018
Contribution to the Annual Summary Report of MS' AIRs (including financial instruments) (Art. 53(1) of CPR).	Transmission to EP and Council	2018	Planned for Q1 2019 (due to late submission of the latest AIR)
Commission Report on the implementation of the Common Monitoring and Evaluation System (CMES) of the EMFF	Submission to EP and Council	new	COM(2018)48 of 30/01/2018

²⁹ Common Provisions Regulation (EU) No 1303/2013.

³⁰ AT: C(2018)8858 ; BG: planned for Q1 2019 ; IT: C(2018)6576 ; BE: C(2018)1064 ; EE: C(2018)3993 ; EL: C(2018)8328 ; ES: Q3 2018 ; DE: C(2018)280 ; FI: C(2018)6598 ; HR: C(2018)3948 ; HU: C(2018)5831 ; IE: C(2018)8726 ; IT: C(2018)6576 ; LV: C(2018)828 ; MT: C(2018)8868 ; PL: C(2018)8003 ; RO: C(2018)8327 and SE: C(2018)8326.

³¹ The European structural and investment funds (ESIF) are:

- European regional development fund;
- European social fund, Cohesion fund;
- European agricultural fund for rural development;
- European maritime and fisheries fund.

(PLAN/2017/695)			
Interim evaluation of the implementation of EMFF measures under direct management (Articles 15 and 125(b) of EMFF Regulation (EU) No 508/2014 (2017/MARE/018)	Publication of the Staff Working Document	Q3-Q4 2018	Study contract extended until September 2018. Study report published in October 2018 ³² . Open public consultation launched. Staff Working Document planned for Q2 2019.

³² <https://publications.europa.eu/en/publication-detail/-/publication/1f424d68-d670-11e8-9424-01aa75ed71a1/language-en>

3. Specific measurement of Growth for Fisheries: Profitability of the EU fishing fleet.

The net profit margin (calculated as the ratio of net profit and revenues) gives an indication of the relative profitability of the fishing fleet. It reflects the short-term economic sustainability of the fishing enterprises and is an indicator of the success of the CFP in balancing fleet capacity and resources productivity.

Source of data: DCF (Data Collection Framework) data obtained from the 2015 Annual Economic Report on the EU Fishing Fleet (STECF 15-07)³³.

Baseline 2013	Interim milestone 2017	Target 2023 ³⁴	Latest known results (2017) (*)
<p>Net profit margin of the EU fishing fleet: average 8%.</p> <p>Source: 2015, Annual Economic Report of the EU fleet (based on data obtained from the latest DCF fleet economic data call).</p>	<p>Net profit margin of the EU fishing fleet: average 9%.</p> <p>Target set by DG MARE based on long-term economic projections in the impact assessment of the new basic regulation on the CFP (SEC(2011) 891, SEC(2011)892)³⁵.</p>	<p>Net profit margin of the EU fishing fleet: average 10%.</p> <p>Target set by DG MARE: idem as for interim milestone 2017.</p>	<p>Net profit margin of the EU fishing fleet:</p> <ul style="list-style-type: none"> • Updated value for 2013: 7.3% • Value in 2015: 10.9% (+3.6 percentage points compared to 2013). • Estimated value for 2017: 16.9%. <p>Source: 2018 Annual Economic Report on the EU Fishing Fleet (STECF 18-07)³⁶.</p>

(*) Latest known results:

The 2018 Annual Economic Report on the EU Fishing Fleet points to a significantly improved economic performance of the EU fishing fleet from 2009 onwards. The EU fleet registered record-high net profits of EUR 1.3 billion in 2016, a 68% increase compared to 2015.

Moreover, forecasts for 2017 and 2018 are looking positive. Continued improvements into 2016 were mainly a result of low fuel prices and higher average fish prices. The positive economic development of the EU fishing fleet is also closely linked to the sustainable exploitation of fish stocks. The report indicates that economic performance stagnates where

fleets depend on stocks that are still overfished or overexploited. Fleets that fish sustainably, ever growing in numbers, have seen dear improvements in their profitability.

Main outputs in 2018:

Important items from work programmes/financing decisions/operational

³³ https://stecf.jrc.ec.europa.eu/documents/43805/1034590/2015-07_STECF+15-07+-+AER+2015_JRC97371.pdf

³⁴ Article 65(2) of the Common Provisions Regulation (EU) No 1303/2013: Expenditure shall be eligible for a contribution from the ESI Funds if it has been incurred by a beneficiary and paid between the date of submission of the programme to the Commission or from 1 January 2014, whichever is earlier, and 31 December 2023.

³⁵ http://ec.europa.eu/smart-regulation/impact/ia_carried_out/cia_2011_en.htm#mare

The targets for 2017 and 2023 assume that fuel prices and other costs as well as the fish prices do not significantly depart from the assumptions made in the impact assessment. Results are provided aggregated at EU level and estimated as an average of a representative sample of different fleet segments and fishing regions. Achieving an average net profit margin of 10% for this sample by 2023 would ensure that the EU fleet would, on the whole, be economically sustainable and operate with a healthy profitability.

Factors such as economic growth, recovery of fish stocks, changing fuel prices, market impacts, adaptations within the sector, natural fluctuations of the stocks, fisheries management systems in place such as user rights and access to fishing grounds will be the most important elements in determining the profitability of the EU fishing fleet.

³⁶ <https://stecf.jrc.ec.europa.eu/documents/43805/2262384/STECF+18-07+-+AER.pdf>

programmes			
Output description	Indicator	Target	Latest known results (situation on 31/12/2018)
2018 STECF report on the balance between fleet capacity and fishing opportunities.	Publication of the report	Q3-Q4 2018	STECF 18-14 ³⁷
2018 STECF Annual Economic Report on the EU fishing fleet (STECF 18-07).	Publication of the report	September 2018	Published in July 2018 ³⁸ .
2018 STECF Annual Economic Report on the EU aquaculture sector (STECF 18-19).	Publication of the report	November 2018	Published in December 2018 ³⁹
2018 STECF Annual Economic Report on the EU fish processing sector (STECF 17-16).	Publication of the report	November 2018	Published in April 2018 ⁴⁰

³⁷ <https://stecf.jrc.ec.europa.eu/reports/balance>

³⁸ <https://stecf.jrc.ec.europa.eu/documents/43805/2262384/STECF+18-07+-+AER.pdf>

³⁹ https://stecf.jrc.ec.europa.eu/reports/economic/-/asset_publisher/d7Ie/document/id/2446795?inheritRedirect=false&redirect=https%3A%2F%2Fstecf.jrc.ec.europa.eu%3A443%2Freports%2Feconomic%3Fp_p_id%3D101_INSTANCE_d7Ie%26p_p_lifecycle%3D0%26p_p_state%3Dnormal%26p_p_mode%3Dview%26p_p_col_id%3Dcolumn-2%26p_p_col_pos%3D1%26p_p_col_count%3D2

⁴⁰ <https://stecf.jrc.ec.europa.eu/documents/43805/1957212/STECF+17-16+-+EU+Fish+processing+sector.pdf>

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

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

Source of the data: Eurostat

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

[Bookmark](#)

4. Specific measurement for Energy Union: Share of ocean energy and offshore wind energy in the overall EU renewable energy mix.

Steadier winds and lower disturbance than on land as well as falling costs are driving an increase in the **proportion of offshore wind in the total amount of renewable energy consumption in the EU**. A figure that is itself rising by approximately 6% a year. Towards the next decade, it is feasible for power from tidal stream and wave power to enter the EU energy mix.

DG MARE's initiatives contribute to ensure that the growth does not falter. This not only contributes to the EU's greenhouse gas emission reduction targets but also creates jobs. Direct employment in the offshore wind sector in the EU has more than doubled between 2014 and 2016, rising to 160.000 jobs.

Baseline 2013	Interim milestone 2017	Target 2020
0.54%	0.72%	1.03% The target assumes a continuing rise in renewable energy consumption of 6%, achieving the European Wind Energy Association's 'medium growth scenario' estimate of 23.5GW of installed capacity of offshore wind by 2020 and at least one tidal lagoon in addition to the tidal barrage at La Rance providing power to the grid.

Latest known results (2018):

In 2018, the **ocean energy sector** showed encouraging signs for its development with an increased number of full scale devices deployed and tested at sea and connected to the grid.

In the last 10 years, the ocean energy sector⁴¹ attracted more than €3 billion of investments, including €1 billion of public funding. The European Commission has

⁴¹ Ocean energy includes, among other, tidal range, tidal stream and wave energy.
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provided support and in particular over €250 million through its research and innovation programmes⁴².

The capacity of full scale devices deployed, tested at sea and connected to the grid was at 254 MW in 2016⁴³ (latest available data). The sector employs around 2.000 people across the whole value chain. Attracting and de-risking investment in ocean energy will contribute to a faster deployment and a larger share in the renewable energy mix. The sector is expected to deliver 100 MW of installed capacity by 2020.

By 2017, there were 15,78 MW of installed **offshore wind capacity**, an increase of 25% in one year.

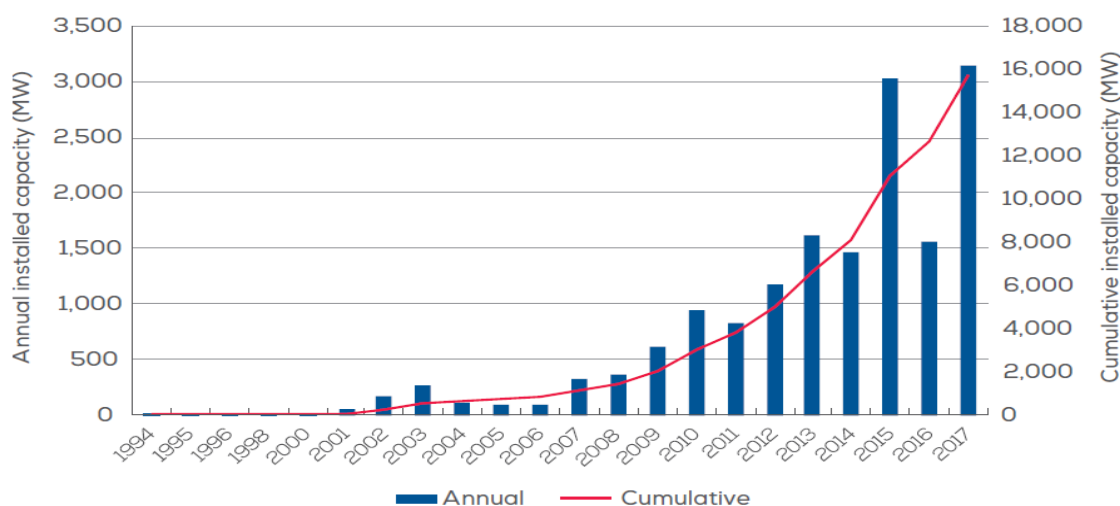
It is estimated that 80% of the EU's wind resource are in waters too deep for traditional fixed turbines. **Floating wind turbines** could extend the deployment to deeper waters such as those off the Iberian Atlantic coast or the Mediterranean. The first world floating wind farm was installed in Scotland in 2017. Several Member States (ES, FR, IE, PT, SE) have announced deployment of floating wind pilot farms in early 2020's.

Investments in the offshore wind sector are expected to reach EUR 9 billion in 2018 (data to be confirmed).

By 2020, offshore wind is projected to grow to a total installed capacity of 25 GW.

*Installed offshore wind energy **capacity** (cumulative and annual):*

Cumulative and annual offshore wind energy installation



Source: WindEurope

Main outputs in 2018: see hereafter under General Objective II – Specific objective 2 – Result indicators 1a and 1b.

General objective III: Towards a New Policy on Migration

Impact indicator: Rate of return of irregular migrants

1. Explanation: The indicator measures the total return rate (number of persons returned divided by return decisions issued by the Member States)

Source of the data: Eurostat⁴⁴, DG HOME

⁴² https://ec.europa.eu/maritimeaffairs/content/market-study-ocean-energy_en

⁴³ JRC Ocean Energy Status Report 2016: https://setis.ec.europa.eu/sites/default/files/reports/ocean_energy_report_2016.pdf

⁴⁴ Eurostat collects both the nominator and the denominator annually from the Ministries of Interior / Border Guards / Police of the Member States. The data depend very much on national circumstances

Baseline (2014)	Latest known value (2017)	Target (2020)
41.8%	41.37%	Increase
Bookmark 1 : Return decisions		
Bookmark 2 : Total number of persons returned		
2. Explanation: The indicator measures the % of effective returns to third countries (returns to third countries divided by return decisions issued by the Member States)		
Baseline (2014)	Latest known value (2017)	Target (2020)
36.2%	36.6%	Increase
Bookmark 1 : Return decisions		
Bookmark 3 : Returns to third countries		

and policies. In addition, the time lag between the return decision and its execution means that the reference population of the nominator and denominator are not the same.

5. Specific measurement for Maritime security: Closing the information gap⁴⁵ across borders and sectors to improve maritime surveillance.

The Common Information Sharing Environment for the EU maritime domain (**Maritime CISE**) is one of the strands of the European Maritime Security Strategy Action Plan. The goal is to improve the awareness picture of relevant authorities by closing the information sharing 'gap' involving maritime safety, security, environment and migration, currently estimated at ~70%. Progress will be measured by the extent to which this gap is reduced over time.

Source of data: information from the Member State Expert sub Group (MSEsG)⁴⁶.

Baseline 2013	Interim milestone 2018	Target 2020	Latest known results (2018)
The baseline consists of the 70% information sharing 'gap' identified by maritime surveillance experts (only 30% of relevant existing surveillance information is shared between authorities across sectors and borders).	The identified baseline gap is reduced by ~15% meaning that ~40% of relevant surveillance information is shared.	The identified baseline gap is reduced by ~40% meaning that ~60% of relevant surveillance information is shared. Target set by DG MARE in the Impact Assessment accompanying the CISE Communication.	Quantifiable results are expected at the end of 2019 ⁴⁷ . (*)

(*) **Latest known results:**

The objective of the **EUCISE2020** project is to refine, implement and test the technical interoperability solutions of CISE at a large scale. It will provide a good indication on the solidity of these solutions, the range and type of data exchange as well as the number of Member States' authorities willing to participate in the real data sharing. The authorities involved in EUCISE2020 are expected to continue their cooperation after the end of the project (mid-2018) in order to consolidate the interoperability solutions, and this can be supported by the EU agency EMSA. Work has been undertaken with the other DGs to determine the transitional phase for CISE. The planning was presented and discussed with the Member States in September and December 2018. It implies promoting three layers (groups) of information exchange and relevant interoperability, i.e. between EU systems, between EU and Member States' systems, and between Member States' systems across sectors and borders within the framework for CISE implementation.

In September 2018, an ad-hoc grant agreement for the implementation of the action "Promotion of interoperability between industry and competent authorities in the European Maritime Single Window (EMSW) environment under the CISE Process" was signed with EMSA, which will take the lead in the implementation of CISE's transitional phase.

Work with a consultant has been conducted to identify best practices and lessons learned from other similar initiatives developed in non-EEA countries or regions, e.g. the US and Asia in order to consolidate CISE interoperability solutions and contribute to their future

⁴⁵ The information gap analysis was carried out by the expert group in charge of the CISE project. It identified the unsatisfied cross-sectoral demand (gap) for ~500 generic maritime surveillance data elements. Depending on the sectors, the gap revealed to range between 40% and 90% of total information necessary for relevant sectors.

⁴⁶ <https://webgate.ec.europa.eu/maritimeforum/>

⁴⁷ See also the EMFF Programme statement for the draft budget 2020.

implementation. The final results have been delivered in the second trimester of 2018.

In combination with CISE, enhanced EU inter-agency cooperation on **Coast Guard Functions** will improve information exchange between relevant surveillance authorities/agencies to ensure full interoperability between different information flows and enabling services, thereby avoiding duplication of efforts and means. The agencies will be actively involved in developing the transitional phase of CISE, with EMSA in the lead role.

A qualitative assessment of data exchanges will only be available as from beginning of 2019, when a measurement can be progressively performed with the authorities involved in real data sharing. Some information will also come from the study on the CISE review to be completed in early 2019.

Main outputs in 2018: see hereafter under General Objective III – Specific objective 2 – Result indicator on Maritime security (EUMSS).

General objective IV: A Stronger Global Actor

Impact indicator: Sustainable Development Goal 1.1.1: Proportion of population below international poverty line

Source of the data: World Bank (poverty rate); UN Population Division (population weights)

Baseline (Computed on country level data from 2012 or before, drawing on World Bank data for the poverty rates, and UN Population Division data for the weights; extracted in January 2019 [November 2017] to take into account data revisions)	Interim Milestone	Latest known value (Computed on country level data from 2017 or before, drawing on World Bank data for the poverty rates, and UN Population Division data for the weights; extracted in January 2019)	Target (2030) UN Sustainable Development Goals
<p>17.1% [before: 17.0%] (including the graduated countries - Partnership countries for which bilateral assistance is phased out)</p> <p>29.5% [before: 28.4%] (excluding the graduated countries)</p> <p>For the calculation of the baseline, beneficiary countries under the Development Cooperation Instrument and European Development Fund have been taken into account. Beneficiaries under the European Neighbourhood Instrument and EU-Greenland Partnership Instrument have been excluded.</p>	<p>Rolling On course for 2030 based on annual progress report prepared by UN Secretary General.</p>	<p>14.6% (including the graduated countries - Partnership countries for which bilateral assistance is phased out)</p> <p>26.8% (excluding the graduated countries)</p>	<p>0%</p>

KPI 3. Specific measurement for Stronger Global Actor in fisheries:**Improvement in global fisheries governance, measured by the sustainable management of emblematic tuna and tuna-like species as per relevant scientific advice.**

This indicator measures to what extent some highly significant tuna and tuna-like species (Bigeye tuna, Bluefin tuna, Skipjack tuna, Yellowfin tuna, Pacific Bluefin tuna and swordfish) are fished at sustainable levels (ratio of $F_{curr}/FMSY \leq 1$ ⁴⁸) in relevant geographical areas (Atlantic Ocean, Indian Ocean and Pacific Ocean). This advice is a direct result of EU action in the relevant Regional Fisheries Management Organisation⁴⁹ for a number of years.

Source of data: Annual stock situation in scientific reports of RFMOs concerned.

Baseline 2013	Interim milestone 2017	Target 2020	Latest known results (2018)
14 out of 19 selected stocks are at sustainable levels.	15 stocks	19 stocks Target set by DG MARE.	16 out of the world's 18 (*) emblematic tuna stocks were at sustainable levels according to the relevant scientific advice. This means we have reached our intermediate target of bringing 15 stocks within safe limits by end 2017. Compared to 2017 the situation at the end of 2018 remained unchanged for the two stocks that are overfished: <ul style="list-style-type: none"> – Bigeye tuna in the Atlantic Ocean – Yellowfin tuna in the Indian Ocean. (*) The DG MARE Strategic Plan 2016-2020 refers to a total of 19 stocks. DG MARE has decided to remove swordfish which has been treated as one stock, but in reality should be looked at differently according to the oceans concerned.

⁴⁸ A stock is considered subject to overfishing if the ratio of $F_{curr}/FMSY$ is greater than 1.
 F_{curr} : current fishing rate/mortality.

$FMSY$: the rate of fishing that produces the maximum sustainable yield (MSY).

⁴⁹ RFMOs which manage highly-migratory species, mainly tuna: <http://iccat.int/en/>, <http://iotc.org/>, <https://www.wcpfc.int/>, <http://iatct.org/>, <http://www.ccsbt.org/site/>

7. Specific measurement for Stronger Global Actor, Fisheries:

Fighting IUU fishing globally measured by the number of third countries that the Commission has engaged in a dialogue with and the number of countries having addressed their deficiencies.

This indicator measures the number of third countries with whom the EU has conducted a formal dialogue and the number of countries that have implemented successfully an action plan addressing identified deficiencies.

The externalities affecting this indicator relate to the constraints linked to any international activity, and in this particular case, the domestic political situation of the concerned countries and their administrative capacities also influence their ability to reform. Achieving the target will also depend on the third countries' willingness to take the necessary steps in their action plan.

Source of data: Commission, DG MARE.

Baseline 2012-2014	Interim milestones		Target 2020 (set by DG MARE)	Latest known results (2018) (*)
	2016	2018		
Number of countries that the Commission has conducted an IUU dialogue with: 45	55 (cumulative figure)	65 (cumulative figure)	70 (cumulative figure)	60 (cumulative figure)
Number of countries having significant IUU deficiencies: 17	Number of <i>new</i> countries having significant IUU deficiencies: 5	Number of <i>new</i> countries having significant IUU deficiencies: 5	Number of <i>new</i> countries having significant IUU deficiencies: 2	Number of <i>new</i> countries having significant IUU deficiencies: 6 in 2015-2016; 2 in 2017-2018.
Number of countries that have successfully implemented an action plan: 4	8 (2015-2016)	8 (2017-2018)	All countries for which an action plan has been proposed.	Number of countries having successfully implemented the action plan: 6 in 2015-2016; 3 in 2017-2018.

(*) Latest known results:

On 1 January 2019, in total 8 countries (Kiribati, Liberia, Sierra Leone, St. Kitts and Nevis, Taiwan, Thailand, Trinidad & Tobago, Vietnam) were notified of the possibility of being identified as non-cooperating third countries in the fight against IUU fishing ("yellow card"). Of those, 2 countries (Liberia, Vietnam) were notified in 2017-2018. 3 countries (St. Vincent and the Grenadines, Comoros, Cambodia) were identified as non-cooperating ("red card"), of which 2 (St. Vincent and the Grenadines, Comoros) in 2017-2018.

Important outputs in 2018:

Output description	Indicator	Target	Latest known results (situation on 31/12/2018)
Implementation of the electronic exchange of fishery data with NEAFC based on the United Nations Centre for Trade Facilitation and Electronic	All vessel position data reporting to NEAFC in the FLUX format	Q4 2018	FLUX Transportation layer is installed in NEAFC. Tests are ongoing.

Business (UN/CEFACT) standard.			
Implementation of a prototype for the electronic exchange of fishery data with GFCM based on the United Nations Centre for Trade Facilitation and Electronic Business (UN/CEFACT) standard.	Exchange of some vessel position data and catch data in the FLUX format	Q3 2018	Testing of FLUX Transportation layer was successful. The next step is to migrate to UN/CEFACT format.
Revocations of pre-identifications: Documentation terminating the démarches vis-à-vis third countries in fighting IUU fishing pursuant to Council Regulation (EC) No 1005/2008.		2018	Letter to Tuvalu: C(2018)4459 of 18/07/2018
Commission Implementing Regulation amending Regulation (EU) No 468/2010 establishing the EU list of vessels engaged in IUU fishing.		Q3 2018	C(2018)7993 of 03/12/2018
Commission Decision of 17/09/2018 on the signature of a Joint Statement on the fight against IUU fishing between the EU and the Republic of Korea.		new	C(2018)5937 of 17/09/2018

General objective I: A New Boost for Jobs, Growth and Investment.

Specific objective 1: More sustainable and competitive fisheries and aquaculture by 2020

Related to spending programme(s)
 Programme-based: EMFF
 Non programme-based

Result indicator 1: Volume and value of aquaculture production in the EU.

This indicator measures the volume and value of EU aquaculture production. It provides an indication of the **economic performance** of the sector. Increases in volume and value will contribute to the CFP objectives (by reducing pressure on wild stocks) and to the Blue Growth strategy (by securing jobs and growth in coastal and rural areas). This is one of the common indicators in the Member States' EMFF operational programmes.

Source of data: Eurostat data; DCF data⁵⁰; The 2015 Annual Economic Report on the EU Aquaculture, STECF⁵¹, Publications Office of the EU, Luxembourg.

Baseline 2013	Milestone 2017	Target 2020	Latest known results (2016) (*)
Volume: 1.18 million tonnes.	Annual growth of +2% in 2016 and in 2017.	+10% compared to the baseline 2013. Target set by DG MARE based on: <ul style="list-style-type: none"> – long term projections in multiannual national plans for aquaculture of main producers; – the study "Long-Term Economic and Ecological Impact of Larger Sustainable Aquaculture" (European Parliament, 2014); – recent production and economic trends in the EU aquaculture production. 	Sales volume: 1.4 million tonnes in 2016 (latest available data) ⁵² . Source: Economic Report of EU aquaculture sector (STECF-18-19) ⁵³ .
Value: €3.85 billion.	Annual growth of +2,25% in 2016 and in 2017.	+17% compared to the baseline 2012. Target: see above.	Sales value: € 4.9 billion in 2016 (latest available data). Source: idem

⁵⁰ EU framework for the collection, management and use of data in the fisheries sector ("Data Collection Framework").

⁵¹ Scientific, Technical and Economic Committee for Fisheries (STECF).

⁵² Yearly intervals reported every two years (ESTAT, DCF Regulation, STECF Report).

⁵³ <https://stecf.jrc.ec.europa.eu/reports/economic>

(*) Latest known results:

Overall, the performance of the EU aquaculture sector is improving: it reached 1.4 million tonnes in sales volume and €4.9 billion in sales value in 2016. This corresponds to an increase of 6% in sales volume and 8% in the sales value compared to 2014. The economic performance of the EU aquaculture sector has been improving on almost all economic indicators in 2016 compared to 2014 and 2015. This positive economic development is seen for all the three sub-segments: marine fishes, freshwater fishes and shellfish, which are all providing positive economic growth and generating positive profits.

This year a special effort was made to provide time trends for the data.

Main outputs in 2018:**Important items from work programmes/financing decisions/operational programmes**

Output description	Indicator	Target	Latest known results (situation on 31/12/2018)
2018 EU Fish Market report.	Publication of the report	October 2018	December 2018 ⁵⁴
Renewal of the market observatory EUMOFA.	Launch of the call for tenders	March 2018	MARE/2018/11 completed in December 2018

Other important outputs

Output description	Indicator	Target	Latest known results (situation on 31/12/2018)
Interim evaluation of the open method of coordination for the sustainable development of EU Aquaculture (PLAN/2017/1068)	Publication of the Staff Working Document	Q4 2018	Planned for June 2019
Proposal for a Council Regulation establishing autonomous Union tariff quotas (ATQs) for certain fishery products for the period 2019-2020 (PLAN/2017/2200)	Adoption by the Commission	June 2018	COM(2018)625 of 14/09/2018
Commission Implementing Regulation amending Implementing Regulation (EU) No 1419/2013 concerning the recognition of producer organisations and inter-branch organisations, the extension of the rules of producer organisations and inter-branch organisations and the publication of trigger prices.	Adoption by the Commission	new	C(2018)1429 of 12/03/2018
Commission Decision on the financing of a Pilot project "EU platform for fishery and aquaculture producer organisations".	Adoption by the Commission	new	C(2018)4033 of 02/07/2018

Result indicator 2: Number of Member States with an effective control system.

⁵⁴ <https://www.eumofa.eu/>

When it identifies shortcomings in the control system of a Member State by means of verifications, autonomous inspections or audits, the Commission may establish an action plan through an implementing decision. Each action plan is established in agreement with the Member State concerned and contains a detailed and time-bound roadmap for the improvement of certain parts of the Member State's control system, based on the shortcomings identified during verifications/inspections/audits performed⁵⁵.

Source of data: Commission, DG MARE – Commission decisions establishing action plans.

Baseline December 2013	Interim milestone 2017	Target 2020	Latest known results (2018)
6 Member States (ES, MT, IT, LV, PT, FR) are under an action plan to overcome shortcomings in their fisheries control system.	5 Member States are under an action plan meaning that almost all Member States have an effective control system. All Member States that were under an action plan in 2013 have successfully fulfilled it.	No Member State is under an action plan, meaning that all Member States have an effective control system ⁵⁶ . Target: Compliance with the Control regulation and its implementing rules.	In 2018, 18 action plans have been established in total since 2011, of which 7 have been closed ⁵⁷ . Out of the remaining 11 action plans ⁵⁸ , it is expected that 9 can be closed during 2019. 2 action plans (EL, HR) were adopted recently (November 2018). It is expected that 5 new action plans will be adopted in the beginning of 2019 (MT, CY, IT, RO and BU). [will be updated, if necessary]

Main outputs in 2018:

All new initiatives and REFIT initiatives from the Commission Work Programme

Output description	Indicator	Target	Latest known results (situation on 31/12/2018)
Proposal on the revision of the Fisheries Control System (REFIT initiative).	Adoption by the Commission	April 2018	Proposal ⁵⁹ : COM(2018)368 and 2018/0193 (COD) of

⁵⁵ In addition to action plans, there are other instruments that can be used to help improving the effectiveness of the Member States (MS)' control systems. For example, EU-pilots, infringement proceedings and the interruption/suspension of EMFF payments. Hence, an update on the implementation of action plans does not always give the full picture of the state of the control systems in a MS. Besides, an action plan only covers specific parts of the MS' control systems. Consequently, the full implementation of an action plan does not mean that the entire control system is effective. At present, the interim milestone for 2017 implies 11 action plans (6 open in December 2013 and 5 additional ones). The aim is to close all those action plans before 2020. The target 2020 should be viewed bearing this in mind.

⁵⁶ In many cases, action plans only cover specific parts of a Member State's control systems. Consequently, the full implementation of an action plan does not necessarily mean that the entire control system is effective. Besides, in addition to action plans referred to in article 102.4 of the Control Regulation, there may be other enforcement instruments such as EU pilots and infringement proceedings that are used to address shortcomings in the Member States' control systems.

⁵⁷ MT C(2011)6257, ES C(2012)5305, LV C(2013)2998, IT C(2013)8635, SE(2015)1775, HR (2016)5804 and DE C(2017)2581.

⁵⁸ BG C(2014)9501, FR C(2014)3594, PT C(2014)6485, RO C(2014)9502, FI C(2015)2495, LT (2015)8204, NL C(2016)1315, BE C(2017)2805, EE C(2017)2948, EL(2018)7898 and HR(2018)7851.

⁵⁹ Proposal for a REGULATION OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL amending Council Regulation (EC) No 1224/2009, and amending Council Regulations (EC) No 768/2005, (EC) No 1967/2006, (EC) No 1005/2008, and Regulation (EU) No 2016/1139 of the European Parliament and of the Council as regards fisheries control.

			30/05/2018 IA summary: SWD(2018)279 IA: SWD(2018)280 Pending in Council and European Parliament.
Important items from work programmes/financing decisions/operational programmes			
Output description	Indicator	Target	Latest known results (situation on 31/12/2018)
Control expenditure under EMFF Regulation (EU) No 508/2014 (shared management) and Regulation (EC) No 861/2006 (direct management).	Payments	2018	Payments on track and according to deadlines
Other important outputs			
Output description	Indicator	Target	Latest known results (situation on 31/12/2018)
Impact assessment on the Fisheries Control System.	Impact assessment (IA) published as a Staff Working Document	Q1 2018	IA: SWD(2018)280 IA summary: SWD(2018)279 Opinion of the IA Board: SEC(2018)267
SCIP ⁶⁰ for certain fisheries in the Eastern Atlantic and the Mediterranean Sea (PLAN/2017/1643)	Adoption by the Commission	new	C(2017)8687 of 05/01/2018
Commission Implementing Decision establishing a single SCIP for the Baltic Sea, North Sea, Western Waters of the North East Atlantic, East Atlantic, the Mediterranean and the Black Sea (PLAN/2017/2151)	Adoption by the Commission	December 2018	C(2018)8461 of 13/12/2018
Commission Implementing Decisions establishing a fisheries control action plan for: - Croatia (PLAN/2018/3236) - Cyprus (PLAN/2018/2814) - Greece (PLAN/2018/2696) - Italy (PLAN/2018/3238) - Malta (PLAN/2018/3235)	Adoption by the Commission	new	- Croatia: C(2018)7851 - Cyprus: C(2019)1103 - Greece: C(2018)7898 - Italy: C(2019)1382 - Malta: C(2019)570

⁶⁰ Specific Control and Inspection Programme (SCIP).
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Commission Decision on the financing of a Pilot project "Control scheme for recreational catches of sea bass" for 2018.	Adoption by the Commission	new	C(2018)6042 of 25/09/2018
Commission opinion on the draft Single Programming Document for 2019-2020 of the European Fisheries Control Agency (EFCA).	Adoption by the Commission	2018	C(2018)4494 of 18/07/2018
Commission implementing Decision establishing the list of Union inspectors who may carry out inspections pursuant to Council Regulation (EC) No 1224/2009 (PLAN/2018/3239)	Adoption by the Commission	Q4 2018	C(2018)6641 of 15/10/2018

Specific objective 2: A sustainable blue economy generating growth, jobs and prosperity by 2020

Related to spending programme(s)

Programme-based: EMFF

Non programme-based

KPI 4. Result indicator related to the blue economy:

EU investment relating to the blue economy expressed as percentage of total European Structural and Investment Funds (ESIF).

An analysis of ESIF operational programmes indicated that of the 120 categories of spending, only 3 (2 on ports and one that included ocean energy) could be directly linked to the blue economy, apart from the funding that the EMFF will bring to fisheries and aquaculture and other maritime issues. The same goes for Smart Specialisation Strategies. Nevertheless, maritime projects could fit easily into many of the other categories – support to SMEs, research infrastructure, wind energy, making use of cultural or natural heritage to enhance attractiveness for tourism etc. Initial estimates suggest about 3% of total structural and investment funding could be spent on maritime issues. DG MARE has been raising awareness of these opportunities through events in all the sea basins and now the work has been taken up by regional and national administrations in the countries concerned.

Source of data: Reports sent by Management Authorities and accessed through Infoview.

Baseline 2015	Interim milestone 2017	Target 2023	Latest known results (2018) (*)
3% of total Source: estimate based on analysis of the Member States' ESIF operational programmes.	4% of total	5% of total Target set by DG MARE.	The latest information suggests that spending in these areas is lower than the 2017 milestone of 4% (cf. Annual Activity Report 2016). The mid-term review of the DG MARE Management Plans 2017 and 2018 revealed that at present it is not possible to estimate the proportion with any reliability because the Managing Authorities do not provide this information to the Commission. This would require a sampling of Managing Authorities which is not planned for the near future.

(*) Data reliability is low. 46 indicators are used to monitor the European Regional Development Fund but none is exclusively maritime (linked to the blue economy). Estimates were based on the assumption that a certain proportion of categories for intervention (e.g. research infrastructure) would be maritime. It could be expected that the percentage is higher in the Mediterranean because the Member States' operational programmes allocate a higher proportion to tourism and a large part of this will be coastal.

Main outputs in 2018:

All new initiatives and REFIT initiatives from the Commission Work

Programme			
Output description	Indicator	Target	Latest known results (situation on 31/12/2018)
Plastic Strategy implementation.	Call for EMFF projects on marine litter removal solutions launched	Q3 2018	Proposal for a Directive on the reduction of the impact of certain plastic products on the environment Brussels - COM(2018) 340 and 2018/0172 (COD) of 28/05/2018 (DG ENV in the lead). Contribution from DG MARE on fishing gear.
Other important outputs in 2018			
Output description	Indicator	Target	Latest known results (situation on 31/12/2018)
Skills development for the blue economy.	Industry-led platform on skills in maritime technologies launched	Q1 2018	The MATES platform ⁶¹ was launched in January 2018
	Calls for Blue Careers programme launched	Q3 2018	EASME call launched on 23/10/2018
Blue Data network for Business.	EMODnet business expert group concluded, EMODnet services for business launched	Q2 2018	First meeting of expert group held. Meetings with business groupings held.
Investment in the Blue Economy:		Q3 2018	
Assistance mechanism	Contract awarded		Receipt of tenders prolonged to 09/11/2018 ⁶²
Investment platform.	Market study completed, proposal finalised		Projects on-going (target: 500)
Blue Invest Strategy	Matchmaking event between investors and start-ups + closed meeting with investors Partnership agreements with investors, blue invest missions, sea-basin events, etc.	Q3-Q4 2018	Blue Invest 2018 on 17/05/2018 in Brussels: 40 visitors (target achieved). Blue Invest session at the Atlantic Stakeholder Forum on 23-24/10/2018, Vigo.
Blue Economy Financing Principles - Commitment by financial industry.	Endorsement by a sufficient number of financial institutions at the World Ocean Summit	Q1 2018	Declaration of the Sustainable Blue Economy Finance Principles, March 2018 ⁶³ . Official launch of the Principles with 18

⁶¹ <https://projectmates.eu/>

⁶² <https://ec.europa.eu/easme/en/tender/10556/assistance-mechanism-investment-blue-economy>

⁶³ https://ec.europa.eu/maritimeaffairs/sites/maritimeaffairs/files/declaration-sustainable-blue-economy-finance-principles_en.pdf

			signatories at the Our Ocean Conference 2018 (29-30/10/2018, Bali)
Mid-term review of the implementation of the Atlantic Action Plan (COM(2013)279)	Publication of the Staff Working Document	Q1 2018	SWD(2018)49 of 23/02/2018
Blue Growth agenda for the Black Sea.	Ministerial declaration towards a maritime agenda.	Q2 2018	Declaration endorsed by all Black Sea coastal countries on 31/05/2018
Burgas Vision Paper: A Blue Growth Initiative for Research and Innovation in the Black Sea.	Vision paper on research and innovation.		Process facilitated by the Commission and vision paper endorsed by the lead marine research institutes in all Black Sea coastal countries, incl. Moldova on 31/05/2018
Blue Bioeconomy Forum.	Forum takes place	April – October 2018	April 2018: kick-off 22/10/2018, Brussels: Commission’s High-Level Bioeconomy Day 07/12/2018, Amsterdam: Blue Bioeconomy Forum Stakeholder event
Annual Economic Report on Blue Economy.	Publication of the report	Q2 2018	Report published on 27/06/2018 ⁶⁴
Study on the economic benefits of Marine Protected Areas.	Publication of the study	new	Report published on 04/09/2018 ⁶⁵
Commission Decision on the financing of the Pilot Project "Ocean Literacy for All" for 2018.	Adoption by the Commission	new	C(2018)4455 of 16/07/2018
Commission Decision on the financing for 2018 of the Pilot Project "Manual of good practices for cruises".	Adoption by the Commission	new	C(2018)8875 of 18/12/2018

⁶⁴ <https://ec.europa.eu/jrc/en/news/566-billion-and-growing-eu-blue-economy-thriving>

⁶⁵ <https://publications.europa.eu/en/publication-detail/-/publication/dbe3d250-b0b5-11e8-99ee-01aa75ed71a1/language-en/format-PDF/source-search>

Result indicator 2: Marine Knowledge 2020

Improvement in marine knowledge measured by the degree of use of the European Marine Observation and Data Network (EMODnet) in terms of the number of downloads of data per month.

By making marine data more available and interoperable, EMODnet reduces uncertainties on the behaviour of the sea, which allows for innovation and productivity in the blue economy. The trends in data usage are at present the best way to measure progress.

Source of data: Annual Reports from EMODnet secretariat: <http://www.emodnet.eu/>

Baseline 2014	Interim milestone 2017	Target 2020	Latest known results (*)
1.700 downloads of data per month ⁶⁶ .	12.000 downloads of data per month.	17.000 downloads of data per month. Target set by DG MARE.	EMODnet is hosted by the Flanders Marine Institute (VLIZ) ⁶⁷ since 2016. There is full coverage of European seas. It has improved forecasting of storm surges in the North Sea. 2018 statistics show a steady to positive trend in the use of EMODnet, in the level that comparison can be made (**) ⁶⁸ .

(*) Latest known results (2018):

Since 2016, businesses, researchers and other stakeholders have reported that the availability of quality-assured data is saving time and therefore money. The number of visitors to the central portal and the bandwidth of data delivered have remained in high levels in 2018.

A Memorandum of Understanding has been discussed and is under preparation with the Copernicus marine service to establish permanent and bilateral collaboration in providing open marine data. An EU-China marine data cooperation has been prepared, in collaboration with the Chinese National Information Centre and it is planned to be officially signed in 2019. The Marine Knowledge expert group, advising on the further development of EMODnet, with particular emphasis on business, has had three meetings in 2018 (two more planned for 2019). A number of sector-by-sector consultations also took place in 2018, with representatives from wind energy, aquaculture, oil and gas, algae production, etc. to identify needs for data and potential for bilateral collaborations.

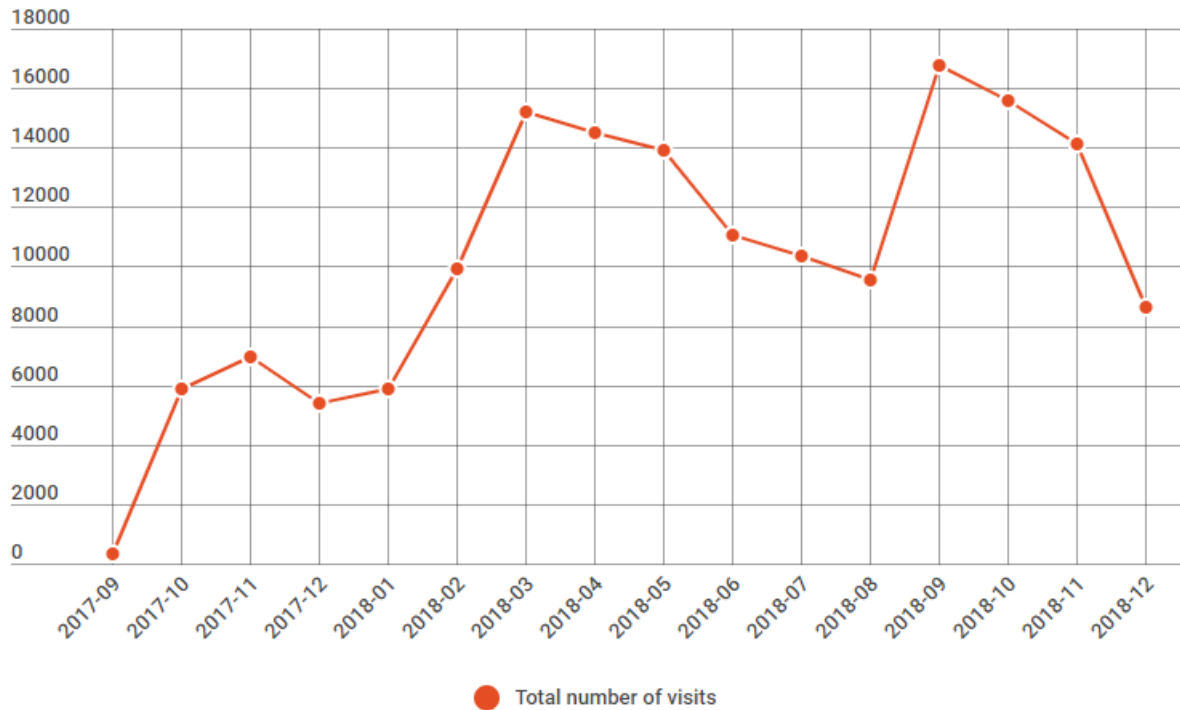
(**) Previously, the monthly number of downloads was used to measure progress but this has become impractical because of the inhomogeneity of the different thematic groups. Physical parameters are downloaded frequently in small quantities. Topographic maps are downloaded less frequently but in larger quantities. It was decided to separate the metric between number of visitors and bandwidth of downloads. Additionally, it is important to note that both the statistical methods and sources of information have changed from 2017 to 2018, in order to improve the quality of the used indicators. Nevertheless, this means that direct comparison of the results is not possible.

⁶⁶ First EMODnet annual report, September 2013-August 2014: <https://webgate.ec.europa.eu/maritimeforum/en/node/3644>

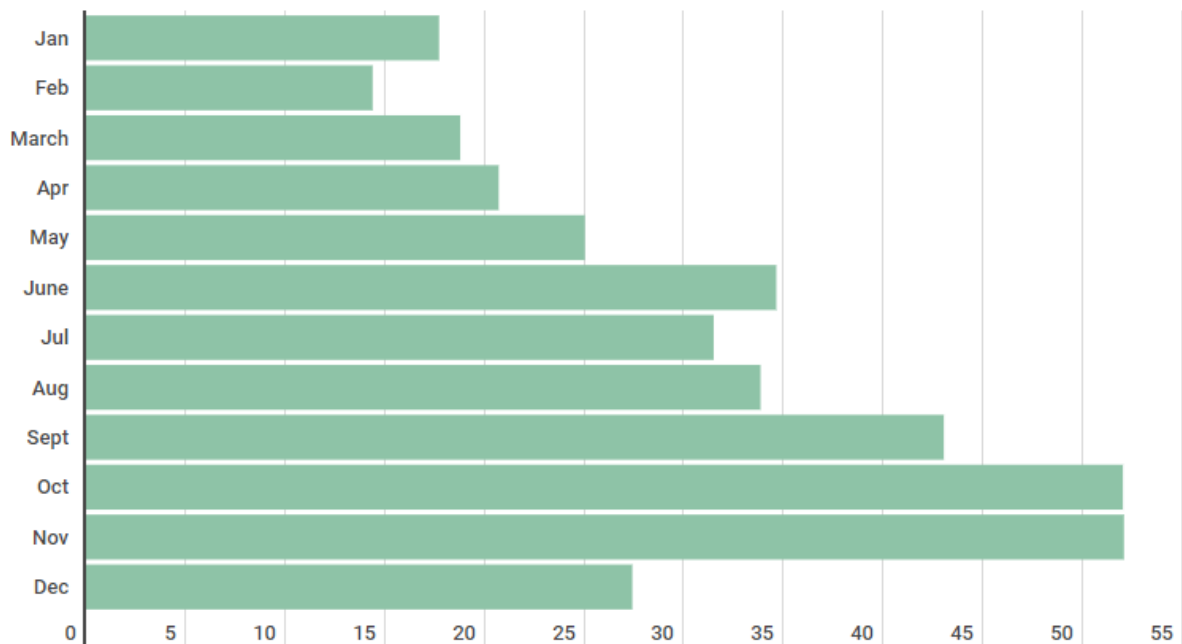
⁶⁷ C(2016)475

⁶⁸ See also the EMFF Programme statement for the draft budget 2020.

Number of visits
(16,752 in September 2018)



Bandwidth of downloads in Central Portal 2018
(52 Gbytes in October and November 2018)



Important outputs in 2018

Output	indicator	Target	Latest known results (situation on 31/12/2018)

Setting up of a Marine Knowledge Expert Group.	Number of meetings per year	2 meetings per year	Meetings on 19/01/2018 and 12/09/2018 ⁶⁹
European Ocean Observing System (EOOS) Conference, 21-23 November 2018, Brussels ⁷⁰	Number of participants	200	300
Budget from Foreign Policy Instrument agreed for marine data sharing project with China.	Joint project agreed	Agreement to be signed in summer 2019	Terms of reference for the agreement in nearly final stage. Budget for the action: €3.5M
New features in EMODnet.	Maps of marine plastic and vessel density	On-line in March 2019	The work is streamlined and the deliverables are expected on time.
Evaluation of EMODnet.	Publication of the Staff Working Document	July 2018	Contract started in July 2018. This will delay the Staff Working document until Q2 2019.

⁶⁹ <https://webgate.ec.europa.eu/maritimeforum/en/frontpage/161>

⁷⁰ <https://webgate.ec.europa.eu/maritimeforum/en/node/4123>

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

Specific objective 2: A sustainable blue economy generating growth, jobs and prosperity by 2020

Related to spending programme(s)
 Programme-based: EMFF
 Non programme-based

Result indicator 1a - Ocean Energy: installed capacity in offshore ocean energy.

Ocean energy includes, among others, tidal range, tidal stream and wave energy. It is a relatively new renewable energy sector. Current capacity is limited but substantial growth is expected by 2020.

Source of data: Ocean Energy Europe, the trade association for ocean energy.

Baseline 2010	Interim milestone 2017	Target 2020	Latest known results
250MW of ocean energy capacity installed (240MW of tidal range, 10MW tidal stream and wave).	271MW of ocean energy capacity installed.	848MW of ocean energy capacity installed (includes tidal range, tidal stream, wave, OTEC and salinity gradient technologies, pipeline analysis by OEE). Source of the target: JRC ⁷¹ .	254 MW. Source: JRC Ocean Energy Status Report 2016 ⁷² . (latest available data)

Main outputs in 2018: see below.

⁷¹ JRC Ocean Energy Status Report – 2014 Edition: <https://ec.europa.eu/jrc/en/publication/eur-scientific-and-technical-research-reports/2014-jrc-ocean-energy-status-report>.

Please note that market uptake does not correspond to the targets set in the National Renewable Energy Action Plans (NREAPs), so that the ocean energy industry has reduced its deployment forecasts for 2020 from 848 MW to 350 MW.

⁷² JRC Ocean Energy Status Report – 2016 Edition: <https://ec.europa.eu/jrc/en/publication/eur-scientific-and-technical-research-reports/jrc-ocean-energy-status-report-2016-edition>

Result indicator 1b - Offshore Wind: installed capacity in offshore wind energy.

Offshore wind is a major driver for the marine economy and a bellwether for the health of emerging maritime industries. Its strong growth is driving down costs and has the potential to deliver growth in other sectors of the blue economy such as port handling and aquaculture.

Source of data: Data are obtained from the European Wind Energy Association (WindEurope).

Baseline 2010	Interim milestone 2017	Target 2020	Latest known results (2017)
2,946MW of installed offshore wind capacity.	18,000MW of installed offshore wind capacity.	23,500MW of installed offshore wind capacity (central scenario, estimate by EWEA). Source of target: DG MARE based on study results of March 2015 ⁷³ .	15,780 MW installed capacity in 2017. 3,1 MW of new offshore wind capacity installed in 2017. This is twice as much as in 2016. Source: WindEurope

Main outputs in 2018: see below.

Result indicator 1a - Ocean Energy: installed capacity in offshore ocean energy**Result indicator 1b - Offshore Wind: installed capacity in offshore wind energy****Main outputs in 2018:****Important items from work programmes/financing decisions/operational programmes**

Output description	Indicator	Target	Latest known results (situation on 31/12/2018)
Increase knowledge on environmental monitoring and possible impacts.	Number of companies and Member State authorities participating in the call for proposals	Q2 2018	2 projects awarded on 25/06/2018 and contracted in November 2018 with participants from 9 Member States ⁷⁴ .

⁷³ Offshore wind in Europe – Walking the tightrope to success, Ernst & Young et Associés, March 2015: <http://www.ewea.org/fileadmin/files/library/publications/reports/EY-Offshore-Wind-in-Europe.pdf>

⁷⁴ <https://ec.europa.eu/easme/en/news/clean-ocean-energy-2-new-projects-share-15-million-european-maritime-and-fisheries-fund-emff>

General objective III: Towards a New Policy on Migration

Specific objective 2: A sustainable blue economy generating growth, jobs and prosperity by 2020

Related to spending programme(s)

Programme-based: EMFF

Non programme-based

Result indicator - Maritime security: Degree of implementation of the EU Maritime Security Strategy (EUMSS).

The revised EUMSS Action Plan (EUMSS AP) contains 90 actions, including both horizontal and regional activities. One of the main deliverables for DG MARE is constituted by information sharing, in particular the Common Information Sharing Environment (CISE). The goal is to measure the overall implementation of the EUMSS-**Rolling Action plan** in %.

Source of data: EUMSS-AP Implementation report.

Baseline year 2014	Interim milestone 2016	Target (Rolling plan)	Latest known results (2018)
0%	5-10%	100%	The EUMSS Action Plan adopted in 2014 included 134 actions.
Source: EUMSS-Action Plan Implementation Report.		Target set by the Council of the EU.	Two implementation reports (2016 and 2017) concluded that progress has been achieved, in particular in terms of civilian-military cooperation and on Coast Guard cooperation. On 26/06/2018, the General Affairs Council endorsed an update of the Action Plan (Council ref. 10494/18). The revised Action Plan includes 90 actions covering both horizontal and regional activities. It is expected to be a rolling plan, subject to regular assessment, implementation and reporting.

Main outputs in 2018:

Important items from work programmes/financing decisions/operational programmes

Output description	Indicator	Target (2018)	Latest known results (situation on 31/12/2018)
Study to identify best practices and lessons learned from other similar large scale initiatives developed in non-EEA countries or regions, e.g.	Final report	May 2018	Study concluded and published.

the US and Asia.			
Study reviewing the CISE initiative (PLAN/2018/4636)	Final report and Staff Working Document on the results of the review	December 2018	Planned for Q2 2019
Ad-hoc grant to support EMSA in facilitating (through a dedicated project) interoperability between EU maritime systems and between EU and MS' systems.	Number of Member States and authorities participating in the project	Grant allocation in 2018 (3-years project)	Grant allocation started and agreement signed in September 2018.
European Coast Guard Functions Forum (ECGFF).	Number of participating countries	End 2018	Forum took place from 11 to 14 September 2018 with 23 countries participating.
Mediterranean Coast Guard Functions Forum (MCGFF).	Number of participating countries	End 2018	Forum took place on 27 and 28 June 2018 with 21 countries participating
Other important outputs			
Output description	Indicator	Target	Latest known results (situation on 31/12/2018)
Revision of the EU Maritime Security Strategy Action Plan.	Adoption by the Council	Mid-2018	Council conclusions on the revision of the EUMSS Action Plan adopted by the GAC on 26/06/18 (Council ref. 10494/18)
Monitor the national IT inter-operability projects in line with CISE objectives and solutions.	Number of Member States and authorities adopting CISE interoperability solutions	End 2018 (for (projects initiated in 2017)	2018 (for (projects initiated in 2017)

General objective IV: A Stronger Global Actor.

Specific objective 3: Sustainable fisheries worldwide and improved international governance by 2020

Related to spending programme(s)
 Programme-based: EMFF
 Non programme-based

Result indicator 1: Conservation measures based on scientific advice adopted, for all species under the purview of RFMOs of which the EU is a member.

The stance of the EU in international organisations dealing with fisheries management, in particular RFMOs, is based on the best available scientific advice⁷⁵ so as to ensure that fishery resources are managed in accordance with the objectives laid down in Article 2 of Regulation (EU) No 1380/2013.

Source of data: RFMO reports⁷⁶.

Baseline 2012	Interim milestone 2017	Target 2020	Latest known results (2018) ⁷⁷
49 out of 53 conservation measures adopted by RFMOs in their annual meeting are in line with the best available scientific advice.	95% of the conservation measures adopted by RFMOs in their annual meetings are in line with the best available scientific advice.	All conservation measures adopted by RFMOs in their annual meetings are in line with the best available scientific advice. Target set by Article 29 of Regulation (EU) No 1380/2013, RFMOs conventions and recommendations or resolutions.	The situation is largely similar to 2017: • End 2018: 52 out of 59 (i.e. 88%) conservation measures adopted by RFMOs in their annual meeting were in line with the best available scientific advice. ⁷⁸ • End 2017: 55 out of 57 (i.e. 96%).

Main outputs in 2018:

Important items from work programmes/financing decisions/operational programmes

Output description	Indicator	Target	Latest known results (situation on 31/12/2018)
First progress report on the	Adoption by the	Q4 2018	JOIN(2019)4 of

⁷⁵ The 'best available scientific advice' is the term used by the UN Fish Stock Agreement 1995. It is generally the advice provided by the Scientific Committee of the specific RFMO in line with international standards.

⁷⁶ RFMOs which manage highly-migratory species, mainly tuna: <http://iccat.int/en/>, <http://iotc.org/>, <https://www.wcpfc.int/>, <http://iattc.org/>, <http://www.ccsbt.org/site/>
 RFMOs which manage straddling fish stocks: <http://neafc.org/>, <http://nafo.int/>, <http://www.nasco.int/>, <http://www.seafo.org/>, SIOFA: <http://www.fao.org/fishery/rfb/siofa/en>, <http://www.sprfmo.int/>, <http://www.ccamlr.org/>, <http://www.gfcm.org/gfcm/en>

⁷⁷ See also the Programme statement for the draft budget 2020 on the compulsory contributions to Regional Fisheries Management Organisations (RFMOs) and other international organisations and Sustainable Fisheries Partnership Agreements (SFPAs).

⁷⁸ The indicator puts the number of conservation measures adopted in RFMOs to which the EU is a party in relation to the total number of adopted conservation measures in these RFMOs in a given year. See also the Programme statement on RFMOs and SFPAs for the draft budget 2020.

International Ocean Governance Agenda (PLAN/2018/3115)	Commission		15/03/2019
Stakeholder Forum for International Ocean Governance.	First meeting organised	2018	Planned for 2019
Proposal for a Council Decision on the Agreement to prevent unregulated high seas Fisheries in the Central Arctic Ocean.	Adoption by the Commission		Conclusion: COM(2018)453 of 12/06/2018 Signing: COM(2018)454 of 12/06/2018 Signing ceremony to take place in Greenland on 2-4/10/2018
Arctic Stakeholder Forum - final report ⁷⁹ .	Final report presented at a dedicated event	Q1 2018	Final report ⁸⁰ published on 21/12/2017 and presented at event ⁸¹ on 19/01/2018
1st Annual Arctic Stakeholder Conference, and Arctic Indigenous People Dialogue.	Conference and Dialogue held	2018	Conference and Dialogue held on 17/09/2018 in Brussels
Implementation of the support for the FAO global capacity development umbrella programme on the Port States Measures Agreement ⁸² .	Number of third countries that received support	2018	18 countries received support in 2018, of which 8 through the programme by the EU.
Our Ocean Conference 2018 – commitments.	Adoption by the Commission and endorsement by Council	2018	Conference held on 29-30/10/2018 in Bali
Other important outputs			
Output description	Indicator	Target	Latest known results (situation on 31/12/2018)
Proposal for a Regulation of EP and Council establishing a catch documentation programme for Bluefin tuna	Adoption by the Commission	June 2018	Planned for Q2 2019

⁷⁹ The [Joint Communication on an integrated EU policy for the Arctic](#) provides for a (temporary) Arctic Stakeholder Forum to identify key investment and research priorities for the region. The results of the Forum's work will be consolidated into a summary report to be presented at a dedicated event in 2018.

⁸⁰ <https://publications.europa.eu/en/publication-detail/-/publication/6a1be3f7-f1ca-11e7-9749-01aa75ed71a1/language-en/format-PDF/source-66100002>

⁸¹ <https://webcast.ec.europa.eu/arctic-stakeholder-forum-meeting>

⁸² The first meeting of the Parties to the PSMA and the first meeting of the Part 6 Working Group took place in Oslo (29 May to 2 June 2017). An Assistance Fund is being established to support the needs of developing States Parties in the implementation of the Agreement. In 2018, the EU will contribute EUR 500 000, which will be implemented by the FAO.

(Thunnus thynnus) (2016/MARE/127)			
Proposal for a Regulation of EP and Council on conservation and enforcement measures applicable in the Regulatory Area of NAFO ⁸³ (2010/MARE/014)	Adoption by the Commission	Q2 2018	COM(2018)577 of 07/08/2018
Proposal for a IOTC ⁸⁴ Transposition Regulation (2016/MARE/003)	Adoption by the Commission	Q2 2018	Planned for April 2019
Proposal for a GFCM ⁸⁵ transposition Regulation.	Adoption by the Commission	Q2 2018	COM(2018)143 of 22/03/2018
Recommendation for a Council Decision to authorise the Commission to open negotiations on behalf of the EU to accede to the Convention for the Conservation and Management of High Seas Fisheries Resources in the North Pacific Ocean (NPFC).	Adoption by the Commission	new	COM(2018)376 of 01/06/2018
Evaluation of Council Regulation (EC) No 734/2008 on the protection of vulnerable marine ecosystems ⁸⁶ (PLAN/2017/2197)	Launch/completion	2018/2019	Staff Working Document planned for Q4 2020
Ocean Partnerships between the EU and key ocean players.	Joint Declarations signed	2018/2019	China: C(2018)3911 of 20/06/2018 ⁸⁷ Signature at EU-China summit on 16-17/07/2018
High Level Conference on the Black Sea Fisheries (post-Bucharest Declaration).	Completion by the Commission and relevant Member States and riparian third countries	June 2018	Sofia Declaration adopted on 07/06/2018 (Commission Decision authorizing Commissioner Vella to sign the Sofia Declaration - C(2018)2739 of

⁸³ Northwest Atlantic Fisheries Organization (NAFO).

⁸⁴ Indian Ocean Tuna Commission (IOTC).

⁸⁵ General Fisheries Commission for the Mediterranean (GFCM).

⁸⁶ Regulation (EC) No 734/2008 sets out the rules for fishing vessels, registered in an EU country, using bottom fishing gears on the high seas outside areas regulated by regional fisheries management organisations or where such organisations have not adopted measures for such fisheries. The evaluation will assess the effectiveness of this Regulation in view of its possible revision.

⁸⁷ Commission Decision on the approval and signature of a Declaration on the establishment of a Blue Partnership for the Oceans: towards better ocean governance, sustainable fisheries and a thriving maritime economy between the European Union and the People's Republic of China.

			08/05/2018)
High Level Conference on Small Scale Fisheries under GFCM.	Completion by the Commission and relevant Member States, GFCM and riparian third countries	September 2018	Ministerial Declaration and Regional Plan of Action for Small-Scale Fisheries in the Mediterranean and the Black Sea (RPOA-SSF) signed on 26/09/2018. C(2018)3333 of 04/06/2018: Commission Decision authorising Commissioner Vella to sign the Ministerial Declaration
Fisheries Science Forum GFCM.	Completion by the Commission and relevant Member States, GFCM and riparian third countries	December 2018	Fisheries Science Forum on 10-14 December 2018

Result indicator 2: Number of SFPAs in force.

The number of SFPAs (Sustainable Fisheries Partnership Agreements) in force is directly linked to the capacity of the EU fleet to extend its fishing operations in non-EU waters in a highly regulated environment. In view of future negotiation mandates with Mauritania, Seychelles and Senegal, preparatory work was undertaken for the ex-post and ex-ante evaluations of the SFPA Protocols with these countries.

and transparent framework.

The objective is to ensure as much as possible continuity between fishing grounds – in particular for the tuna fleet – through the existence of a network of SFPAs in force based on CFP reform principles: sustainability, value for money, improved governance and consistency with other EU policies. Each year, on average 25% of the SFPA protocols will expire and in order to ensure continuity of fishing and maintain a network of SFPAs, new protocols must be negotiated and enter into force at the right moment.

Source of data: the new or renewed SFPAs and Protocols published in the Official Journal of the EU.

Baseline 2013	Interim milestone 2017	Target 2020	Latest known results (2018)
10	14	15 Target set by DG MARE.	9 (*)

(*) Latest known results:

At the end of December 2018, **9 Protocols to SFPAs** were in force⁸⁸:

- 2 multi-species (or mixed) agreements: with Mauritania and Greenland;
- 7 tuna agreements: with Ivory Coast, Madagascar, Mauritius, Senegal, Seychelles, Liberia and Cook Islands⁸⁹.

In 2018, SFPA-related negotiations were held with 8 countries:

- They were successfully completed to renew the SFPA Protocol with Ivory Coast, Morocco, Cape Verde and Guinea-Bissau;
- A new SFPA and Protocol have been agreed with The Gambia.
- Negotiation rounds were held with Sao Tome e Principe, Kiribati and Madagascar.

First steps were taken to renew the Protocols with Gabon and Mozambique.

In view of future negotiation mandates with Mauritania, Seychelles and Senegal, preparatory work was undertaken for the ex-post and ex-ante evaluations of the SFPA Protocols with these countries. The evaluation results are taken on board in the negotiations for the renewal of agreements, more notably in relation to the level of fishing opportunities agreed upon, the relevant technical provisions applicable and the rules regarding the implementation and monitoring of the multiannual sectoral programmes.

SFPAs are now recognised as a regulated and transparent tool to frame the activities of the EU fishing fleet in the partner country waters.

Main outputs in 2018:

Important items from work programmes/financing decisions/operational programmes

Output description	Indicator	Target	Latest known results (situation on 31/12/2018)
Commission Decision regarding credits for	Adoption by	Q1 2018	C(2017)7506 of

⁸⁸ See also the Programme statement for the draft budget 2020 on the compulsory contributions to Regional Fisheries Management Organisations (RFMOs) and other international organisations and Sustainable Fisheries Partnership Agreements (SFPAs).

⁸⁹ See also the Programme statement on RFMOs and SFPAs for the draft budget 2020.

the implementation of SFPAs (financing decision).	the Commission		17/11/2017 (adoption took place earlier than initially planned)
Other important outputs			
Output description	Indicator	Target	Latest known results (situation on 31/12/2018)
Proposals for the conclusion of a new or the renewal of a SFPA/protocol with the following third countries ⁹⁰ :	Adoption by the Commission		
Cabo Verde		Q1 2018 (mandate) Q4 2018 (proposals)	Mandate: COM(2018)299 of 16/05/2018. Evaluation summary: SWD(2018)193. Evaluation SWD: SWD(2018)194. Proposals: March 2019 (PLAN/2017/1464, PLAN/2017/1465, PLAN/2018/3999)
Côte d'Ivoire		Q2 2018 (proposals)	COM(2018)502, COM(2018)503, COM(2018)505 of 02/07/2018
Comoros		Q4 2018 (proposals)	Not relevant anymore as SFPA denounced (cf. COM(2017) 556)
Gabon		Q2 2018 (proposals)	Proposals: Q2 2019 (2016/MARE/065, 066 and 067)
The Gambia		Q2 2018 (mandate) Q4 2018 (proposals)	Mandate: COM(2018)541 of 17/07/2018 Proposals: COM(2019)132, 134 and 135 (2017/MARE/025, 026 and 027)
Guinea-Bissau		Q2 2018 (proposals)	Planned for April 2019 (PLAN/2017/1310, 1312 and 1313)
Kiribati		Q2 2018 (proposals)	Planned for Q2 2019 (2015/MARE/006, 007 and 008)
Madagascar		Q1 2018 (mandate) Q4 2018 (proposals)	Mandate: COM(2018)240; SWD(2018)143; SWD(2018)144 of 25/04/2018. Proposals: Q2 2019 (PLAN/2017/1307, 1308)

⁹⁰ SFPAs and their associated protocols enter into force after concluding negotiations with the third country concerned.

			and 1309)
Morocco		COM(2018) 1 of 08/01/2018 (mandate) Q2 2018 (proposals)	New SFPA with Morocco and new Protocol: COM(2018)151 of 21/03/2018 Proposals of 08/10/2018: – Signature: COM(2018)677 – Conclusion: COM(2018)678 – Fishing opportunities: COM(2018)679 – SWD(2018)433 (on consultations and benefits for the Western Saharah)
Mozambique		Q2 2018 (proposals)	Planned for Q4 2019 (2015/MARE/009, 010 and 011)
São Tome e Principe		Q2 2018 (proposals)	Planned for Q3 2019 (PLAN/2017/2202, 2203 and 2204)
Sierra Leone		Q4 2018 (mandate and proposals)	Proposals: Q4 2019 (2016/MARE/050, 051 and 052)
Ex-post evaluation of the current SFPA and ex-ante evaluation and analysis of the impact of a new SFPA between the EU and:			
Cabo Verde	Publication of the Staff Working Document	Q1 2018	SWD(2018)194 and SWD(2018)193 of 16/05/2018
Madagascar		Q2 2018	SWD(2018)143 of 25/04/2018
Mauritania (PLAN/2018/2892)		Q4 2018	Planned for Q2 2019
Morocco		Q4 2018	SWD(2018) 433 of 08/10/2018
Senegal (PLAN/2018/4618)		Q4 2018	Planned for Q2 2019

Result indicator 3: Control of imports of fisheries products in the EU.

This indicator relates to the fight to prevent, deter and eliminate IUU⁹¹ fishing. One of the main objectives of the fight against IUU fishing is to ensure the legality of imported fishery products and landings by fishing vessels. The control of imports is the best way to reach that objective. The IUU Regulation establishes a system of import controls of fisheries products for IUU related issues based on EU criteria for verifications. DG MARE provides guidance and information on cases of risk and discusses with Member States on the harmonized implementation of import controls. Member States are tasked with the control of imports and refusals and report to DG MARE on the latter.

Source of data: Commission, DG MARE, reporting of refusals by Member States.

Baseline 2013	Interim milestone 2017	Target 2020
Number of refusals of imports into the EU ⁹² : 74 ⁹³	74	No IUU consignment is accepted. Target set by Article 18 of the IUU regulation ⁹⁴ .
Number of non-cooperating countries ⁹⁵ in fighting IUU fishing as a percentage of the number of countries allowed to export to the EU: 12%	6%	Reduce the number of countries that are non-cooperating to zero. Target set by Chapter VI of the IUU regulation.

Latest known results (2018):

A network has been created amongst Member States and DG MARE in order to exchange information about particular risks or **refused imports** in one Member State. In 2017, 7 refusals of catch certificates allowing for imports have been reported by Member States and 9 refusals involving 19 catch certificates in 2018. The number of refusals has consistently diminished in line with the target set for 2020.

Member States are responsible to control imports of fishery products into the EU and report to DG MARE. All Member States apply risk assessment. While Member States' controls appear to be more efficient and effective, the improvements achieved by third countries addressing identified deficiencies in their anti-IUU systems have also to be taken into account.

See also the indicator on the fight against IUU fishing.

Frequency/method of monitoring and reporting arrangements:

Bi-annual reports of Member States and obligation to inform DG MARE on refused imports.

Main outputs in 2018:

Important items from work programmes/financing decisions/operational programmes

Output description	Indicator	Target	Latest known results (situation on 31/12/2018)
Modernisation of the catch certification system	Finalisation of business cases/user	Q1-Q2 2018	Business cases/user requirements

⁹¹ Illegal, Unreported and Unregulated (IUU) fishing.

⁹² This number depends on the effectiveness of Member States' implementation as well as actual attempts to import illegal products into the EU by operators.

⁹³ Number of import refusals as reported to the Commission by Member States.

⁹⁴ The IUU Regulation prevents, deters and eliminates IUU fishing, and prohibits any import of IUU products.

⁹⁵ Countries which fail to adhere to their responsibility as a flag, coastal, port or market State and refuse to cooperate in the fight against IUU fishing.

<p>by integrating the catch certificate and processing statement into the DG SANTE TRACES system. Creation of an EU-wide IUU IT database to improve and facilitate implementation of the IUU Regulation by Member States.</p>	<p>requirements and approval by EU Member States.</p> <p>First version developed for testing and start of testing.</p>		<p>finalised.</p> <p>First version developed and presented to Member States on 04/07/2018.</p> <p>Internal testing on-going. Start of testing by Member States from September 2018.</p>
	<p>Continuation of testing and developments.</p> <p>Training of stakeholders.</p>	<p>Q3-Q4 2018</p>	<p>The test phase of CATCH 1.0. (implying training of stakeholders) launched at end of 2018 with more than 150 stakeholders (EU economic operators and Member States' competent authorities).</p> <p>Further developments of CATCH in 2019.</p>