

2018

Annual Activity Report

Annexes

**DG Migration and
Home Affairs**

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ANNEX 1: Statement of the Director in charge of Risk Management and Internal Control and the Director taking responsibility for the completeness and reliability of management reporting on results and on the achievement of objectives

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

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

Brussels, 24 April 2019

Beate GMINDER

Director Migration and Security Funds, Financial Resources and Monitoring

(e-signed)

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

Brussels, 24 April 2019

Marta CYGAN

Director Strategy and General Affairs

(e-signed)

¹ C(2017)2373 of 19.04.2017.

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

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

A. Human Resources management

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

Indicator 1 : Percentage of female representation in middle management

Source of data: HR Dashboard

Baseline	Target	Latest known results
January 2015	Target adopted by the Commission on 15 July 2015 – SEC(2015)336	31.12.2018
DG HOME excl. <u>SRD HOME/JUST</u> : 43.8% <u>COM</u> : 31.8%	DG HOME excl. <u>SRD HOME/JUST</u> : Although DG HOME is currently above the target adopted by the Commission of 35% for 2019, DG HOME will try to maintain this ratio and pay attention to it in future recruitments at middle management level.	DG HOME: 47% Commission: 40%

Indicator 2 : Percentage of staff who feel that the Commission cares about their wellbeing

Source of data: Commission staff survey

Baseline	Target	Latest known results
2014	(2017)	(2018)
DG HOME excl. <u>SRD HOME/JUST</u> : 35.3% <u>SRD HOME/JUST</u> : 31% <u>COM</u> : 35%	DG HOME: Maintain or exceed the 2016 results for the next staff surveys	DG HOME: 32% Commission: 52%

Indicator 3 : Staff engagement index²

Source of data: Commission staff survey

Baseline	Target	Latest known results
2014		(2018)
DG HOME excl. <u>SRD HOME/JUST</u> : 63.8% <u>SRD HOME/JUST</u> : 73.6% <u>COM</u> : 65%	DG HOME: Exceed the EC average for the next staff surveys	DG HOME: 61% Commission: 69%

² Staff engagement is usually not measured directly but as a combination of factors leading to high engagement levels. The Staff Engagement Index is based on seven factors combined in one overall figure: I have the information, material and resources to do my work well, My colleagues are committed to doing quality work, I have a clear understanding of what is expected from me at work, I have recently received recognition or praise for good work, I feel that my opinion is valued, My manager seems to care about me as a person, My line manager helps me to identify my training and development needs.

Main outputs in 2018:

Output	Indicator	Target	Latest known results
Activities to encourage female representation in middle and senior management positions	Female representation percentage in middle Management (for first appointments – mandatory targets set until 2019 ³) and in senior management	At least one female middle manager to be appointed by 2019, if possible already in 2018. A balance between male and female representation at the level of middle and senior management	DG HOME: No new appointments of female candidates during 2018. There were 2 ongoing selection procedures for the 2 vacancies for Head of Unit in DG HOME the outcome of which will be known in 2019. 50%
Design and implement a Learning and Development Plan 2018	Number of actions for talent management in DG HOME	Increase the number of actions as compared to previous years	DG HOME actively participated in all the new initiatives in the frame of the Talent Management-Junior Professional Programme, Female Talent Development Programme. Moreover, DG HOME allocated 5 job shadows across the DG. Additional, five coaching sessions were provided to the middle managers and five coaching sessions were offered HoUs, Deputy HoUs and Heads of Sector. DG HOME launched as well 2 calls for expression, of interest to reinforce the staff redeployment inside the DG.
Activities to improve the integration of newcomers Newcomers' sessions	Number of sessions for newcomers	At least 2 newcomers' sessions organised in 2018	There were 2 newcomers session organised in 2018: on 17 April and 3 December 2018
Continuation and reinforcement of existing activities in the area of well-being	Number of well-being activities offered in DG HOME	At least maintain the number of activities offered	All existing activities under fit@work programme have been maintained in 2018

³ SEC(2017) 359 final

B. Better regulation

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

Indicator 1: Percentage of Impact assessments submitted by DG HOME to the Regulatory Scrutiny Board that received a favourable opinion on first submission.

Source of data: DG HOME

Baseline 2015	Interim milestone 2016	Target 2020	Latest known results 2018
68% (Commission average in 2014)	Positive trend compared to the baseline.	Positive trend compared to DG's 2016 situation.	67%

Indicator 2: Percentage of the DG's primary regulatory acquis covered by retrospective evaluation findings and Fitness Checks not older than five years.

Source of data: DG HOME

Baseline 2015	Interim milestone 2016	Target 2020	Latest known results 2018
50%	Yearly increase of 25% of the gap between baseline and target	70% of the EU acquis covered by evaluations	The percentage presented in the 2015 baseline of the Strategic Plan (50%) was calculated taking into account evaluations as well as other reviews carried out between 2011 and 2015. If evaluations only are taken into account, the 2015 baseline is much lower (7%). The 2018 percentage of acquis submitted to evaluations in the period 2014-18 is 39%. The increase from 7% to 39% shows that there has been a big effort to evaluate DG HOME's acquis in the last years.

C. Information management aspects

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

Indicator 1: Percentage of registered documents that are not filed⁴ (ratio)

Source of data: *Hermes-Ares-Nomcom (HAN)*⁵ statistics

Baseline	Target	Latest known results
2015		2018
10.44%	<5%	3.52%

Indicator 2: Percentage of HAN files readable/accessible by all units in the DG

Source of data: HAN statistics

Baseline	Target	Latest known results
2015		2018
95.66%	>95%	94.77%

Indicator 3: Percentage of HAN files shared with other DGs

Source of data: HAN statistics

Baseline	Target	Latest known results
2015		2018
3.46%	>50%	22.31%

Main outputs in 2018:

Output	Indicator	Target	Latest known results 2018
Documents easily shared with other DGs	Number of ARES files open for consultation to the other DGs	20% Q4 2018	22.31%
Statistical compilation	Release	Q4 2018	Published in October 2018.

⁴ Each registered document must be filed in at least one official file of the Chef de file, as required by the e-Domec policy rules (and by ICS 11 requirements). The indicator is to be measured via reporting tools available in Ares.

⁵ Suite of tools designed to implement the e-Domec policy rules.

D. External communication activities⁶

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

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

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

Source of data: Standard Eurobarometer 90 of November 2018 (DG COMM budget)

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

Main outputs in 2018:

Output	Indicator	Target	Latest known results 2018
Twitter	Increase followers	+8%	+23.17%
Increase quality and accessibility of DG Home website, in particular when it comes to availability of media related information	Increase in contacts	+5%	+5.2%
Create a new series of graphic and visual information products (e.g. factsheets) to explain to the general public through multipliers the main actions and measures put in place by the European Commission to address the refugee crisis and security	Number of products created for journalists	Series of 5 products	40 factsheets (19 series on migration + 15 series on security)
Citizens dialogues with DG HOME senior management	Number of dialogues	2	0
Presentation of migration and security policies to visitors	Rate of response to requests for presentations to visitors from DG	100%	100%

⁶ The Communication on Synergies and Efficiencies (SEC(2016)170) of 04.04.2016 stipulates that DG COMM together with DG HR shall carry out an inventory of existing resources (to be submitted via the CCSC to the Corporate Management Board), data collected via this Annex (Annex 2 of AAR) will be aggregated to this end.

	COMM		
Updating / Creation / Distribution of brochures, leaflets explaining DG HOME's policy areas	Number of brochures distributed	5 000	6 500
Updating / Creation / Dissemination of Home affairs videos explaining DG HOME's policy areas	Views of videos	50 000 online views, excluding screenings during presentations and events.	57 600
Participation in the editorial board of the media consortium entrusted with informing prospective asylum seekers and migrants in a wide range of third countries.	Engagement in all related social media accounts	1.5 million a year	31 million reached in 2018 across all five language versions on Facebook
	Visits of website infomigrants.net	1 million a year	5 Million visits in 2018
	Increase in the language offer of the website	2 more languages	2 more languages added (Dari and Pashto)
Awareness raising/ communication activities in Afghanistan	Outreach to potential migrants	50 000	100 000

Annual communication spending (based on estimated commitments):

Baseline (2017):	Target (2018):	Total amount spent	Total of FTEs working on external communication
EUR 1 600 000 direct grant to media consortium EUR 750 000 under procurement	Estimated commitments: EUR 2 600 000 direct grant to media consortium EUR 1 500 000 for activities under procurement	EUR 2 600 000 from AWP 2018, as well as the EUR 2 600 000 of the AWP 2017, which was signed in Feb 2018. EUR 1 252 925.92 for activities under procurement	2.3 FTE

ANNEX 3: Draft annual accounts and financial reports

The AAR provides detailed information on compliance with payment time limits (Article 116.1 FR) and suspension of time limits (Art. 116.4 FR), with average time to grant and average time to inform applicants of the outcome of the evaluation of the application (Art. 194.2 FR), as well as cases of non-respect of non-retroactivity (Art. 193.2 FR). Information on the waivers of recovery orders (Art. 101.5 FR) are provided as comments in Table 10 of Annex 3 (attached). Some further information (e.g. percentage on-time) has been added to these reports in order to support the information required by the FR.

Annex 3 Financial Reports - DG HOME - Financial Year 2018

Table 1 : Commitments

Table 2 : Payments

Table 3 : Commitments to be settled

Table 4 : Balance Sheet

Table 5 : Statement of Financial Performance

Table 5 Bis: Off Balance Sheet

Table 6 : Average Payment Times

Table 7 : Income

Table 8 : Recovery of undue Payments

Table 9 : Ageing Balance of Recovery Orders

Table 10 : Waivers of Recovery Orders

Table 11 : Negotiated Procedures (excluding Building Contracts)

Table 12 : Summary of Procedures (excluding Building Contracts)

Table 13 : Building Contracts

Table 14 : Contracts declared Secret

Table 15 : FPA duration exceeds 4 years

Additional comments

TABLE 1: OUTTURN ON COMMITMENT APPROPRIATIONS IN 2018 (in Mio €)					
			Commitment appropriations authorised	Commitments made	%
			1	2	3=2/1
Title 18 Migration and home affairs					
18	18 01	Administrative expenditure of the 'Migration and home affairs' policy area	13,4310916	11,428109	85,09 %
	18 02	Internal security	1541,195126	1418,72717	92,05 %
	18 03	Asylum and migration	1084,257746	1075,9067	99,23 %
	18 04	Fostering European citizenship	0,32769985	0,2	61,03 %
	18 05	Horizon 2020 - Research related to security	16,84873497	7,58207687	45,00 %
	18 06	Anti-drugs policy	18,45026108	18,1946	98,61 %
Total Title 18			2674,510659	2532,03865	94,67%
Total DG HOME			2674,510659	2532,03865	94,67 %

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

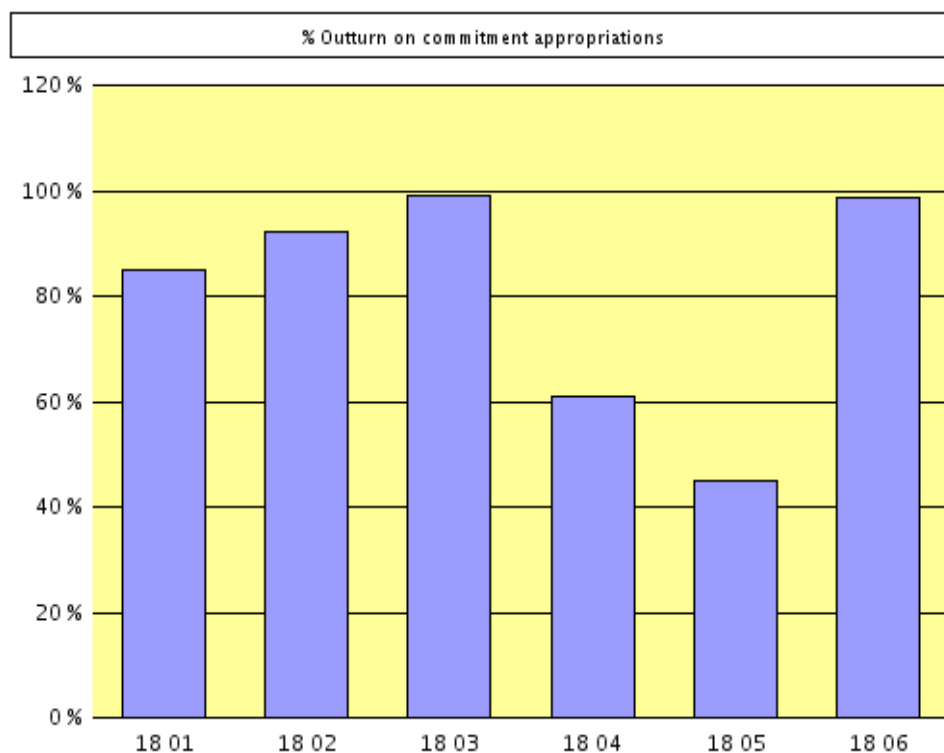


TABLE 2: OUTTURN ON PAYMENT APPROPRIATIONS IN 2018 (in Mio €)					
Chapter			Payment appropriations authorised *	Payments made	%
			1	2	3=2/1
Title 18 Migration and home affairs					
18	18 01	Administrative expenditure of the 'Migration and home affairs' policy area	10,84090306	6,05201613	55,83 %
	18 02	Internal security	1091,220258	963,6116314	88,31 %
	18 03	Asylum and migration	835,3668903	827,2896404	99,03 %
	18 04	Fostering European citizenship	0,33269985	0	0,00 %
	18 05	Horizon 2020 - Research related to security	50,94712876	38,20149	74,98 %
	18 06	Anti-drugs policy	18,76413208	18,43645308	98,25 %
Total Title 18			2007,472012	1853,591231	92,33%
Total DG HOME			2007,472012	1853,591231	92,33 %

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

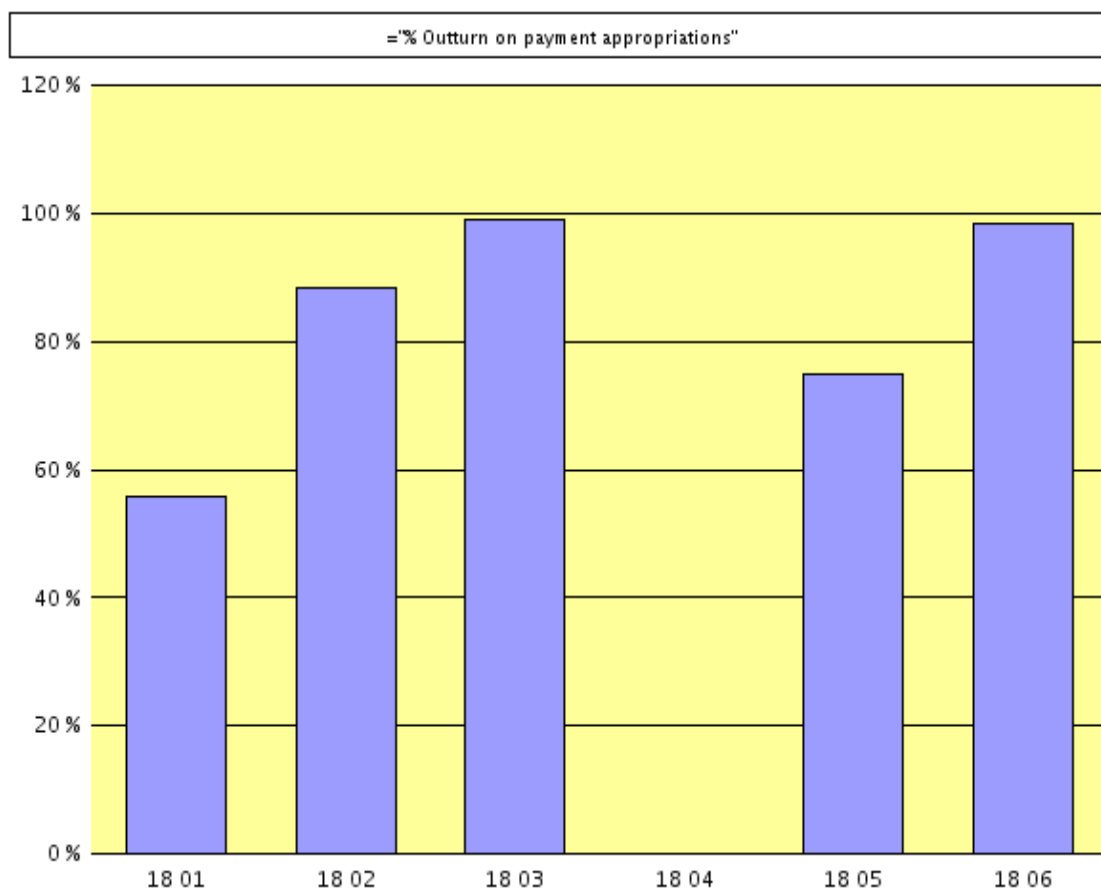


TABLE 3 : BREAKDOWN OF COMMITMENTS TO BE SETTLED AT 31/12/2018 (in Mio €)									
Chapter			2018 Commitments to be settled				Commitments to be settled from financial years previous to 2018	Total of commitments to be settled at end of financial year 2018	Total of commitments to be settled at end of financial year 2017
			Commitments 2018	Payments 2018	RAL 2018	% to be settled			
			1	2	3=1-2	4=1-2/1	5	6=3+5	7
Title 18 : Migration and home affairs									
18	18 01	Administrative expenditure of the 'Migration and home affairs' policy area	11,42810903	7,86	3,56629652	31,21 %	0,00	3,57	4,66
	18 02	Internal security	1418,727167	520,38	898,3477131	63,32 %	1.105,82	2.004,16	1568,25
	18 03	Asylum and migration	1075,906696	108,28	967,6302229	89,94 %	1.714,68	2.682,31	2467,32
	18 04	Fostering European citizenship	0,2	0,00	0,2	100,00 %	0,05	0,25	0,05
	18 05	Horizon 2020 - Research related to security	7,58207687	0,57	7,01252897	92,49 %	80,93	87,94	118,63
	18 06	Anti-drugs policy	18,1946	15,45	2,749	15,11 %	3,04	5,79	6,39
Total Title 18			2532,038649	652,53	1879,505762	74,23%	2904,509782	4784,015543	4165,30592
	Total DG HOME		2532,038649	652,53	1879,505762	74,23 %	2904,509782	4784,015543	4165,30592

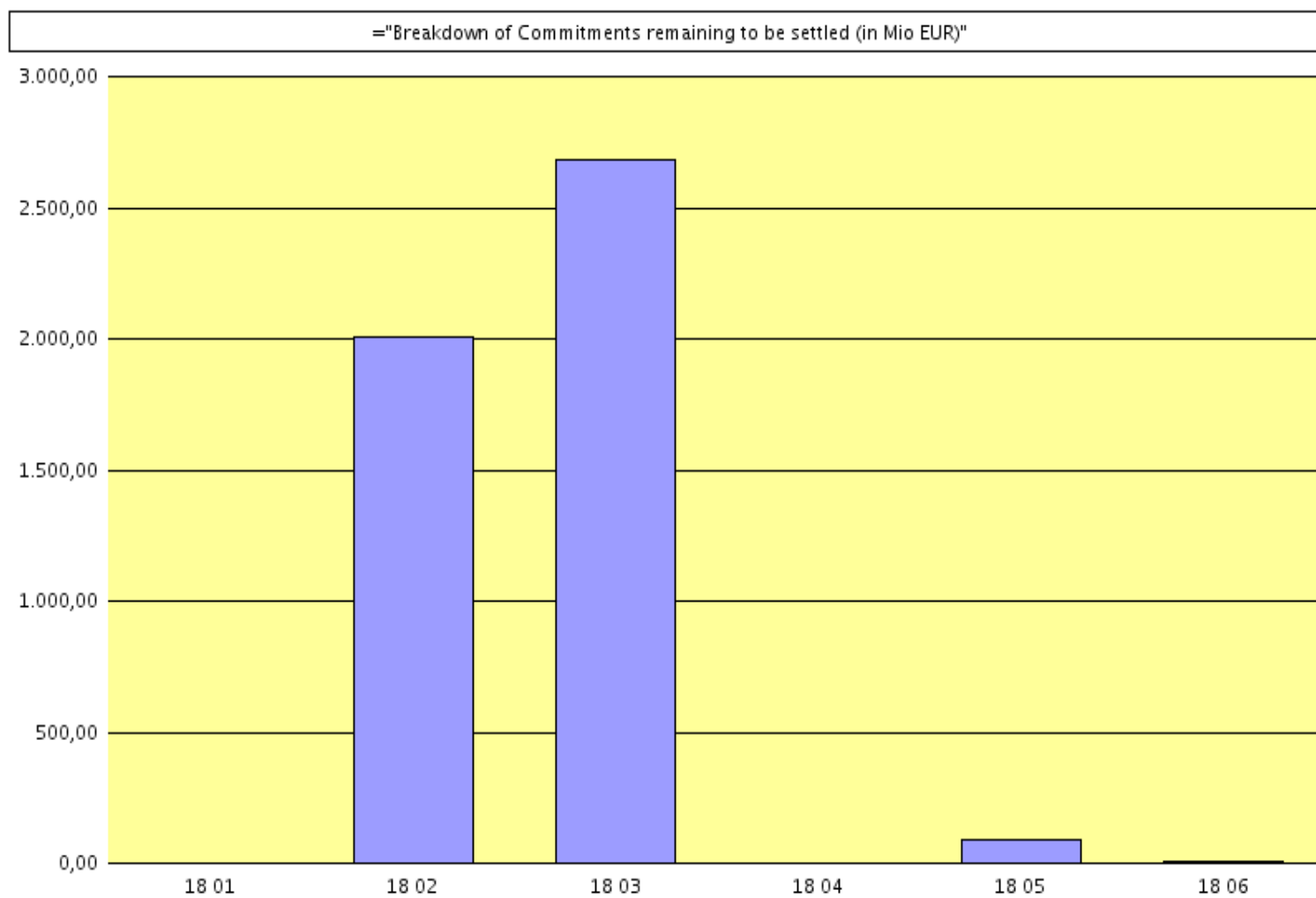


TABLE 4 : BALANCE SHEET HOME

BALANCE SHEET	2018	2017
A.I. NON CURRENT ASSETS	337288612,8	276245129
A.I.2. Property, Plant and Equipment	0,00	0,00
A.I.5. Non-Current Pre-Financing	337.288.612,81	276.245.129,01
A.II. CURRENT ASSETS	436804307,5	465740006,2
A.II.2. Current Pre-Financing	432.747.559,46	430.470.311,76
A.II.3. Curr Exch Receiv &Non-Ex Recoverables	4.056.748,02	35.269.694,39
ASSETS	774092920,3	741985135,2
P.II. CURRENT LIABILITIES	-291986062,8	-239764993,4
P.II.4. Current Payables	-40.153.387,35	-46.360.401,67
P.II.5. Current Accrued Charges &Defrd Income	-251.832.675,48	-193.404.591,71
LIABILITIES	-291986062,8	-239764993,4
NET ASSETS (ASSETS less LIABILITIES)	482106857,5	502.220.141,78
P.III.2. Accumulated Surplus/Deficit	6.287.314.993,05	4695305804
Non-allocated central (surplus)/deficit*	-6.769.421.850,51	-5197525946
TOTAL	0,00	0,00

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

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

TABLE 5 : STATEMENT OF FINANCIAL PERFORMANCE HOME

STATEMENT OF FINANCIAL PERFORMANCE	2018	2017
II.1 REVENUES	-76645345,71	-39151027,01
II.1.1. NON-EXCHANGE REVENUES	-78951449,95	-42344305,33
II.1.1.5. RECOVERY OF EXPENSES	-851.604,43	-1.165.741,99
II.1.1.6. OTHER NON-EXCHANGE REVENUES	-78.099.845,52	-41.178.563,34
II.1.2. EXCHANGE REVENUES	2306104,24	3193278,32
II.1.2.1. FINANCIAL INCOME	-2.573,04	-24.167,01
II.1.2.2. OTHER EXCHANGE REVENUE	2.308.677,28	3.217.445,33
II.2. EXPENSES	1771985635	1631160216
II.2. EXPENSES	1771985635	1631160216
II.2.10.OTHER EXPENSES	17.406.798,93	28.537.567,10
II.2.1. EXP IMPLM BY MEMBER STATES (SHARED)	870.519.858,41	710.120.200,25
II.2.2. EXP IMPLM BY COMMISS&EX.AGENC. (DM)	295.279.797,69	359.897.967,73
II.2.3. EXP IMPL BY OTH EU AGENC&BODIES (IM)	585.814.539,07	522.989.286,94
II.2.4. EXP IMPL BY 3RD CNTR & INT ORG (IM)	2.937.506,73	9.596.215,28
II.2.8. FINANCE COSTS	27.134,13	18.978,53
STATEMENT OF FINANCIAL PERFORMANCE	1.695.340.289,25	1.592.009.188,82

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TABLE 5bis : OFF BALANCE SHEET HOME

OFF BALANCE	2018	2017
OB.1. Contingent Assets	149474,74	0
GR for pre-financing	149.474,74	0,00
OB.3. Other Significant Disclosures	-6030026038	-6512763063
OB.3.2. Comm against app. not yet consumed	-4.489.838.825,53	-3.939.516.014,54
OB.3.3.1 Structural operations	-1.540.187.212,32	-2.573.247.048,51
OB.4. Balancing Accounts	6029876563	6512763063
OB.4. Balancing Accounts	6.029.876.563,11	6.512.763.063,05
OFF BALANCE	0,00	0,00

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

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

TABLE 6: AVERAGE PAYMENT TIMES FOR 2018 - DG HOME

Legal Times							
Maximum Payment Time (Days)	Total Number of Payments	Nbr of Payments within Time Limit	Percentage	Average Payment Times (Days)	Nbr of Late Payments	Percentage	Average Payment Times (Days)
30	680	602	88,53 %	13,86877076	78	11,47 %	44,26923077
45	17	13	76,47 %	20,23076923	4	23,53 %	57,75
60	386	365	94,56 %	21,89863014	21	5,44 %	186,2380952
90	84	70	83,33 %	52,72857143	14	16,67 %	188,8571429
120	1	1	100,00 %	17			
180	56	56	100,00 %	36,92857143			

Total Number of Payments	1224	1107	90,44 %		117	9,56 %	
Average Net Payment Time	26,6503268			20,21770551			87,51282051
Average Gross Payment Time	37,05555556			30,05239386			103,3162393

Suspensions							
Average Report Approval Suspension	Average Payment Suspension Days	Number of Suspended Payments	% of Total Number	Total Number of Payments	Amount of Suspended Payments	% of Total Amount	Total Paid Amount
14	63	203	16,58 %	1224	481.458.594,20	26,04 %	1.849.011.253,32

Late Interest paid in 2018			
DG	GL Account	Description	Amount (Eur)
HOME	65010100	Interest on late payment of charges New FR	27 881,06
			27 881,06

TABLE 7 : SITUATION ON REVENUE AND INCOME IN 2018								
Chapter		Revenue and income recognized			Revenue and income cashed from			Outstanding
		Current year RO	Carried over RO	Total	Current Year RO	Carried over RO	Total	balance
		1	2	3=1+2	4	5	6=4+5	7=3-6
52	REVENUE FROM INVESTMENTS OR LOANS GRANTED, BANK AND OTHER INTEREST	2573,04	1213,3	3786,34	2573,04	0,99	2574,03	1212,31
59	OTHER REVENUE ARISING FROM ADMINISTRATIVE MANAGEMENT	73243,52	0	73243,52	73243,52	0	73243,52	0
60	CONTRIBUTIONS TO UNION PROGRAMMES	147000	0	147000	146970	0	146970	30
63	CONTRIBUTIONS UNDER SPECIFIC AGREEMENTS	78006173,81	21258855,46	99265029,27	77229411,51	20879495,63	98108907,14	1156122,13
66	OTHER CONTRIBUTIONS AND REFUNDS	33172363,11	13769558,36	46941921,47	31405975,53	12778357,28	44184332,81	2757588,66
90	MISCELLANEOUS REVENUE	-64963,83	151431,14	86467,31	-74082,67	107391,19	33308,52	53158,79
Total DG HOME		111336389,7	35181058,26	146517447,9	108784090,9	33765245,09	142549336	3968111,89

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

INCOME BUDGET RECOVERY ORDERS ISSUED IN 2018	Irregularity		Total undue payments recovered		Total transactions in recovery context(incl. non-qualified)		% Qualified/Total RC	
Year of Origin (commitment)	Nbr	RO Amount	Nbr	RO Amount	Nbr	RO Amount	Nbr	RO Amount
2008	3	251630,62	3	251630,62	3	251630,62	100,00%	100,00%
2009					1	139000		
2010	4	119389,84	4	119389,84	5	128508,68	80,00%	92,90%
2011	6	140629,51	6	140629,51	7	141605,11	85,71%	99,31%
2012	11	184398,26	11	184398,26	20	801933,75	55,00%	22,99%
2013	4	41322,22	4	41322,22	10	705322,91	40,00%	5,86%
2014	5	22018,61	5	22018,61	18	6073847,76	27,78%	0,36%
2015	2	17727,25	2	17727,25	6	1396537,83	33,33%	1,27%
2016	2	623161,15	2	623161,15	5	1419034,33	40,00%	43,91%
2017					10	23036345,55		
No Link	1	79410,32	1	79410,32	10	75649541,26	10,00%	0,10%
Sub-Total	38	1479687,78	38	1479687,78	95	109743307,8	40,00%	1,35%

EXPENSES BUDGET	Error		Irregularity		OLAF Notified		Total undue payments recovered		Total transactions in recovery context(incl. non-qualified)		% Qualified/Total RC	
	Nbr	Amount	Nbr	Amount	Nbr	Amount	Nbr	Amount	Nbr	Amount	Nbr	Amount
INCOME LINES IN INVOICES									1	7.912,49		
NON ELIGIBLE IN COST CLAIMS			50	3215382,48			50	3215382,48	51	5.345.382,48	98,04%	60,15%
CREDIT NOTES			23	50256,86			23	50256,86	57	1.012.869,52	40,35%	4,96%
Sub-Total			73	3265639,34			73	3265639,34	109	6366164,49	66,97%	51,30%

GRAND TOTAL			111	4745327,12			111	4745327,12	204	116109472,3	54,41%	4,09%
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TABLE 9: AGEING BALANCE OF RECOVERY ORDERS AT 31/12/2018 FOR HOME

	Number at 1/01/2018	Number at 31/12/2018	Evolution	Open Amount (Eur) at 1/01/2018	Open Amount (Eur) at 31/12/2018	Evolution
2008	1		-100,00 %	128.250,00		-100,00 %
2014	2	1	-50,00 %	15.746,84	84,91	-99,46 %
2015	5	2	-60,00 %	919.779,46	89.699,01	-90,25 %
2016	9	3	-66,67 %	912.382,07	685.943,29	-24,82 %
2017	44	3	-93,18 %	33.204.899,89	640.085,96	-98,07 %
2018		17			2.552.298,72	
	61	26	-57,38 %	35.181.058,26	3.968.111,89	-88,72 %

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
1	3233180070	3230813115	-128.250,00	Private Companies		
2	3233180135	3241612884	-109.587,42	Private Companies		
3	3233180142	3241513660	-73.194,44	Private Companies		

Total DG HOME	-311.031,86
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Number of RO waivers	3
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There are 3 waivers below 60 000 € for a total amount of -63.427,69

Justifications:

In 2018 DG HOME issued three recovery order waivers of a value above EUR 60.000:

- 1. Implementation of Commission Decision C(2018) 1276 of 06.03.2018 on waiving recovery of the debt against "Associazione Tante Tinte" – beneficiary of the grant agreement JLS/2004/INTI/08 under the European Fund for the Integration of third-country national (EIF) – EUR 128.250,00 (irrecoverable amount due to liquidation of company)*
- 2. Implementation of Commission Decision C(2018) 1855 of 03.04.2018 on waiving recovery of the debt against "Airshipvision international" – beneficiary of the grant agreement FP7/SEC/2007/1/IMSK– EUR 109.587,42 and EUR 11.635,54 (irrecoverable amount due to liquidation of company)*
- 3. Implementation of Commission Decision C(2018) 4061 of 03.07.2018 on waiving recovery of the debt against "Monitoring Systems LTD" – beneficiary of the grant agreement FP7/SEC/2007/1/217976 SECUREAU– EUR 73.194, 44 (irrecoverable amount due to liquidation of company)*

Moreover, three recovery orders each below EUR 60.000 were also issued, for a total amount of EUR 63.427,69.

**TABLE 11 : CENSUS OF NEGOTIATED PROCEDURES - DG
HOME - 2018**

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

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

Internal Procedures > € 60,000

Procedure Legal base	Number of Procedures	Amount (€)
Call for expressions of interest - Pre-selection of candidates (Art. 136.1(a) RAP)	1	127.052,00
Negotiated Procedure with at least five candidates below Directive thresholds (Art. 136a RAP)	1	129.500,00
Open Procedure (Art. 104(1) (a) FR)	1	1.595.200,00
Total	3	1.851.752,00

Additional Comments:

TABLE 13 : BUILDING CONTRACTS

Legal base	Contract Number	Contractor Name	Description	Amount (€)

TABLE 14 : CONTRACTS DECLARED SECRET

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

TABLE 15 : FPA duration exceeds 4 years - HOME

None of your FPA (if any) exceeds 4 years

ANNEX 4: Materiality criteria

Materiality criteria and Methodology for measuring the residual amount at risk and determining its materiality

Introduction

Deciding whether a weakness is significant is a **matter of judgement** by the Authorising Officer by Delegation, who remains responsible for the declaration of assurance, including any reservations to it. In doing so, she should **identify the overall impact of a weakness** and **judge whether it is material** enough so that the non-disclosure of the weakness is likely to have an influence on the decisions or conclusions of the users of the declaration. The benchmark for this judgement is the materiality criteria which the AOD sets at the moment of designing the internal control system under his/her responsibility.

For DG HOME, the materiality of residual weaknesses identified (i.e. after mitigating and corrective measures) is assessed on the basis of qualitative and/or quantitative criteria, in line with the instructions for the preparation of the Annual Activity Report.

The **qualitative assessment** includes an analysis of the causes and the types of error (including whether they are repetitive) to conclude on the nature, context and/or scope of the weaknesses identified. This may refer to significant control system weaknesses or critical issues reported by the Authorising Officers by Sub-Delegation (or as part of the IcaT exercise), the European Court of Auditors (ECA), the Internal Audit Service (IAS), DG BUDG or OLAF. Also, the duration and any mitigating controls or corrective actions are taken into consideration.

The **quantitative assessment** aims at estimating any financial impact ("amount at risk") resulting from the errors detected. In line with the standard materiality threshold proposed by the instructions for the preparation of Annual Activity Reports, DG HOME has set the materiality level for each distinct control system with coherent risk characteristics for the amount at risk resulting from the *residual* errors at 2% of relevant payments made in the reporting year, or in case of multi-annual approach over the programming period

This analysis and the conclusions are presented concisely in the body of the Annual Activity Report where the information reported under each building block is summarised and **which logically supports the five statements** included in the Declaration of Assurance (true and fair view, resources used for the intended purpose, sound financial management, legality and regularity, and non-omission of significant information) **for all significant expenditure categories and control systems**.

DG HOME implements its operational budget through three main different methods of implementation: direct management (grants, procurement, sometimes cross-subdelegated to other DGs), indirect management (payments to traditional agencies, delegation agreements) and shared management. As these methods of implementation have a different risk profile and its own control and supervision arrangements, the observed quantified weaknesses should be assessed per each distinct control system grouped as follows:

- 1) Shared Management
- 2) Direct management – research grants
- 3) Direct management – grants (non-research)
- 4) Indirect management
- 5) Direct management - Procurement and other expenditure

In addition to and separately from the materiality assessment as described below, DG HOME calculates the weighted *average error rate* for its total annual payments and the resulting "overall amount at risk" by applying the relevant (cumulative) *detected* error rate to the relevant annual payments, for each management mode and type of activity. This weighted average error rate is disclosed along the *average recoveries and financial corrections* implemented within the last five years to reach a conclusion on the risk exposure and "estimated future corrective capacity" of the DG, which is presented in the AAR Chapter 2.1.

Chapter A – Qualitative criteria for defining significant weaknesses

For all methods of implementation under its operational budget, the different parameters relevant in DG HOME for determining significant weaknesses are the following ones:

Significant control system weaknesses: significant control system weakness detected during the period, in reports made by Authorising Officers by Sub-delegation and/or by the audits carried out As far as **traditional agencies** are concerned, and in the framework of the single audit model, the DG's assurance is mainly based on supervisory and monitoring activities, and a verification of the functioning of the control system performed by the Internal Audit Service of the Commission and the European Court of Auditors (DAS), and the outcome of the discharge procedure

- ✓ **Significant shortcoming in internal control standards** appearing in the yearly survey on Internal control standards implementation by management.
- ✓ **Insufficient audit coverage and/or inadequate information from the internal control systems.**
- ✓ **Critical issues outlined by the European Court of Auditors, the Internal Audit Service, DG BUDG and OLAF.**

When assessing the significance of any weaknesses, the following factors are taken into account:

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

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

In addition, **events** or weaknesses which have a significant *reputational* impact on DG HOME, or indirectly on the Commission, will be reported irrespective of the amount of damage to the DG HOME's administrative and operational budget and will be considered for issuing a reservation on a reputational basis.

Chapter B – Quantitative criteria for defining reservations

To quantify the potential financial impact of errors detected, it is necessary:

- ✓ **STEP 1: To determine the residual error rate** by

- Determining the percentage of error in the audited sample of the population;
- Determining the level of exposure across the entire population (by applying the detected error rates to the whole value of the population and to deduct the amounts corresponding to any corrective actions taken that have already effectively reduced the exposure);
- ✓ **STEP 2: To determine the "amount at risk";**
- ✓ **STEP 3: To determine the (financial) materiality,** compared to the relevant payments for a given control system

Steps 1, 2 and 3 differ from one control system to another, and are presented in this Chapter.

In addition, considering the multi-annual aspects of the programmes managed for grants under direct management and shared management, for this type of expenditure DG HOME favours a *multi-annual approach* by evaluating the *cumulative* budgetary impact of the *residual* errors over the whole programming period. As a consequence, the calculation of errors, corrections and materiality of the residual amount at risk are done on a "cumulative basis". For other activities, the materiality and risk are assessed on an annual basis as described below.

1. Shared management

1.1. SOLID Funds

STEP 1 – Cumulative Residual Error Rate

All programmes are assessed against audit opinions at national and Commission level based on audits carried out on systems and sample of expenditure. In addition, operational line managers and authorising officers by sub-delegation also assess the level of assurance. The assessment is based on three elements as follows:

1. The first element is the **assessment of the functioning of management and control systems** carried out by the audit sector. This assessment is complemented by taking into account the assessment of the operational units and the regular contacts with national authorities (process of adoption/revision of annual programmes, monitoring visits, SOLID committees, closures of annual programmes, etc.). This leads to the management opinion on the functioning of the management and control systems, on a Directorate-General level.
2. The second element is the **error rate reported by the (national) audit authorities** in their annual audit report, based on expenditure incurred for a given annual programme. The audit sector assesses the reliability of the detected error rates for each programme, on the basis of all available information and audit results, including on-the-spot missions, and uses this information as the best estimate of the possible risk for expenditure in the reporting year. In case the detected error rates are not available, not accurate or found not to be reliable, the audit sector either recalculates them when it has sufficient information in the annual audit report to do so or, alternatively, replaces them by flat rates in line with the results of the assessment of the functioning of management and control systems.
3. The third element is the consideration of the multi-annual aspect of the programmes. Indeed, although DG HOME manages annual programmes, they all fall under the multi-annual programming period 2007/8-2013. In addition, for the vast majority of Member States, the management and control system is stable over the programming period, thus allowing for the responsible, certifying and

audit authorities to continuous improvements in the management of annual programmes.

- ✓ For **annual programmes closed**, the audit sector deducts the corrections (recoveries and withdrawals) that have been made by the responsible authorities and, if applicable, by the Commission (corrections for individual files, flat rate financial corrections and corrections following an ex post control). This results in a **residual error rate** for each annual programme, validated by management. Furthermore, a cumulative (average) residual error rate is calculated for programmes covered by a common management and control system (as a rule, each Fund in each MS).
- ✓ In line with DG BUDG and IAS instructions, **running annual programmes**, for which only pre-financings were made, are excluded from the calculation of the residual error since the open pre-financing payments can be considered as being not yet 'at risk'.

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 effectively mitigate the risks identified and that they result in an actual reduction in the level of the error that remains uncorrected in the population.

STEP 2: Financial exposure from errors in terms of cumulative "amount at risk"

The amount at risk is calculated by applying the **residual error rate** to the total value of each programme closed since the beginning of the programming period. Furthermore, a cumulative amount at risk is calculated for programmes covered by a common management and control system.

This is the Directorate General best estimate of expenditure which is not in full conformity with contractual or regulatory provisions and which have not been corrected at the date the annual activity report is signed.

For transparency purposes, the estimation of the amount at risk is presented in the Annex 10 of the AAR by Member State classifying the programmes in four categories of levels of assurance in accordance with the assurance they provide as to the legality and regularity of payments made during the reporting year:

- **Reasonable assurance** means that there is no material deficiency in key elements of the systems (only minor improvements may be needed in some cases) and the **residual error rate is below 2%**;
- **Reasonable assurance with low risk** of irregularities covers programmes with a **residual error rate between 2% and 5%**;
- **Limited assurance with medium risk** of irregularities covers programmes with a **residual error rate between 5% and 10%**;
- **Limited assurance with high risk** of irregularities covers programmes with a **residual error rate above 10%**.

Step 3: Materiality and potential reservation

As management and controls are considered to be specific to each Management and Control System in Member State level, materiality is not assessed and reservations are not decided upon at the level of the ABB activity, but rather at the level of each distinct control system, i.e. separately for each MCS. As a rule, each Fund in a given MS is considered a separate MCS (i.e. EBF/EIF/RF/ERF).

The Directorate-General therefore assesses each MCS in order to identify reservations and corrective measures to be applied.

- At MCS level, reservations are made as a general rule for all cases for which the cumulative residual error rate exceeds 2%.
- In order to avoid issuing reservations on programmes which have a marginal impact on DG HOME's declaration of assurance, a de minimis threshold of 350 000.00 EUR is applied. All cases for which the cumulative amount at risk is above 2% but below that threshold are not subject to a reservation (unless on reputational grounds).
- If the residual error rate is below 2%, generally no reservation is made.
- The annual impact of a reservation is calculated by applying the cumulative residual error rate to the total value of the relevant payments (i.e. final payments and clearing of pre-financing) during the reporting period for each programme under reservation. A qualitative assessment might be applied to determine whether the reservation is applicable to the payment made during the reporting year.
- In case no payments have been made in the year concerned for a programme under reservation, the reservation could still apply, but would be categorised as a non-quantifiable financial reservation or be made on a reputational/qualitative basis, rather than on a quantitative one.

1.2. AMIF/ISF Funds

1.2.1. Rationale

Unlike in the ESIF funds, the legal framework of AMIF-ISF does not provide for the submission of interim payment claims by the Member States during the year. In addition to the annual pre-financing, National Authorities submit to DG HOME the annual accounts constituting the request for payment of the annual balance per programme and year constituting the , which include a management declaration issued by the Responsible Authority and the Audit Authority's opinions on the accounts, the management and control system and the RA's management declaration.

Consequently, DG HOME makes two payments per year and programme: one pre-financing payment and one final payment after the required controls at national level have been carried out by both the Responsible Authority and the Audit Authority.

Therefore, DG HOME assurance model is based only on pre-financing (advance payments) and payment claims supported by the opinions of the Audit Authority. The Audit Authorities carry out their audit work prior to the submission of the annual accounts and to the Commission by 15 February. In case of ineligible amounts or material errors are reported by the Member States in the annual accounts the accounts are partially cleared and the amount not cleared is treated as "amount under examination".

1.2.2. Assessment of National Programmes

The assessment of each national programme is based on the following elements:

1. The first element is the Audit Authority's validation of the design of the national management and control system (in particular at the level of the Responsible Authority) in compliance with the designation criteria as defined in Annex I of Commission Delegated Regulation 1042/2014 of 25 July 2014;

2. The second element is the assessment of the effectiveness of the national management and control systems carried out by DG HOME audit sector based on all information available, i.e.:

- (i) the annual opinion issued by the Audit Authority on the functioning of the management and control systems,
- (ii) if reported, the total error rate disclosed by the Audit Authority,
- (iii) the results of Commission audit work and/or of all other audit bodies such as the European Court of Auditors and the Internal Audit Service, elements received from the financial units in their regular contacts with the national programme authorities etc

DG HOME audit sector concludes on the management and control systems per Key Requirement, in line with Commission Implementing Regulation (EU) 2017/646 of 5 April 2017 amending Implementing Regulation (EU) 2015/378 laying down rules for the application of Regulation (EU) No 514/2014 of the European Parliament and of the Council with regard to the implementation of the annual clearance of accounts procedure and the implementation of the conformity clearance

3. The third element is the assessment of the Audit Authority's opinion on the annual accounts, which covers the true and fair view of the accounts for the relevant financial year and the legality and regularity of the Union expenditure for which reimbursement has been requested to the Commission. Relevant information considered for this assessment include, if available, the total error rate and/or residual error rate reported by the Audit Authority and/or estimated by DG HOME based on the information at its disposal.
4. The fourth element is the audit authority's validation of the management declaration issued by the Responsible Authority for the financial year.
5. The fifth element is the result of the audit work carried out by DG HOME on the annual accounts submitted in February of each year. This audit work will be the basis for the Clearance of the Accounts and the payment of the annual balance for the financial year.

1.2.3. Materiality criteria and reservations

DG HOME assesses each national programme in order to identify reservations and corrective measures to be applied.

At national programme level, reservations are made whenever material weaknesses in the overall management and control systems of the national programmes are detected (either reported by the Audit Authority, identified by the European Commission's audit work or by other audit work), independently at this stage from any calculation of the cumulative residual risk/residual risk rate.

As a general rule, a programme is put under reservation if DG HOME has firm information from its own audit conclusions, those of the Court of auditors or of other audit bodies, that payments cleared in previous years are not in compliance with Union and national rules and for which a conformity clearance procedure was not finalised before end of February (deadline for preparation of draft AAR).

1. The overall management and control system is assessed by DG HOME as Category 3 or Category 4;
2. Evidence of material legality and regularity issues in the payments made by DG HOME without sufficient corrective measures implemented by the Member State (e.g. residual error rate above the 2% materiality level)

3. Material issues on the completeness, accuracy and veracity of the accounts detected by the Commission.

In case there is no financial risk for the reporting year for a programme under reservation (e.g. when no payments were made by DG HOME for the programme during the AAR reporting year or when the payments made are not affected by the issues triggering the reservation), the reservation is made on a non-quantifiable or reputational basis. These reservations are made for deficiencies of a qualitative nature (e.g. significant systemic deficiencies or major control failures in the management and control system of the national programmes)

The national programmes are classified in three categories:

National programmes not under reservation:

- **Reasonable assurance** means that there is no material deficiency in key elements of the management and control systems (only minor improvements may be needed in some cases) and there are no material issues as regards the legality and regularity of the payments (unqualified opinion from the Audit Authority) and on the accounts;
- **Reasonable assurance with low risk** of irregularities covers programmes with the existence of some deficiencies in key elements of the management and control systems without material impact on the EU Budget; and there are no material issues with both the legality and regularity of the payments (unqualified opinion from the Audit Authority or qualified opinion with an estimated impact of the qualification limited – if provided, reported residual risk below 2%) and the accounts.

National programmes under reservation:

- **Limited assurance with high risk** of irregularities covers
 - programmes with the existence of deficiencies in the overall management and control systems with a material risk for the EU budget and for which no adequate corrective measures have been yet implemented); and/or
 - programmes with material legality and regularity issues and insufficient financial corrections implemented (residual total error rate remains above 2%); and/or
 - programmes with material issues on the completeness, accuracy and veracity of the accounts.

1.2.4. Estimation of the amount at risk

The legal basis for AMIF and ISF in force up to October 2018 did not provide for the Audit Authorities obligation to report the error rates resulting from their audit work, however they were obliged to report on the impact of the qualifications (as an amount in EUR) and % of the total Union contribution declared should they issue qualified or adverse audit opinions.

The first clearance of accounts exercises carried out pursuant to Article 1 of Commission Implementing Regulation (EU) No 378/2015 highlighted the need to clarify certain provisions of Article 14 of Commission Delegated Regulation (EU) No 1042/2014, and to develop a standard reporting model (Annual Control Report) for the Audit Authority to help Member States comply with the reporting requirement set out in Article 14(7) of Regulation 1042/2014 on the audit work carried out to support the audit opinions.

An amendment to the above mentioned regulation was adopted in May 2018 and came into force in October 2018. As a consequence as from the accounts for financial year 2018 submitted in February 2019, the national Audit Authorities will report to DG HOME both the detected and the residual error rates.

For the current AAR reporting year, DG HOME estimates the residual error rates for each national programme and the potential need for reservation based on the level of assurance determined in accordance with the elements described in sections 1.2.2 and 1.2.3, as follows:

<u>Level of Risk</u>	<u>Flat rate estimation of RER in the absence of relevant information from the AA</u>	<u>Reservation proposed</u>
Reasonable assurance	0,50%	No
Reasonable assurance with low risk	1,50%	No
Limited assurance with medium risk	5,00%	Yes
Limited assurance with high risk	10,00%	Yes

The above percentage will be used to estimate the residual risk for payments made in the reporting year and the cumulative residual risk from the beginning of the programming period.

As a strong mitigating factor to be taken into account for the assessment of the residual error rate, it must be noted that only one final payment per year is made by DG HOME, following the receipt and assessment of the audit opinion issued by the national Audit Authority on the annual accounts (including the legality and regularity of the expenditure for which reimbursement is requested from the Commission) and the RA's management and control system.

2. Direct management – research grants

Research grant expenditure is composed of directly managed FP7 and H2020 grants. The error rate affecting the payments is estimated yearly and per management system, following a relevant methodology that takes into account the risk associated to the type of expenditure (in terms of probability and final financial impact).

Research framework programmes – common aspects

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

General ex post methodology

The Common Representative Sample (CRS) provides an estimate, via a representative

sample of cost claims across the Research and Innovation Family, of the **overall level of error** in the Research Framework Programmes, across all services involved in its management. All of these grants follow the same homogeneous overall control system set out in this report.

The CRS is complemented by 'risk-based' audits; audits selected according to one or more risk criteria. These audits are intended to detect and correct as many errors as possible, for instance by targeting the larger beneficiaries and through the identification of possibly fraudulent operators. These audits are also referred to as 'corrective' audits.

Different indicators are calculated to provide a comprehensive view of legality and regularity:

Overall Detected Error Rate: this is the error rate derived from the results of all audits, whether audits on a representative sample of beneficiaries or audits implemented for other reasons (large beneficiaries, preventive audits, risk factors, etc). Its value is cumulative and can be calculated for a specific implementing body or for the whole Research and Innovation Family.

Representative Error Rate for the Framework Programme: this is the error rate derived solely from the results of the CRS, extrapolated to the overall population and calculated for each FP as a whole. This error rate provides an estimate of the level of error in the given Framework Programme at the time of the audits, but does not factor in the follow-up and corrections/recoveries undertaken by Commission services after the audit, nor does it provide information on the net final financial impact of errors.

Residual Error Rate: the residual error rate, on a multi-annual basis, is the extrapolated level of error remaining after corrections/recoveries undertaken by Commission services following the audits that have been made. The calculation of the residual error rate, as shown below is based on the following assumptions:

1. all errors detected will be corrected;
2. all non-audited expenditure of audited beneficiaries is clean from systematic material errors so that the residual error rate in this expenditure can be estimated to be equal to the non-systematic part of the representative error rate (for expenditure subject to extension of audit findings this is only assumed when the respective extension procedures have been closed).

The residual error rate develops over time and depends on the assumptions set out above. This indicator is reliable and acceptable for the purposes for which it was intended, i.e. as a legality and regularity indicator on the progress made, through its ex post audit strategy, in dealing with errors over a multi-annual basis. However, it remains an estimate as long as not all cost claims have been received and not all cases of extension of audit findings have been fully implemented yet.

Residual error rate calculation and assessment of the effectiveness of controls

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

$$Re sER\% = \frac{(Re pER\% * (P - A)) - (Re pERsys\% * E)}{P}$$

where:

ResER%	residual error rate, expressed as a percentage.
RepER%	representative error rate, or error rate detected in the common representative sample, expressed as a percentage. For FP 7 this rate is the same for all Research services.
RepERsys%	portion of the RepER% representing (negative) systematic errors, expressed as a percentage. The RepER% is composed of two complementary portions reflecting the proportion of negative systematic and non-systematic errors detected.
P	total aggregated amount in euros of EC share of funding in the auditable population. In FP7, the population is that of all received cost statements, and the euros amounts those that reflect the EC share included in the costs claimed in each cost statement. In H2020 , it is total requested EC contribution (€) in the auditable population (i.e. all paid financial statements).
A	total EC share of all audited amounts (FP7) or the share approved by financial officers (H2020), expressed in euro. This will be collected from audit results.
E	total non-audited amounts of all audited beneficiaries. In FP7, this consists of the total EC share, expressed in euro, excluding those beneficiaries for which an extrapolation is ongoing).

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

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

In case a calculation of the residual error rate based on a representative sample is not possible for a FP for reasons not involving control deficiencies,⁷ the consequences are to be assessed quantitatively by making a best estimate of the likely exposure for the reporting year based on all available information. The relative impact on the Declaration of Assurance would be then considered by analysing the available information on qualitative grounds and considering evidence from other sources and areas. This should be clearly explained in the AAR.

Multiannual approach

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

⁷ Such as, for instance, when the number of results from a statistically-representative sample collected at a given point in time is not sufficient to calculate a reliable error rate.

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

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

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

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

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

Adequacy of the audit scope

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

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

Research framework programmes – specific aspects

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

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

Seventh Framework programme

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

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

Research and Innovation Family DGs made continuous efforts to mitigate the risk of error in FP7 expenditure, including:

- a number of simplifications (for example those contained in the Commission Decision of 2011) and modifications to the Model Grant Agreement;
- a major communication campaign targeting beneficiaries and their auditors;
- continuous review of ex ante control procedures, often based on the results of audits by the Commission's auditors as well as those of the European Court of Auditors.

Horizon 2020 Framework Programme

The error rates set out in the main part of the AAR **must still be treated with care**. The two first CRS are not yet complete, and so the error rate is not yet fully representative of the expenditure that it covered. In addition, the first CRS was taken at an early stage of the programme in order to provide an early indication of the error rate and, also, to help assess whether the simplifications introduced in Horizon 2020 had been effective. The nature of expenditure in the first years of the programme may not be totally representative of the expenditure across the whole period of expenditure. And the programme is in any case multi-annual, so the error rates, and especially the residual error rate, must be considered over time. In particular, the cleaning effect of audits over time will tend to increase the difference between the representative/detected error rate and the residual error rate, with the latter finishing at a lower rate.

There is nevertheless evidence that the simplifications introduced in Horizon 2020, as well as the increased experience of major beneficiaries, are reducing the number and level of errors made by beneficiaries. However, beneficiaries still make a number of errors, sometimes because of a lack of understanding of the rules, sometimes because of a non-respect of the rules.

To improve clarity of the rules and compliance with them Research and Innovation Family has already taken the following actions:

- The Model Grant Agreement, and its accompanying annotations, have already been adjusted to introduce simplifications or clarifications on different points. The results of the first audits were considered in a working group bringing together auditors from the Commission and the Court of Auditors to see where additional simplifications and clarifications may be needed⁸.
- Considerable efforts have been made to ensure clear communication of the rules and guidance to participants and their auditors. In 2018, the Common Support Centre has been attending and coordinating 15 events organised by the National

⁸ This meeting took place on 14 March 2018.

Contact Points of members States and associated members with a total of 1819 participants.

- Lump sum funding has already been used for the SME stage 1 calls grants. Trials of lump sum funding for collaborative projects began in 2018 to evaluate if this form of entitlement funding, which would avoid errors of legality and regularity, is appropriate to achieving all the objectives of research policy. These trials will continue in 2019, and include the extension of lump sum funding to the ERCEA Proof of Concept grants.

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

The first audit results suggest that the detected (and in future representative) error rate will remain within the established range. Together with the experience in FP7, they also suggest that the objective for the residual error rate will be respected.

3. Direct management – Grants non-research

For the direct management of grants, the assessment of the residual error rate and amount at risk not detected by the supervision and ex ante elements of the internal control system is carried out through an analysis of the accumulated results of the ex post audits.

STEP 1 – Cumulative Residual Error Rate

A. Adequacy of the audit scope

Auditable population (scope of the analysis) = value of all relevant payments (i.e. interim and final payments, plus related cleared pre-financing) relating to the programming period for which the payment was made and/or the pre-financing cleared before 31st December of the reporting year (= "closed" grants)

Audited population = value of "closed" grants audited, relating to the programming period, and for which the audit report was finalised before 31st December of the reporting year

The overall objective of the ex post audit strategy is to contribute to the Director General's annual declaration of assurance concerning the activities of DG HOME. Ex post audits are a key part of the Directorate's overall internal control structure, and the assessment of results from ex post audits are included in the management's assessment of the operational effectiveness of the internal control system concerning programmes managed under the Direct Management mode.

The evaluation of the results of the ex post audits of projects managed under Direct Management in the Annual Activity Report is one part of the assessment of assurance concerning the operational effectiveness of the Directorate's overall internal control structure.

Over the years, such an approach is considered representative enough if a sufficient coverage, set at 10% of the auditable population, is reached. Indeed, even with "annual" programmes, a cumulative approach is possible, per fairly homogeneous "generation" of programmes.

The selection of the grants to be audited is based on a statistical selection method - the Monetary Unit Sampling (MUS). If necessary, a complementary sample (non-statistical risk-based) may be selected with a view to address specific risks of a programme, coverage issues, project area and/or a specific project.

Statistical sample selection – MUS

Statistical sampling methods provide for the selection of a sample that represents the population and therefore allow to project (extrapolate or estimate) to the population the value of a parameter (the "variable") observed in the sample. On this basis, statistical sampling methods allow to conclude whether a population is materially misstated or not, and if so, by how much (error amount).

The Monetary Unit Sampling [MUS] is a statistically representative method in line with DG BUDG AAR Instructions - Guidance on the calculation of error rates, the financial

exposure as amount at risk, the materiality for a potential reservation and the impact on the AOD's declaration – 2015 version⁹

The MUS technique presents the following advantages:

- the selected samples have a good level of representativeness of the whole population. The conclusions of the audited sample of grants (i.e. as presented in the respective audit reports) can therefore provide useful indicators for the evaluation of the granting activity of the DG that has to be reported in the Annual Activity Report (AAR);
- all the grants that are present in the population can be selected, irrespective of the level of risk they present.

Complementary sample

When deemed appropriate, a complementary sample may be selected on a non-statistical basis (e.g. risk-based) in order to address specific areas of concern. This selection of the complementary sample may take into account specific risk indicators as (i) the presence of grants governed by regulations/conditions that are particularly complex or that have been object of recent significant changes, (ii) operating Grants referring to recurrent beneficiaries that have not been audited during the last 3 years; (iii) 'first year' Operating Grant, (iv) the presence of several grants referring to the same beneficiary; (v) the beneficiary has been recently audited and the errors/irregularities detected by the auditors could be present also in other grants etc.

Each detailed list of grants to be audited per programme is subsequently presented to the AOSD in charge, which could identify other grants with a high risk profile which were not included in the annual draft audit plan.

In the reporting year, one Delegation Agreement awarded to UNHCR was selected for verification according to FAFA agreement.

B. Results of the audits finalised since the start of the programming period

(Cumulative) detected error (amount) = For audited grants, total grant value as initially paid after the ex ante controls minus grant value as calculated after the ex post control¹⁰

(Cumulative) detected error rate (%) = Detected error divided by the grant value as initially paid after the ex ante controls

C. Determination of the residual error rate

Uncorrected detected errors (amount) = All detected errors pending recovery

Cumulative residual error rate in the audited population (%) = Uncorrected amount divided by the audited population

Residual error rate in the entire population (%) = (uncorrected errors detected in the audited population plus detected error rate multiplied by the non-audited population divided by the auditable population

⁹https://myintracomm.ec.europa.eu/budgweb/FR/rep/aar/_layouts/15/WopiFrame.aspx?sourcedoc=/budgweb/FR/rep/aar/Documents/additional-guidance-error-rates.docx&action=default&DefaultItemOpen=1

¹⁰ Positive amounts only. In case, following this calculation, the result would be a negative amount, it should be brought back to zero.

STEP 2: Financial exposure from errors in terms of cumulative "amount at risk"

Cumulative Amount at risk (net amount) = *uncorrected errors detected plus non-audited population multiplied by (cumulative) detected error rate*

STEP 3: Materiality and potential reservation

As long as the residual error rate has not (yet) decreased to below 2% set as a multiannual target, a reservation should be considered.

In case this multi-annual analysis leads to a reservation, then (in view of the annual scope of the AAR) the related actual financial exposure on the authorised payments of the reporting year is calculated by multiplying the cumulative residual error rate by the sum of direct grants payments based on cost statements actually processed and pre-financings cleared in a given year.

4. Indirect management: Payments to traditional agencies

STEP 1 –Residual Error Rate

The Community subsidy is paid to the Agencies through maximum four payments a year, on the basis of an analysis of the real cash flow needs of the Agencies. Once an admissible payment request is registered by DG HOME, payments are made within 30 calendar days. If information comes to the notice of DG HOME which puts in doubt the eligibility of expenditure appearing in a payment request, DG HOME may suspend the time limit for payment for further verifications and/or take any appropriate measures in accordance with the principles of sound financial management. This above mentioned information includes suspicion of irregularity committed by the Agency in the implementation of the subsidy and suspected or established irregularity committed by the Agency in the implementation of a contract or another grant agreement or grant decision funded by the General Budget of the European Union or by any other budget managed by the Agency. If the balance of the budgetary outturn account is positive, it shall be repaid by the Agency to the Commission during the first semester of year N+1 on the basis of a debit note issued by the Commission.

The controls operated on the use of these payments, i.e. either management's supervision of audits carried out by the Internal Audit Service (IAS) or the European Court of Auditors (ECA) may result in the detection of compliance errors or irregularities. These are mainly **payment or recovery (amount) errors**: i.e. cases where, without the error, the amount paid to or recovered from beneficiary would have been different. In this case, as long as it remains uncorrected, the difference in amount is to be treated as an error with its consequences on the (cumulative) error rate.

STEP 2: Financial exposure from errors in terms of "amount at risk"

The real actual 'net'¹¹ financial impact of the errors defined under step 1 is considered as amount at risk, and (if very significant) its 'quantitative' materiality is considered for a potential financial reservation.

¹¹ Any correction actually made by the Commission should be deducted from the detected error

Step 3: Materiality and potential reservation

To determine the materiality of the amount at risk the total amount at risk is divided by the total value of payments made in a given year for each Agency. If the amount at risk exceeds 2%, a reservation should be considered.

Besides a financial risk, other elements are considered for issuing a reservation due to a reputational risk in relation to Agencies' activities. Such information may stem, for example, from critical issues raised by the Internal Audit Service or Court of Auditors on the Agencies' management and control systems. In view of the seriousness of the findings, a reputational reservation is considered e.g. when affecting a significant part of the related activity, when being systemic, when causing a (risk of) fall-out in press and/or public, etc.

5. Procurement and other expenditure

STEP 1 –Residual Error Rate

Procurement-related errors can occur both in contracts awarded by the Commission and in contracts awarded by grant beneficiaries who subsequently submit the expenditure for reimbursement.

Errors incurred by grant beneficiaries are covered under the section related to grants, whereas this section covers the errors potentially occurring in contracts awarded by DG HOME.

The DG's own controls and/or internal and external audits (Internal Audit Service or the European Court of Auditors) carried out on these operations, may result in the detection of compliance errors or irregularities. These can be classified in two categories for the purpose of assessing their impact on the assurance:

- ✓ **Payment (amount) errors:** i.e. cases where, without the error, the amount paid would have been different. In this case, as long as it remains uncorrected, the difference in amount is to be treated as an error with its consequences on the error rate;
- ✓ **Procedural (contract selection and award) errors** are those which seriously impair the application of the principles of "open, fair, transparent competition" and "award to the best qualified bidder", i.e. cases where the contractor selected might have been different if the procedure would have been correct. In these cases, the size of the error is, by default, set at 100% of the transaction amount and included into the calculation of DG HOME's error rate. This is in line with ECA's new approach and is necessary to comply with the principle of transparency and allow stakeholders to compare the Commission's error rate with the one published by the ECA.

STEP 2: Financial exposure from errors in terms of "amount at risk"

The financial exposure differs depending on the type of errors:

- ✓ For **payment (amount) errors:** the amount at risk is the real actual 'net'¹² financial impact of the errors and its 'quantitative' materiality is considered for a potential financial reservation. These financial procurement errors are taken into consideration for the application of the quantitative materiality criteria
- ✓ For **procedural (contract selection and award) errors**, DG HOME considers that even when the contractor should/could have been different, this does not

¹² Any correction actually made by the Commission should be deducted from the detected error

always mean that the full (100%) value of the contract is 'at risk' (or that the taxpayer's money would be entirely 'lost'). Consequently, these kinds of errors cannot be considered for making a financial reservation (given that in terms of materiality the actual financial impact cannot be quantified in a consistent way with the payment errors) and are therefore not included in the calculation of the actual financial exposure (amount at risk). However, given that DG HOME acknowledges the seriousness of breaching any of the key principles of public procurement, these types of procurement errors are considered for making a potential *reputational* reservation, rather than a financial one (*e.g. when affecting a significant part of the related activity, when being systemic and affecting more/all of DG HOME's procurement processes, when causing a fall-out in press and/or public, etc. – see below*).

Step 3: Materiality and potential reservation

For payment (amount) errors: The materiality of the amount at risk is obtained by dividing the total amount at risk by the total value of payments made in a given year for procurement and other expenditure. If the amount at risk exceeds 2%, a *financial* reservation should be considered.

For **procedural (contract selection and award) errors**, in view of the seriousness of the (type) of procurement error, a *reputational* reservation is considered *e.g. when affecting a significant part of the related activity, when being systemic and affecting more/all of DG HOME's procurement processes, when causing a fall-out in press and/or public, etc.*

ANNEX 5: Relevant Control System(s) for budget implementation (RCSs)

Information provided per management mode and per step where step 1 encompasses a set of control activities until payment and step 2 refers to controls after payment, as summarised in the below tables.

1. Shared management

STEP	ACTIVITIES		
Ex ante (2014-2020)	Negotiation and assessment/approval of spending proposals (including revision of NPs)	Implementation of operations by Member States on expenditure	Monitoring and supervision of the execution of annual programmes; clearance of accounts
Ex post (2007-2013 and 2014-2020)	Ex post audits and desk reviews on the legality and regularity of expenditure	Implementing results from ex post audits	

2. Direct management - Grants

STEP	ACTIVITIES		
Ex ante (2014-2020)	Preparation, adoption and publication of AWP and Calls for proposals	Selection and award; contracting	Monitoring of the execution
Ex post (2007-2013 and 2014-2020)	Ex post audits on the legality and regularity of expenditure	Implementation of recommendations from ex post audits	

3. Direct management - Procurement

STEP	ACTIVITIES		
Ex ante	Planning and needs assessment; tendering	Evaluation and selection of the offers ¹³ ; contracting	Monitoring of the implementation of contracts
Ex post	Not applicable as DG HOME procurement is audited by IAS and ECA		

4. Indirect management - Entrusted Entities and Decentralised Agencies

STEP	ACTIVITIES		
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¹³ For H2020, DG HOME uses framework contracts of other DGs, therefore this step is not applicable to transactions for H2020.

Ex ante	Establishment (or modification) of the mandate to the entrusted entity and assessment of its financial and control framework Establishment of MoU with decentralised agencies	Monitoring, supervision and reporting	Payment of contribution (EE) and annual subsidy (DA)
Ex post	Ex post audits on the legality and regularity of expenditure of EE under FAFA No ex post audits on DA (as carried out by IAS and ECA) but as parent DG follow up of the discharge process of decentralised agencies is ensured	Follow up of the discharge process of decentralised agencies	

1. Shared management (MFF 2014-2020 – except when explicitly referred to MFF 2007-2013)

Step 1 – ex ante

Main risks It may happen (again) that...	Mitigating controls	Coverage, frequency and depth of controls	Cost-effectiveness indicators (three E ¹⁴)
The National Programmes (NPs)¹⁵ financed through AMIF and ISF do not adequately reflect the policy objectives or priorities Lack of complementarity with initiatives programmed by other DGs in migration and security	Revisions of the NPs through a process that includes: - Senior-level policy dialogues with the MSs to focus on objectives, results and impacts - Internal procedures to help actors during the revision phase and guidance to MSs - Internal consultation (financial and policy contents), validation at DG level of each revised NP. - Checkboards and discussions in weekly meetings. - Inter-service consultation with relevant DGs and adoption of the NPs	Coverage and frequency: 100% Depth: guidelines and requirements set in applicable regulatory provisions, checklist.	Effectiveness: % of NP revisions adopted as compared to previous years Efficiency: Average time to revise a NP Economy: Cost of controls by COM staff over total value of payments
Management and control systems (MCS) set up by the RA no longer compliant with the designation criteria Controls by the RA are not timely or duly documented Annual accounts submitted to the Commission include expenditure irregular or non-compliant with EU	At the level of <u>Responsible Authority</u> (RA): - Control activities for selection of projects - Controls for verification of payment claims submitted by the beneficiaries (administrative and on the spot controls) - Controls for payments, accounting, advance payments, debt management, rules regarding irregularities and anti-fraud measures and recoveries when necessary - Operational and financial reporting to the COM	Coverage: as set in the regulatory framework. In particular, verifications carried out by the RA cover administrative, financial and technical contents of projects, and include 100% administrative verifications of the applications for reimbursement submitted by the final beneficiaries.	Effectiveness: level of assurance given by DG HOME to the management and control systems set up by MSs Efficiency: low rate of partial clearance of accounts by COM (clearance/total accounts) and trend over last two years Time-to-pay annual clearance

¹⁴ Effectiveness, Efficiency, Economy

¹⁵ For DG HOME actions, programmes and projects under the 2014-2020 MFF (AMIF and ISF).

Main risks It may happen (again) that...	Mitigating controls	Coverage, frequency and depth of controls	Cost-effectiveness indicators (three E¹⁴)
and/or national eligibility rules and legislation. Submission of the accounts after the deadline set in the Regulation 514/2014. Beneficiaries not fully aware of their obligations (e.g. eligibility of expenditure, procurement rules, indicators, retention of documents) Quality of AA audit work is not reliable (limited reliance on AA audit work) The controls and audits by MS fail to detect and correct ineligible costs The audit work carried out by the AA is insufficient to obtain adequate assurance COM fail to take appropriate measures to safeguard EU funds, based on the information received.	- RA guidance and continuous assistance to (potential) beneficiaries - Realistic planning by RA in close coordination with AA At the level of <u>Audit Authority</u> (AA): - Audits at the level of RA to ascertain the reliability of the controls put in place by the RA (system audits and audits on sample of expenditure included in the annual accounts) - Possibility to carry out on the spot checks at the level of beneficiary - Annual audit opinion as per article 59 of the Financial Regulation System audits by COM Revision of audit opinions issued by AA Re-performance by COM of AA audit work Audits by the European Court of Auditors (and the IAS to a limited extent)	Depth First-level checks (administrative and on the spot controls) as management verifications. System audits by the AA on the RA Audits of expenditure by AA Clearance of accounts by COM Monitoring missions by COM 2014-2020 Coverage: all audit opinions by AA Sampling of MCSs based on annual risk assessment	(and % of payments within delays) Economy: Cost of controls by COM staff over total value of payments Stable or lower number of monitoring missions by DG HOME over the last three years

Step 2 – ex post (only for MFF 2007-2013 as ex post audit on expenditure not planned yet on AMIF/ISF 2014-2020)

Main risks It may happen (again) that...	Mitigating controls	Coverage, frequency and depth of controls	Cost-Effectiveness indicators (three E)
2007-2013 The management verifications and subsequent controls by the Member States have failed to detect and correct ineligible costs or calculation errors.	2007-2013 Ex post audits by DG HOME on expenditure Financial corrections implemented by DG HOME	2007-2013 Coverage: sampling based on annual risk assessment Audit of the expenditure certified to DG HOME Depth: audits of the quality and reliability of the information based on DG HOME 's own audits; validation and where necessary adjustment of error rates reported by MS to calculate the cumulative residual error risk (RER).	Effectiveness: estimate of (residual) amount at risk per MS and cumulated. Cumulative residual risk below materiality (2007-2013 only) Errors detected by ex post audits Efficiency: time-to-final payment (and % of payments within delays) Economy: Overall cost of ex post controls over total payments

2. Direct management - Grants

Step 1 – ex ante

Main risks It may happen (again) that...	Mitigating controls	Coverage, frequency and depth of controls	Cost-Effectiveness indicators (three E)
Delays occur in adopting the Financing Decision or AWP The AWP is published later than 31 March of the year of implementation The AWP/Call does not adequately reflect the objectives pursued and/or the eligibility, selection and award criteria are not adequate to allow proper evaluation of the proposals The AWP/Call does not contain the information required in the regulatory framework Calls for proposals and AWPs are not adequately published and fail to reach all target groups.	Communication between the financial and policy units on objectives/instruments (regular meetings) Hierarchical validation within the authorising department Inter-service consultation Adoption by the Commission Use of documents for checks based on corporate templates	Coverage: 100% of all AWPs/calls Frequency: during the preparation of each AWP/call Depth: all AWPs are thoroughly reviewed at all the competent levels of both operational and financial management.	Effectiveness: awarded budget over available budget Efficiency: time to inform Economy: cost of staff involved in Step 1 over the total payments (evolution in time from 2018 on)
A beneficiary is awarded several grants from the EU budget for a single action (Risk of double financing/risk of non-cumulative award) The pre-announced selection and award criteria are not adequately and consistently applied for the evaluation of proposals The action is not clearly defined in the grant application A grant is awarded for an action which has already begun but the applicant cannot demonstrate the need for starting the action prior to	Detailed procedures for calls factors in time to gather missing documents Where relevant, cross-checks with other DGs on possible double-financing if grants awarded to the same beneficiary by other DG (ABAC/LEF) The Guide for applicant and the kick-off meetings ensure a common understanding of the requirements. Very detailed application forms have been developed and used since 2013. Since 2013 calls inform applicants that the actions start after the signature of the grant agreement. Selection and appointment of expert evaluators	Coverage: 200% -300% checks (checked at least by 2-3 independent evaluators) and double checked by internal committee. Where relevant, proposals are cross-checked with other DGs, checks made depending on programme Depth: cross-check when risk justifies it	Effectiveness: selected proposals over received proposals (trend over the last two years) Number of litigation cases over total number of received proposals Efficiency: time-to-inform Economy: cost of staff and experts involved in the evaluation and selection of proposals over the total payments (evolution in time from 2018 on)

Main risks It may happen (again) that...	Mitigating controls	Coverage, frequency and depth of controls	Cost-Effectiveness indicators (three E)
signature of the grant agreement or notification of the grant decision	For H2020: evaluation by REA, selection decision by DG HOME.		
The beneficiary lacks operational and/or financial capacity to carry out the actions. Late signature of the grant agreement (time to grant not respected). The grant agreement does not contain all applicable provisions The estimated budget of the grant application significantly overestimates the amounts necessary to carry out the action or WP and this is not identified in the recommendations of the evaluation committee	Review and checks during the contracting phase of action plan and budget (consistency and plausibility). In-depth financial verification and appropriate measures for high risk beneficiaries adopted. Project desk officers implement the recommendations of the evaluators when discussing with selected applicants. Strict follow-up of budget appropriations to ensure availability of resources on time for payment Internal reporting Hierarchical validation within the authorising department. Use of Commission contractual templates. The budget is checked before the award decision, which increases the economy and efficiency of the distributions of funds. H2020: Participant Guarantee Fund The controls corresponding to this stage are performed using the IT Commission tool for managing grants SYGMA/COMPASS, common to all Research DGs. Validation of beneficiaries by REA/URF (Uniform Registration Facility)	Coverage: - 100% of the selected proposals and beneficiaries are scrutinised. - 100% of drafts grant agreements. Depth: may be determined after considering the type or nature of the beneficiary and/or of the modalities (e.g. substantial subcontracting) and/or the total value of the grant.	Effectiveness: value of grant agreements signed over grant amounts requested in applications (%) Efficiency: time-to-grant Economy: cost of controls over total payments for grants
Risk of poor financial management by beneficiaries and intermediaries The Commission reimburses non eligible costs; risk of processing irregular transactions	Programme website, guidance notes, ex ante sector guidance, information meetings with beneficiaries, helpdesk at COM Controls carried out by operational desks on technical implementation report in order to	Coverage: 100% of files Depth: - for desk checks of expenditure: control includes progress reports	Effectiveness: ineligible costs in processed cost claims over total value of processed cost claims Efficiency indicators: time-to-

Main risks It may happen (again) that...	Mitigating controls	Coverage, frequency and depth of controls	Cost-Effectiveness indicators (three E)
The beneficiary unduly obtains financial profit as a result from systemic or recurrent errors, irregularities, or fraud Several authorising officers implement the same programme and do not treat the beneficiaries equally (FP7/H2020) Changes to contracts are not properly documented or authorised Payments are made late (interest claims)	deliver the statement "<i>conforme aux faits</i>" Controls carried out by financial desk officers on financial and legal matters to deliver the statement "<i>bon à payer</i>" Network of Financial Initiating Agents (FIA) to coordinate and share good practices and knowledge Checklists developed since 2012 reflect the roles of the parties involved in the financial circuits Procedure for registration of exceptions duly in place Monthly reporting to management on late payments For FP7/H2020: - the monitoring using SYGMA/COMPASS (common IT tool used by research DGs) - independent reviewers assess the quality of deliverables	and final technical implementation report - for controls carried out for "<i>conforme aux faits</i>": control includes technical implementation reports and if need be additional information (e.g. audit certificate or other verification) - for controls carried out for "<i>bon à payer</i>": control without reference to underlying documents, but with reference to and including access to the underlying documentation (e.g. timesheets, invoices, physical verification, etc.), technical implementation reports and if need be additional information such as independent oversight (e.g. audit certificate or other verification) Audit certificates required for any beneficiary claiming more than EUR 375.000 (FP7/H2020)	pay Economy: estimation of cost of controls over total value of payments

Step 2 – ex post

Main risks It may happen (again) that...	Mitigating controls	Coverage, frequency and depth of controls	Cost-Effectiveness indicators (three E)
Risk of irregular expenditure co-financed remain undetected Risk of fraudulent activities remain untracked	At any time during the implementation period and for five years after partial or final payment, COM can carry out audits with of a sample of transactions. Ex post audits carried out by COM. For FP7: common representative audit sample (CRSs) used by Research DGs to identify the common errors across the whole FP7 operations. Financial corrections following audits are also implemented via extrapolation to non-audited projects.	Coverage: As a general rule, between 15% and 25% of the expenditure of an annual programme checked over the 5-year period. Ex post audits based on a risk assessment Common representative audit sample (CRSs) used by Research DGs; monetary unit sample (MUS) across the programme to draw valid management conclusions on the error rate in the population (FP7) Depth: Control with reference to and including access to the underlying documentation that is available at the stage of the process in question, for all inputs and outputs (e.g. timesheets, invoices, physical verification, etc.).	Effectiveness: detected error rate Number of projects with errors detected over total population FP7: Cumulative Common Representative Error Rate Efficiency: recovery implementation ratio; number of recovery orders (RO) issued after ex post audit (target set as 75% by end-March N+1) Economy: cost of staff and external auditors involved in ex post audits over total payments (trend over last two years)
The errors, irregularities and cases of fraud detected are not addressed or not addressed timely	Systematic registration of audit results to be implemented by the operational units. Financial and operational validation of recovery in accordance with financial circuits. Working Group on the coherence of ex post and ex ante controls in research DGs - Extrapolation	Coverage: 100% of final audit results <i>with a financial impact</i>.	As above

Main risks It may happen (again) that...	Mitigating controls	Coverage, frequency and depth of controls	Cost-Effectiveness indicators (three E)
	Steering Committee(ESC)/ Common Audit Service (CAS)		

3. Direct management - Procurement

Step 1 – ex ante

Main risks It may happen (again) that...	Mitigating controls	Coverage, frequency and depth of controls	Cost-Effectiveness indicators (three E)
Procurement needs not clearly defined or economically justified Inappropriate choice of procurement procedure and calculation of threshold due to staff's lack of knowledge/experience Poor definition of the tender specifications lead to inadequate / incomplete offers	Training in procurement offered to staff Financial circuits include ex ante verifications Ex ante control provides also support on procedures New checklists developed in 2012 reflect the roles of the parties involved in the financial circuits The Authorising Officer checks that procurement needs and selection criteria are clearly defined and justified from an economic and operational point before approval of documents to launch the call	Coverage: 100% of tendering procedures Frequency: whenever needed during the preparation of the tendering procedures	Effectiveness: low number of unsuccessful procurement procedures Efficiency: Evolution of the error rate detected by ECA (over last 2-3 years) Economy: cost of staff over value of payments (over the last 2-3 years)
Insufficient quality of the evaluation report, which may have impact on the award decision; errors potentially leading to challenge by the potential contractors (even if unsuccessfully) Conflict of interests Non-compliance with applicable	An evaluation committee prepares the selection of the contractors (except for low value contracts) An advisory body is consulted on procurement files on a mandatory /voluntary basis (HPC) Timely communication to unsuccessful tenderers Declaration of lack of conflict of interest signed by each member of the committee (and the	Coverage: 100% of the offers analysed Depth: all documents submitted by contractors are checked	Indicators: as above

Main risks It may happen (again) that...	Mitigating controls	Coverage, frequency and depth of controls	Cost-Effectiveness indicators (three E)
rules (publication, transparency, time limits, opening of tenders, etc.) Risk of over-dependency from a restricted number of contractors due to the limited availability of specialist knowledge on the market	manager) Transparency measures: calls for tender published in the Official Journal and on the Europa website. Updated information and FAQ regularly posted on the website; physical protection of the received offers (locked room and segregation of original and copies) Procedures to analyse the risk of over-dependency on contractors in place (periodic reviews: development of prices, business trends, main players, market shares, any barriers to entrants, etc.) Information and awareness-raising events on ethics, integrity and fraud prevention organised for all staff		
Non-compliance with the legal and regulatory requirements Lack of necessary experience and skills or inadequate arrangements for monitoring the contractor's performance and/or verifying the delivered services/supplies Delayed payments causing late interests	Standards contracts of DG BUDG used. Specific templates for IT contracts approved by SecGen and DG BUDG. Contracts and transactions registered in ABAC. The existing financial circuit is model 3 "decentralised circuit with central counterweight", where the operational initiation and verification functions as well as the financial initiation function are executed within each directorate. The ex ante financial verification is performed by the unit in charge of ex ante and ex post controls (Unit E4). Monthly reporting including indicators on time-to-pay made available to management	Coverage: 100% of the contracts are controlled. Depth: all received documents	Effectiveness: Number of contracts signed Efficiency: Time-to-pay; Amount of late interest payments over total payments Economy: cost of controls over total payments of signed contracts (comparison of last 2-3 years)
An error or non-compliance with regulatory and contractual provisions, including technical specifications, or a fraud is not prevented, detected or corrected by	Verification that processes are working as designed: compliance with Internal Control Principles; risks assessed at the programme level within the yearly risk analysis exercise. Follow-up of critical risks for DG HOME every 6	Coverage: ECA audit based on MUS sample on all payments in a year + IAS audit plan	As above

Main risks It may happen (again) that...	Mitigating controls	Coverage, frequency and depth of controls	Cost-Effectiveness indicators (three E)
ex ante control, prior to payment	months. ECA and IAS audits on procurement	Depth: review of the implemented procedures (procurement and financial transactions)	

Step 2 – ex post

No ex post controls carried out by DG HOME on its procurement procedures, as these are subject to audits by IAS and ECA.

4. Indirect management - Entrusted Entities and Decentralised Agencies (*In the absence of specific reference, the information refers to both*)

Step 1 – ex ante

Main risks It may happen (again) that...	Mitigating controls	Coverage, frequency and depth of controls	Cost-Effectiveness indicators (three E)
The revision of the mandate of the entity is affected by legal issues, likely to undermine the legal basis for the management of the related EU funds	Ex ante control Hierarchical validation within the authorising department Inter-service consultation Adoption by the Commission	Coverage/Frequency: 100%/once Depth: Checklist includes a list of the requirements of the regulatory provisions to be complied with. Consistency with MoU of other entities entrusted by DG HOME.	Effectiveness: adoption of the revised legal acts without objections from central services in inter-service consultation
The entities do not respect the provisions of article 62 <i>Methods of budget implementation</i> of the FR (2018)	The Memoranda of Understanding provide for financial relations between the partner DG and the entities Revisions of existing MoU are subject to ex ante control and inter-service consultation The entities are audited by IAS and ECA The COM is represented in their Management Boards, which inter alia ensure follow up of audit recommendations	Coverage: 100% of entities are supervised Frequency: Management Board meetings (2 to 4 /year / entity), preparatory meetings and meetings of the working groups on finance and accounts (2 to 4 / year / entity) annual ECA report IAS audit reports Depth: desk review of audit reports issued by IAS, ECA and, where applicable, Internal Audit Capability	Effectiveness: timely closure of recommendations from IAS and ECA audits as reported in AOSD reports Efficiency: total costs of monitoring and control by staff over total payments to entities (comparison over time 2-3 years) Economy: costs of controls by EEs below 7%
The Commission does not suspend payments despite the detection of systemic errors by IAS or ECA (doubts on reliability of Internal Control) NB	Memoranda of Understanding signed with the DAs specify the conditions for suspension of payments	Coverage: 100% of the payments made to entrusted entities	Effectiveness: Timely suspension of payments in case of detection of systemic error (only EEs)

Main risks It may happen (again) that...	Mitigating controls	Coverage, frequency and depth of controls	Cost-Effectiveness indicators (three E)
Only for EEs.		Frequency: quarterly Depth: information mainly from IAS and ECA audits	Efficiency indicators: Time-to-pay
Due to weak "modalities of cooperation, supervision and reporting", COM is not timely informed of relevant management issues encountered by the entity, and/or does not (timely) react upon notified issues by mitigating them or by making a reservation, thus damaging COM reputation.	Delegation Act/ Contribution agreement specifying the control, accounting, audit, publication, etc. related requirements – <i>incl. the <u>modalities on reporting back relevant and reliable control results</u></i> Monitoring or supervision of the entrusted entity (e.g. 'regular' monitoring meetings at operational level; review of reported control results and any underlying management /audit reports if available; representation and intervention at the board, analysis of annual report and other progress reports, etc.). Implementation of DG HOME Control strategy on decentralised agencies Potential escalation of any major governance-related issues with entrusted entities Referral to OLAF (suspicion of fraud)	Coverage: 100% of the entities are monitored/supervised. Frequency: once or twice a year (progress report(s) and a final report) according to the conditions of the Delegation agreement Depth: limited to the actual access to internal documents by COM	Effectiveness: number of serious IAS and ECA findings of control failures addressed by the entities, as reported in AOSD reports Efficiency: ration of re-use of appropriations released by DAs during mid-term "global transfer" (or other mechanisms to release unused appropriations) over total amount released by DAs Economy: cost of controls over total payments
The Commission pays out the contribution to the entity, while not being aware of management issues that may lead to financial and/or reputational damage (only for EEs).	Delegation Act / MoU specifying the control, accounting, audit, report related requirements – <i>incl. reporting back</i> Management review of the supervision results. Ex ante control prior to payments Monitoring and supervision of budget implementation through preparatory working groups and MB meetings (DAs only) Hierarchical validation of payment and recovery of unspent operating budget	Coverage: 100% of payments. Frequency: at payment of two pre-financings and final payment Depth: limited to the actual access to internal documents by COM	Effectiveness: amount of the partial clearance of accounts (if any). Efficiency: Time-to-pay Economy cost of controls over total payments

Step 2 – ex post (limited to EE under FAFA)

Main risks It may happen (again) that...	Mitigating controls	Coverage, frequency and depth of controls	Cost-Effectiveness indicators (three E)
COM has insufficient information from independent sources and this hampers the conclusions on the assurance for the budget entrusted to the entity The control system of the entity is subject to reservations and/or ECA criticism	Ex post audits on the legality and regularity of expenditure of entities under FAFA		Effectiveness: Unqualified opinion on the accounts by the entity's independent auditors Detected error by DG HOME Economy: costs of controls over total payments

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

This annex *applies only to indirect management*, so *not* to Member States' public bodies in shared management. Furthermore, other EC or EU bodies (such as executive agencies, regulatory agencies¹⁶, the EIB, the EIF) are *not* to be covered here *either*.

This annex includes information about implementing tasks entrusted to (i) national or (ii) international public sector bodies and to (iii) bodies governed by private law with a public sector mission. In practice, this includes (a) national agencies, (b) international organisations and their agencies, and (c) Private-Public-Partnerships (PPPs, such as Joint Undertakings).

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

Entrusted body	UNHCR
Programme concerned	Asylum, Migration and Integration Fund; annual work programmes emergency assistance 2017 and 2018
Annual budgetary amount entrusted	The Delegation agreement with UNHCR was signed in December 2018 for a total amount of EUR 190.4 million. The first instalment of the pre-financing was made in January 2019 (EUR 76.1 million).
Duration of the delegation	The DA covers the period from 01/01/2019 to 31/12/2019
Justification of the recourse to indirect centralised management	The direct award of the grants is justified by the specific characteristics of the action The action will ensure the continuation of activities as currently provided by UNHCR under the emergency support instrument managed by DG ECHO.
Justification of the selection of the body	The purpose of the action is to support the Greek authorities in providing multi-purpose cash grants as well as accommodation services to persons of concern in Greece throughout 2019. The action will take place in the mainland and on the islands. UNHCR will implement the action together with partners. UNHCR has demonstrated specific technical competence and experience in managing the cash-based intervention and the rental and accommodation scheme and for this action therefore qualifies as

¹⁶ See however the AAR Annex 8

	an entity suitable to implement this action.
Summary description of the implementing task entrusted	The action ensures the uninterrupted provision of services on the Greek islands and mainland to contribute to safe and dignified living conditions and uphold the rights of approximately 69.000 asylum seekers and, for a limited grace period, as established by the Greek authorities, refugees, living in Greece. The action consists of three categories of activities: cash-based interventions for the target population; accommodation and related services for the target population and coordination and transition related capacity building activities towards the Greek authorities.

Entrusted body	IOM, with UNICEF as co-delegatee
Programme concerned	Asylum, Migration and Integration Fund; annual work programmes emergency assistance 2017 and 2018
Annual budgetary amount entrusted	The Delegation agreement with IOM and UNICEF was signed in December 2018 for a total amount of EUR 61 million. The pre-financing was made in January 2019 (EUR 61 million).
Duration of the delegation	The DA covers the period from 01/01/2019 to 31/12/2019
Justification of the recourse to indirect centralised management	The direct award of the grants is justified by the specific characteristics of the action. The action will ensure the continuation of activities as currently provided by IOM under the emergency support instrument managed by DG ECHO.
Justification of the selection of the body	The action will take place in at least 26 accommodation sites, chosen in agreement with the Greek authorities. IOM will implement the action together with partners, in particular the Danish Refugee Council (DRC), Arbeiter-Samariter-Bund Deutschland (ASB) and European Expression. IOM has demonstrated specific technical competence and experience in managing sites in Greece and for the purpose of this action therefore qualifies as an entity suitable to implement this action. IOM has been supporting the Greek government to establish temporary and permanent accommodation centres and offer protection services and is currently the appointed official site management support agency in 12 sites. The other partners have also demonstrated such competence. UNICEF has demonstrated its competence and experience with regard to child protection in Greece.

Summary description of the implementing task entrusted	The action provides for support to the Greek authorities in the daily management of all long-term accommodation sites operating in the country (26 in total). Four categories of activities: site management support for about 28.000 beneficiaries such as wash facilities and transportation; protection activities; educational activities and coordination and transition related capacity building activities towards the Greek authorities.
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Entrusted body	IOM
Programme concerned	Asylum, Migration and Integration Fund; annual work programmes Union Actions 2017, Readmission Capacity Building Facility III
Annual budgetary amount entrusted	The Delegation agreement with IOM was signed in December 2018 for a total amount of EUR 26,3 million. The pre-financing was made in December 2018 (EUR 21.04 million).
Duration of the delegation	The DA covers the period from 01/01/2019 to 31/12/2021
Justification of the recourse to indirect centralised management	Indirect centralised management was considered as the most appropriate management mode due to the role and skills of IOM and the necessity of a Facility able to respond flexibly to the Readmission Capacity Building needs in priority third countries in the next years.
Justification of the selection of the body	The direct award of the grants is justified by the specific characteristics of the action, which require the IOM's technical competence and high degree of specialisation on readmission and reintegration issues. The IOM is an international organisation with a specific mandate, broad expertise in the field of migration and a proven track record in managing EU funds in cooperation with third countries, including in the area of readmission and the type of action proposed
Summary description of the implementing task entrusted	The Facility will provide support in areas of intervention (at policy, legislative, institutional and/or operational level) relevant to the successful preparation and implementation of readmission agreements/ commitments with priority third countries, in full respect of potential returnees' human rights and dignity. The Facility III builds on the activities carried out for the Facilities I and II (see AAR 2017). It will in particular seek to develop a toolkit package for readmission capacity building systems, advance the implementation of assisted voluntary return and reintegration programmes, support awareness raising campaigns and increase knowledge and analysis of migration governance.

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

ANNEX 8: Decentralised agencies

DG HOME is the partner DG of six agencies:

- European Border and Coast Guard Agency – EBCGA also known as Frontex
- European Union Agency for Law Enforcement Training – CEPOL
- European Union Agency for Law Enforcement Cooperation - Europol
- European Asylum Support Office – EASO
- European Monitoring Centre for Drugs and Drug Addiction (EMCDDA)
- European Agency for the operational management of large-scale IT systems in the area of freedom, security and justice (eu-LISA)

To these agencies DG HOME pays the annual subsidies as authorised by the budgetary authority. In 2018, the total amount of commitments appropriations was equal to EUR 740.6 million, out of which EUR 717 million were implemented (97%). The difference of 3% in implementation is related to the agencies cash surplus of 2017 returned to DG HOME as assigned revenue in 2018 and which will be used to finance the 2019 EU subsidy to the agencies.

The authorised payment appropriations were equal to EUR 629.7 million, out of which EUR 606.8 (96%) were consumed. The payments made by DG HOME to its decentralised agencies in 2018 represented 33% of all payments (EUR 606.84 million).

The table below summarises the amounts of commitment and payments appropriations budgeted and consumed per agency in 2018 (EUR million)¹⁷.

	Commitment appropriations			Payment appropriations		
	CA budgeted	CA implemented	Implementation rate	PA budgeted	PA implemented	Implementation rate
EBCGA	286,01	268,91	94%	286,01	268,91	94%
EUROPOL	131,4	130,25	99%	131,4	130,25	99%
eu-LISA	202,03	200,67	99%	91,19	89,84	99%
CEPOL	10,89	10,43	96%	10,89	10,43	96%
EASO	94,62	91,97	97%	94,62	91,97	97%
EMCDDA	15,64	15,45	99%	15,64	15,45	99%
TOTAL	740,59	717,68	97%	629,75	606,85	96%

¹⁷ These amounts include C4 credits which are surplus for 2019 that agencies use after year N+1.

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

In this Annex should be recorded which ongoing and planned evaluations and other studies have been completed or cancelled in 2018. Evaluations/ other studies that have not yet been finalised in 2018 do not need to be recorded. They will appear as 'planned or ongoing' items in the inter-institutional studies database.

DG HOME planning of evaluations and studies 2018

No	Title	Reason	Scope/Overview	Associated DGs	Cost (EUR)	Note	Title of the deliverable
I. Evaluations finalised or cancelled in 2018							
a. Evaluations finalised in 2018							
1	Fitness check of the legal migration directives	REFIT	The Fitness Check covers the following directives: EU Blue Card (2009/50/EC), Long-Term Residents (2003/109/EC), Single Permit (2011/98/EU), Family Reunification (2003/86/EC), Seasonal Workers (2014/36/EU), Intra-Corporate Transferees ("ICTs") (2014/66/EU), Students and Researchers (2004/114/EC and 2005/71/EC) as well as directive (EU)2016/801 recasting these last two directives	EMPL, TRADE, DEVCO, SG	649913		Not published
2	Evaluation of the European Border Surveillance system (EUROSUR)	L	According to Regulation 1052/2013 establishing the European Border Surveillance System	EEAS, MARE, TAXUD, NEAR, JUST, JRC, MOCE, GROW, LS, SG	None		COM(2018) 632 final SWD(2018) 410 final of 12.9.2018

3	Evaluation of ILOs Network Regulation (EC) No 377/2004 establishing network of immigration liaison officers	L	Need for an evaluation identified in the EU Action Plan against Migrant Smuggling	EEAS, DEVCO, NEAR, JUST, SG	280780		SWD(2018)197 final
4	Ex post evaluation of the European Refugee Fund (ERF) from 2011 to 2013	MFF	European Refugee Fund (Decision 573/2007/EC)	LS, BUDG, REGIO, SG	267450		COM(2018)456 SWD(2018)334
5	Ex post evaluation of the European Fund for the Integration of third-country nationals (EIF) from 2011 to 2013	MFF	European Fund for the Integration of third-country nationals (Decision 2007/435/EC)	LS, BUDG, REGIO, SG	255285		COM(2018)456 SWD(2018)333
6	Ex post evaluation of the European Return Fund (RF) from 2011 to 2013	MFF	European Return Fund (Decision 575/2007/EC)	LS, BUDG, REGIO, SG	249775		COM(2018)456 SWD(2018)335
7	Ex post evaluation of the External Borders Fund (2011-2013)	MFF	Ex post evaluation in accordance with Article 21(6) of Regulation 515/2014 (and Article 52(3)(c) of Decision 574/2007/EC)	BUDG, JUST, TAXUD, MARE, SG	270000		COM(2018)456 SWD(2018)336
8	Ex post evaluation of the "Prevention, Preparedness and Consequence Management of Terrorism and other Security-Related Risks Programme" (CIPS) and of the "Prevention and Fight against Crime Programme" (ISEC)	MFF	Ex post evaluation in accordance with Article 14(3)(d) of Decision 2007/124 and in accordance with Article 14(4) of Regulation 513/2014 (and Article 15(3)(d) of Decision 2007/125)	ECHO, DEVCO, ENV, NEAR, JUST, JRC, GROW, SANTE, BUDG, OLAF, ENER, SG	258775		COM(2018)455 SWD(2018)331 SWD(2018)332

9	Interim Evaluation of Asylum, Migration and Integration Fund	MFF	According to Article 57(2)(a) of Regulation 514/2014	ECHO, DEVCO, NEAR, JUST, JRC, GROW, SANTE, BUDG, EMPL, REGIO, MARE, AGRI, RTD, SG	315045		COM(2018)464 SWD(2018)339
10	Interim Evaluation of Internal Security Fund	MFF	According to Article 57(2)(a) of Regulation 514/2014	ECHO, DEVCO, ENV, NEAR, JUST, JRC, GROW, SANTE, BUDG, OLAF, ENER, SG, REGIO EMPL, RTD	246800 for ISF Borders and Visa 172650 for ISF Police		COM(2018)464 SWD(2018)340 SWD(2018)341
11	Mid-term evaluation of the "Europe for Citizens" programme 2014-2020	MFF	According to Article 15 of Regulation 390/2014	JUST, COMM, EAC, BUDG, SG	153150		COM(2018)170 SWD(2018)86
b. Evaluations cancelled in 2018							
None							
III. Studies finalised or cancelled in 2018							
a. Studies finalised in 2018							
1	Study to support an impact assessment on the financial programmes post 2020 on security and migration	MFF			390420		SWD(2018)347 SWD(2018)348
2	Feasibility Study for assessing the options and impacts of an EU system to track terrorist financing	CWP	Following up on the EU Action Plan against terrorism financing of 2 February 2016, the Commission is analysing the need for and options for a European system complementing the existing EU-US TFTP agreement		376150		Not published

3	Study on combatting the threat posed by explosives precursors: evaluation of the existing policy and legislative framework and preparation of an impact assessment of possible options for a future EU initiative	REFIT	According to Article 18 of Regulation 98/2013	EEAS, JRC, TAXUD, GROW, ENV, ECHO, SANTE, LS, SG	361910		Not published
4	Study on Settling in - indicator of integration	O	Follow-up of the Action Plan on Integration		250000		http://www.oecd.org/publications/indicators-of-immigrant-integration-2018-9789264307216-en.htm
5	Study on the necessity and proportionality of extending the Visa Information System (VIS) to include data on long stay visas and residence documents	CWP	Legal study to analyse (on the basis of the results of a feasibility study on the establishment of a central EU repository containing information on long stay visas, residence cards and residence permits) the necessity and proportionality, and impact on fundamental rights of extending the scope of VIS to include these documents for the purpose of border checks and information exchange between migration authorities throughout the EU		135000		Not published

6	Legal analysis on the necessity and proportionality of extending the scope of the Visa Information System (VIS) to include data on long stay visas and residence documents	CWP	Study supporting an impact assessment in view of the revision of the Visa Information System Regulation (Regulation 767/2008)		118658		https://publications.europa.eu/en/publication-detail/-/publication/88f073c2-7e6b-11e8-ac6a-01aa75ed71a1/language-en/format-PDF/source-search
7	Study on the Dublin Automated System	O	Specify the identified requirements for establishing and operating the automated system proposed by the Commission in its proposal for a Dublin Regulation (COM(2016)270 final)		148911.87		Not published
8	Compliance study on Council Framework Decision 2006/960/JHA on simplifying the exchange of information and intelligence between law enforcement authorities of the Member States of the European Union (Swedish initiative)	L	Study to assess the completeness and conformity of the transposition of the Council Framework Decision		330981		Not published
9	Study on the implementation of the Reception Conditions Directive recast	L	To report on the implementation of Directive 2013/33		150000		Not published
10	Study on the readiness and availability of Facial Recognition System technologies for their introduction in the Schengen Information System	L	According to Article 22 (1) (e) of the new Proposal for a Regulation on the establishment, operation and use of SIS in the field of police cooperation and judicial cooperation in criminal matters		293680		Not published

11	Conducting checks with latent fingerprints in SIS: challenges, opportunities and implications	L	According to Article 22 (1) (c) of the new Proposal for a Regulation on the establishment, operation and use of SIS in the field of police cooperation and judicial cooperation in criminal matters		450000		Not published
12	Study on the feasibility and added value of private sponsorship schemes as a possible pathway to safe channels for admission to the EU, including resettlement;	O	Study to deepen the knowledge on a new issue of relevance for the asylum policy		179505		https://publications.europa.eu/en/publication-detail/-/publication/1dbb0873-d349-11e8-9424-01aa75ed71a1/language-en/format-PDF/source-77978210
13	Comparative Report on labour migration policies and the role of "EXPRESSION OF INTEREST" models and matching mechanism	O	The study analyses the feasibility of the EoI model for the European Union as a means of improving management of economic migration, meeting labour needs and improving Europe's ability to attract skills.	DG EMPL, GROW, EAC	200000		Not published
14	Study on the feasibility and implications of lowering the fingerprinting age for children and on storing a scanned copy of the visa applicants' travel document in the Visa Information System (VIS) in support of an impact assessment	CWP	Study supporting an impact assessment in view of the revision of the Visa Information System Regulation (Regulation 767/2008)		262855		https://publications.europa.eu/en/search-results?p_p_id=portal2012searchExecutor_WAR_portal2012portlet_INSTANCE_q8EzsBteHybf&p_p_lifecycle=1&p_p_state=normal&queryText=DR0318037ENN&facet.collection=EUPub&language=en&startRow=1&resultsPerPage=10&SEARCH_TYPE=SIMPLE

15	Study for analysing data from Member States for the next Commission report on the progress made to fight trafficking in human beings in the EU	L	Articles 19-20 Directive 2011/36/EU		135000		https://ec.europa.eu/home-affairs/sites/homeaffairs/files/what-we-do/policies/european-agenda-security/20181204_data-collection-study.pdf
16	Needs assessment in third countries and regional organizations for the development and implementation of national legislation and national and regional strategies to prevent and fight the smuggling of migrants	O	Producing a set of activities to assess and identify needs and gaps in the relevant institutions of the target third countries and regional organizations with regard to the development and implementation of legal and operational frameworks (legislation and strategies) to counter migrant smuggling	DEVCO EEAS/EUDEL (consulted)	272000		https://publications.europa.eu/en/publication-detail/-/publication/36eb3343-fcf9-11e8-a96d-01aa75ed71a1/language-en/format-PDF/source-84592568
17	Study to assess the impacts of various options related to possible evolutions of the European Border Surveillance System (Eurosir)	L	Cost benefit analysis and minutes of the EUROSUR industry day		269700		Not published
18	Study on First Responders Innovation	O	Identify gaps between the current capability of emergency response agencies and what they consider necessary to respond to large-scale catastrophic incidents, 2) enquire about market data, 3) provide limited technical support to Commission services and support to Commission services and support the Commission in running the secretariat of the international first responder forum		248 088,21		Not published

b. Studies cancelled in 2018							
1	A comparative study of the implementation of Automatic Number Plate Recognition systems in the EU Member States and their interfaces with databases	O	Article 12 of the new Proposal for a Regulation on the establishment, operation and use of SIS in the field of police cooperation and judicial cooperation in criminal matters		450000	Cancelled	N/A
2	Study on implementation of Council Framework Decision 2003/568/JHA on combating corruption in the private sector	L	Third evaluation report based on Article 9(2) of the FD; it is the first one since the limitations to the judicial control by the EUCJ and to the Commission's enforcement powers were lifted.		300000	Cancelled	N/A
3	Study to follow up the Commission report assessing the impact of existing national law, establishing as a criminal offence the use of services which are the objects of exploitation of trafficking in human beings, on the prevention of trafficking in human beings, in accordance with Article 23 (2) of the Directive 2011/36/EU ('User report')	O	The User Report from the Commission (2.12.2016, COM(2016) 719 final) concluded that the Commission will further examine potential options and consider in the future, if necessary, appropriate legislative proposals, as per Article 23 (2) of the Directive 2011/36/EU on reducing demand and prevent trafficking in human beings.		250000	Postponed	N/A
4	Study for an impact assessment of measures on residence permits issued to third countries nationals and related to THB or migrant smuggling	L	Forward looking review of policy and existing legal framework			Cancelled	N/A

5	Study to fill intelligence gaps on serious and organised crime	O	Gathering of quantitative and qualitative evidence to fill key intelligence gaps, including those identified in the process to prepare the 2017 SOCTA		350000	Postponed	N/A
6	Study on the technical feasibility of establishing a common biometric matching service for SIS, VIS and EURODAC	O	Follow up to the Communication COM(2016)205 on Stronger and Smarter Information Systems for Borders and Security and to the conclusions of the High Level Expert Group on interoperability of information systems		450000	Cancelled	N/A
7	Waste water analysis report on the stimulant illicit drug markets in the EU	O	To improve knowledge-base in view of tailored policy		500000	Cancelled	N/A
8	Study evaluating the impact of the new technologies on the fight against illegal trafficking in firearms	O	To assess capability needs, legislative gaps		150000	Cancelled	N/A
10	Study on the practical implementation of the Return Directive (2008//115/EC)	L	Examine the application of the Directive in the MS and Schengen Associated Countries (Switzerland, Norway, Iceland and Liechtenstein)		500000	Cancelled	N/A

ANNEX 10: Specific annexes related to "Financial Management"

Annex 10 has three types of content: optional, **compulsory**, specific for shared management:

Derogations from the principle of non-retroactivity of grants pursuant to Art 193 of the Financial Regulation applicable to the general budget of the Union

EMAS Grants signed in 2018

Fund	Member State	Coordinator	Project Title
AMIF	Italy	Ministry of Interior	AVRIT - Assisted voluntary return and reintegration (AVRR) from Italy
AMIF	Greece	Ministry of Defence	IRRMcr - Immediate Response to the Refugee - Migrant Crisis by providing them sheltering and accommodation, catering, health care and transportation on the mainland
AMIF	Greece (other actors)	IOM	Emergency measures to enhance accommodation capacity and Site Management Support in the sites of Greece
AMIF	Greece (other actors)	UNHCR	Continuation of support to site management of Kara Tepe (Lesvos) and targeted support to protection activities in support to the Greek Government
AMIF	Greece (other actors)	IOM	FILOXENIA - Temporary Shelter and Protection for the Most Vulnerable Migrants in Greece
AMIF	Greece (other actors)	IOM	PEDIA – Providing Education and Immediate Accommodation to Migrant Children in Greece
AMIF	Greece	Ministry of Defence	I.R.R.M.Cr--Immediate Response to the Refugee-Migrant Crisis by providing them sheltering and accommodation, catering, health care and transportation
AMIF	Spain	Ministry of Interior	Improvement in the quality of accommodation and removal of irregular migrants in situations of mass influx
AMIF	Greece (other actors)	IOM	Emergency response in accommodating unaccompanied migrant children - ERACUMIC
AMIF	Spain	Ministry of Labour, Migrations and Social Security	Adoption of emergency measures towards the increase of arrivals of migrants and refugees in Spain - AE18MIGRA

Fund	Member State	Coordinator	Project Title
ISF-BV	Greece	Ministry of Maritime Affairs and Insular Policy	Deployment of HCG maritime assets and Border Surveillance Officers in the South Eastern maritime borders of the EU, 2018
ISF-BV	Greece	Ministry of Migration - RIS	Provisional services to the TCNs and operational support to the Reception and Identification Centre (RIC) in the Evros region at the external borders
ISF-BV	Greece	Ministry of Defence	I.R.R.M.Cr--Immediate Response to the Refugee – Migrant Crisis by providing certain services to RIC Fylakio in Evros Region
ISF-BV	Croatia	Ministry of Interior	Reinforcement of border control activities at the external border section of Croatia due to increased migratory pressure
ISF-BV	Spain	Directorate-General of the Police (DGP)	Provision on integral services in the area of infrastructure and of support services prior to identification, to address the mass arrival of migrants
ISF-BV	Spain	Ministry of Interior (Guardia Civil)	Activities in response to the migratory situation in southern Spain - AMIGO-F6

Specific annexes related to "Management of Resources"

1. INDICATORS FOR ASSESSING CONTROL EFFECTIVENESS AS REGARDS LEGALITY AND REGULARITY

Control system 1 - Shared Management

	2018	2017
Step 1: ex ante controls		
Number of national programmes AMIF-ISF adopted (in 2018)	3	1
Total value of national programmes AMIF-ISF adopted in 2018 (€ million)	26,97	14,32
% of programmes adopted	5,08%	1,73%
Average value of an adopted programme (€ million)	8,99	14,32
Number of revisions of national programmes AMIF-ISF adopted in 2018	75	70
Number of AMIF-ISF designation notifications received	1	2
out of which accepted by DG HOME	1	2
Number of SOLID annual programmes still open	4	11
Amount of open SOLID programmes (€ million)	26,34	33,73
Number of AMIF-ISF committees	3	3
Number of monitoring missions AMIF-ISF	60	60
Number of final cost claims received (closures of annual programmes SOLID)	9	53
Number of final cost claims received (accounts AMIF-ISF)	55	50
Eligible amount in final cost claims closed (closures of annual programmes SOLID) (€ million)	46,52	534,15
Value of payments made SOLID (€ million)	6,39	116,84
Value of payments made AMIF-ISF (€ million)	795,32	620,36
Number of annual programmes closed SOLID (per year, not cumulative)	7	46
Number of accounts cleared AMIF/ISF	55	50
Value of accounts in the clearance decision AMIF/ISF(€ million)	417,2	656,48
Average implementation rate for closures processed in the year SOLID	80%	80%
AMIF/ISF implementation rate: cumulative value of annual cost claims / Total value of national programmes	35,84%	24,44%
Ineligible amounts in final costs claims SOLID (€ million)	1,49	5,84
Number of exceptions	1	3
Number of non-compliance events	0	0
Step 2: ex post controls		
Number of ex post audits performed (SOLID)	0	5 (19 funds)
No of systems for which serious weaknesses were found on the spot despite the validation on paper of the MCS (both programming periods)	24	4
MCSs with weaknesses (%; SOLID)	22%	18%
MCSs with weaknesses (%; AMIF/ISF)	8%	NA as not in AAR 2017
Number of AMIF-ISF system reviews -desks reviews completed	0	41
Number of AMIF-ISF system reviews -meetings with MSS	0	1
Number of system audits AMIF-ISF	4	3
Errors detected by ex post controls (€ million) (SOLID)	7,67	0,16
Amount for which the COM has reasonable assurance (€ million) (SOLID)	2.340,33	2.119,74

Amount for which the COM has reasonable assurance (€ million) (AMIF - ISF)	0,96	NA as not in AAR 2017
Corrections implemented by recoveries ex post controls (€ million) (SOLID)	2,20	0,24
Corrections implemented by recoveries ex post controls (€ million) (AMIF-ISF)	0,00	NA as not in AAR 2017
Total financial corrections (€ million) (SOLID)	3,69	5,84
Total financial corrections (€ million) (AMIF-ISF)	0,00	NA as not in AAR 2017
Cumulative detected error rate (%) (SOLID)	3,40%	2,39%
Cumulative residual error rate (%) (SOLID)	1,85%	0,94%
Cumulative residual error rate (%) (AMIF/ISF)	1,68%	1,54%

Control system 2 - Direct Management Grants

	2018		2017	
	non-research	research	non-research	research
<i>Step 1: ex ante controls</i>				
Available budget for calls (€ million)	622,00	140,60	292,52	137,09
Number of proposals received	519	191	199	131
of which EMAS	32	n/a	31	n/a
non EMAS	487	n/a	168	n/a
Value of proposals received (€ million)	1651	910,60	482,78	651,00
Number of projects selected	176	28	108	26
of which EMAS	30	n/a	26	-
non-EMAS	146	n/a	82	-
Value of projects selected (awarded budget) (€ million)	396	154,50	272,16	137,09
of which EMAS	263	n/a	194	-
non-EMAS	133	n/a	78,16	-
% of value of proposals received over budget available	2,65	6,48	1,65	4,75
% of value of projects selected/available budget for calls	63,67%	109,89%	93,04%	100,00%
Number of litigation cases/redress procedures	0	0	0	0
<i>Ex ante: contracting phase</i>				
EC contributions requested in the applications contracted (€ million)	422	n/a	392,62	n/a
EC contribution provided through grant agreement signed (€ million)	413,47	53,29	341,16	75,74
Reduction in EC contribution (€ million)	8,53	n/a	51,46	n/a
% reduction in EC contribution	2%	n/a	13%	n/a
Number of grant agreements signed	211	11	129	20
Average amount of grants signed (€)	1,96	4,84	2,64	3,79
Exceptions and non compliance recorded	0	0	1	0
<i>Ex ante: monitoring phase</i>				
Number of payments made	252	43	314	47
Value of payments made (€ million)	313,11	37,46	295,48	68,45
Value of cost claims processed (€ million)	146,37	57,28	214,28	61,01
Number of cost claims processed	83	34	241	31
Ineligible costs in cost claims (€ million)	0,71	0,48	2,59	0,00
Ineligible costs in cost claims processed (%)	0,49%	0,84%	1,21%	0,00%
Exceptions and non-compliance recorded	2	0	0	1

<i>Step 2: ex post controls</i>				
Number of ex post controls	45	n/a	31	n/a
Average amount of grant audited	1,63	n/a	0,56	n/a
% of projects audited that contained errors detected by ex post controls	73%	n/a	81%	n/a
Absolute value of proposed correction	3,07	n/a	0,49	n/a
Errors prevented for audited population (savings of the total EU grant paid) - annually in reference year	3,89	n/a	1,07%	n/a
Errors detected for the audited population (in% of the total EU grant paid (in addition to the errors already prevented) - annually in reference year	4,20%	5,88% for FP7 3,32% for H2020	2,81%	n/a
Follow-up ratio: number of files followed up by AOSD within 3 months (target 90%)	78%	100%	61,0%	100%
Implementation ratio for recovery orders (target set at 75% at end of March N+1)	45%	100%	76%	100%
Cumulative detected error rate/Common Representative Error Rate (%)	3,84%	n/a	3,61%	n/a
Cumulative residual error rate (%)	3,29%	2,98% for FP7 2,83% for H2020	2,98%	2,79%

Control system 3 - Direct Management Procurements

	2018		2017	
<i>Step 1: ex ante controls</i>	non-research	research	non-research	research
Number of tenders	11	0	17	n/a
Number of contracts signed	162	5	211	20
Value of contracts signed (€ million)	33,52	9,73	31,94	37,34
Unfavourable ex ante opinions (HPC and ex ante verification)	0	0	0	0
Redress procedures	0	0	0	0
Number of payments made	523	100	365	92
Value of payments made (€ million)	25,38	9,47	44,30	0,95
Amount of credit notes issued	0,05	0	0,03	0
Number of credit notes issued	23	0	9	0
Exceptions and non-compliance events recorded	7	2	4	0

Control system 4 - Indirect management Entrusted Entities and Decentralised Agencies

<i>Step 1: ex ante controls</i>	2018	2017
Number of deviations from the FFR requested	N/A	N/A
Total payments made (€ million)	606,84	543,42

Control system 4 - Indirect management - Delegation Agreements

<i>Step 1: ex ante controls</i>	2018	2017
Total amounts delegated (€ million)	277,70	101,50
Number of serious IAS and ECA findings of control failures	0	0
Budget amount of the errors concerned	0	0
Amounts suspended/interrupted (€ million)	0	0
Total payments made (€ million)	51,37	5,6

EFFICIENCY INDICATORS: "TIME-TO" INDICATORS (DAYS)

		2018	2017
Shared management	Time-to adopt national programmes (AMIF - ISF)	95	107
	Time-to-pay pre-financings (AMIF - ISF)	17	20
	Time-to-close (SOLID programmes)	177,5	252
Direct management grants	Time-to-inform (non-research grants)	43 for EMAS 154 for calls for proposals 69 for direct award	31 for EMAS and 124 non EMAS grants
	Time-to-grant (non-research grants)	236,55	201
	Time-to grant (research grants)	299	243
	Time-to-pay (all grants)	30	52,5
Others	Procurement: time-to-pay	25	31
	Delegation agreements: time-to-pay	29,25	22
	Decentralised agencies: time-to-pay	19	22

4. FINANCIAL CORRECTIONS (SHARED MANAGEMENT)

Financial Corrections Made in 2018 per Member State for SOLID 2007-2013 Programmes					
Member State	EIF	RF	EBF	ERF	Total
Austria	-	-	-	-	-
Belgium	-	-	-	-	-
Bulgaria	-	-	-	-	-
Croatia	-	-	-	-	-
Cyprus	-	-	-	-	-
Czech Republic	-	-	-	-	-
Denmark	-	-	-	-	-
Estonia	-	-	-	-	-
Finland	-	-	-	-	-
France	524.118,74	-	-	968.672,95	1.492.791,69
Germany	-	-	-	-	-
Greece	-	-	-	-	-
Hungary	-	-	-	-	-
Iceland	-	-	-	-	-
Italy	-	-	-	22.490,32	22.490,32
Ireland	-	-	-	-	-
Latvia	-	-	-	-	-
Lithuania	-	-	-	-	-
Luxembourg	-	-	-	-	-
Malta	-	-	-	-	-
Netherlands	-	-	-	-	-
Norway	-	-	-	-	-
Poland	-	-	229.140,30	-	229.140,30
Portugal	-	-	-	-	-
Romania	-	-	-	-	-
Slovakia	-	-	-	-	-
Slovenia	-	-	-	-	-
Spain	-	-	-	-	-
Sweden	-	-	-	-	-
Switzerland	-	-	-	-	-
United Kingdom	1.953.029,29	-	-	-	1.953.029,29
Total	2.477.148,03	-	229.140,30	991.163,27	3.697.451,60

5. SHARED MANAGEMENT 2014-2020 - AMIF & ISF CUMULATIVE AMOUNT AT RISK

31 December 2018	AMIF			ISF		
	Member State / Associated Country	Cumulative EU Payments in Mio. EUR	Cumulative Residual Error Rate	Cumulative Amount at Risk in Mio. EUR	Cumulative EU Payments in Mio. EUR	Cumulative Residual Error Rate Cumulative Amount at Risk in Mio. EUR
AT - Austria	29,92	1,50%	0,45	9,27	1,50%	0,14
BE - Belgium	39,25	1,50%	0,59	4,24	1,50%	0,06
BG - Bulgaria	2,31	1,50%	0,03	17,07	1,50%	0,26
CY - Cyprus	7,70	1,50%	0,12	7,31	1,50%	0,11
CZ - Czech Republic	3,61	1,50%	0,05	3,44	1,50%	0,05
DE - Germany	223,88	1,50%	3,36	34,34	1,50%	0,52
DK - Denmark				2,06	5,00%	0,10
EE - Estonia	3,96	1,50%	0,06	21,68	1,50%	0,33
ES - Spain	131,76	1,50%	1,98	54,55	1,50%	0,82
FI - Finland	47,33	5,00%	2,37	26,51	5,0%	1,33
FR - France	117,37	1,50%	1,76	25,87	1,50%	0,39
GR - Greece	40,38	1,50%	0,61	20,01	1,50%	0,30
HR - Croatia	0,86	1,50%	0,01	0,76	1,50%	0,01
HU - Hungary	3,69	1,50%	0,06	14,06	1,50%	0,21
IE - Ireland	15,48	1,50%	0,23	1,00	1,50%	0,01
IT - Italy	71,02	1,50%	1,07	47,47	1,50%	0,71
LT - Lithuania	4,87	1,50%	0,07	29,58	1,50%	0,44
LU - Luxembourg	7,60	1,50%	0,11	1,01	0,5%	0,01
LV - Latvia	5,08	1,50%	0,08	10,74	1,50%	0,16
MT - Malta	3,55	1,50%	0,05	19,26	1,50%	0,29
NL - Netherlands	58,21	1,50%	0,87	11,43	1,50%	0,17
PL - Poland	6,73	1,50%	0,10	0,48	1,50%	0,01
PT - Portugal	10,96	1,50%	0,16	7,17	1,50%	0,11
RO - Romania	9,02	1,50%	0,14	17,65	1,50%	0,26

SE - Sweden	70,93	1,50%	1,06	4,15	1,50%	0,06
SI - Slovenia	2,73	1,50%	0,04	7,04	1,50%	0,11
SK - Slovakia	2,74	1,50%	0,04	6,76	1,50%	0,10
UK - United Kingdom	129,90	1,50%	1,95			
CH - Switzerland				-	1,50%	-
ISL - Iceland				-	1,50%	-
LI - Lichtenstein				-	1,50%	-
NO - Norway				4,78	1,50%	0,07
Total	1.050,87	1,66%	17,42	409,69	1,74%	7,13

6. SHARED MANAGEMENT 2007-2013 - SOLID CUMULATIVE AMOUNT AT RISK

Member State	EIF			ERF			RF			EBF		
	Net Amount at Risk	Payments of closed APs	RER	Net Amount at Risk	Payments of closed APs	RER	Net Amount at Risk	Payments of closed APs	RER	Net Amount at Risk	Payments of closed APs	RER
Austria (AT)	0,52	12,83	4,02%	2,28	27,18	8,38%	1,19	13,53	8,79%	1,86	10,56	17,64%
Belgium (BE)	0,05	12,38	0,43%	0,85	21,27	3,99%	0,18	21,61	0,85%	0,01	13,81	0,08%
Bulgaria (BG)	0,02	3,52	0,62%	0,03	7,29	0,40%	0,01	2,33	0,32%	0,11	31,77	0,33%
Switzerland (CH)	-	-	-	-	-	-	-	-	-	0,01	17,61	0,03%
Cyprus (CY)	0,02	5,00	0,41%	0,01	9,92	0,11%	0,02	7,26	0,26%	2,69	21,74	12,37%
Czech Republic (CZ)	0,03	11,34	0,26%	0,03	3,43	0,86%	0,03	1,80	1,47%	0,08	7,36	1,09%
Denmark (DK)	-	-	-	-	-	-	-	-	-	-	6,65	0,00%
Estonia (EE)	0,06	6,61	0,88%	0,00	2,12	0,04%	0,00	1,62	0,02%	0,00	26,40	0,00%
Finland (FI)	0,50	5,51	9,09%	0,19	14,02	1,32%	0,05	4,45	1,13%	0,14	50,24	0,29%
France (FR)	0,43	24,95	1,74%	0,65	49,45	1,32%	0,12	67,03	0,18%	3,00	119,57	2,51%
Germany (DE)	8,41	84,15	10,00%	3,32	66,46	5,00%	0,19	23,36	0,80%	0,12	75,94	0,16%
Greece (EL)	0,16	12,54	1,25%	-	30,73	0,00%	0,93	79,67	1,17%	1,72	141,34	1,21%
Hungary (HU)	0,04	9,21	0,44%	0,01	7,18	0,17%	0,03	5,59	0,56%	4,92	49,73	9,89%
Ireland (IE)	0,21	4,32	4,82%	0,40	4,87	8,21%	0,24	3,45	7,02%	-	-	-
Iceland (ISL)	-	-	-	-	-	-	-	-	-	-	0,43	0,00%
Italy (IT)	0,51	133,94	0,38%	0,35	48,33	0,72%	0,00	39,69	0,01%	1,48	230,95	0,64%
Latvia (LV)	0,00	7,05	0,00%	0,00	2,87	0,06%	0,02	3,28	0,58%	0,05	16,69	0,31%
Lithuania (LT)	-	4,98	0,00%	-	3,21	0,00%	0,03	3,64	0,69%	5,77	135,11	4,27%

Luxembourg (LU)	0,02	2,95	0,62%	0,00	2,48	0,00%	-	1,51	0,00%	-	0,35	0,00%
Malta (MT)	0,00	1,30	0,08%	0,00	11,30	0,00%	0,00	2,74	0,14%	0,51	67,42	0,76%
Norway (NO)		-								0,08	10,55	0,78%
Poland (PL)	0,10	17,41	0,57%	0,53	12,68	4,20%	0,23	15,72	1,47%	0,96	70,42	1,36%
Portugal (PT)	0,14	13,23	1,04%	0,02	2,23	0,78%	0,04	4,98	0,85%	0,06	13,46	0,43%
Romania (RO)	0,00	4,78	0,01%	-	3,13	0,00%	0,00	5,04	0,01%	0,26	47,97	0,54%
Slovakia (SK)	0,01	4,10	0,32%	0,06	4,95	1,19%	0,08	4,53	1,67%	0,30	8,18	3,62%
Slovenia (SI)	0,01	3,95	0,21%	0,13	2,94	4,32%	0,00	1,91	0,21%	1,33	37,56	3,55%
Spain (SP)	1,22	85,50	1,43%	0,12	8,34	1,46%	0,38	69,63	0,55%	1,41	252,20	0,56%
Sweden (SE)	0,12	14,28	0,82%	0,75	68,09	1,10%	0,03	9,71	0,34%	0,01	8,37	0,06%
The Netherlands (NL)	0,03	11,71	0,28%	0,18	25,14	0,72%	0,14	21,29	0,68%	0,31	21,45	1,43%
The United Kingdom (UK)	0,05	55,01	0,09%	0,60	50,00	1,19%	1,02	58,81	1,73%			
Total	14,82	552,57	2,29%	10,50	489,68	2,15%	4,98	474,49	1,05%	27,18	1.493,81	1,82%

		Level of assurance	
Total payments	3.010,55		RER below 2%
Overall RER	1,85%		2% < RER < 5%
			5% < RER < 10%
			RER above 10%

Control System N°1 - Shared Management											
Ex ante controls					Ex post controls				Other direct costs**	Total	
	FTE (number)	EC total cost (in EUR)	Funds managed (in EUR)	Ratio (%): <i>Total ex ante control cost in EUR / funds managed in EUR</i>	FTE (number)	EC total cost (in EUR)	Total value verified and/or audited (in EUR)*	Ratio (%)*: <i>Total ex post control cost in EUR / total value verified and/or audited in EUR</i>		EC total estimated cost of controls (in EUR)	Ratio (%): <i>Total cost of controls/funds managed</i>
Shared Management	32,95	4.526.043,80	801.718.155,53	0,56%	13,51	1.810.350,41	N/A	N/A	2.096.713,33	8.433.107,54	1,05%
Control System N°2 - Direct Management / grants											
Ex ante controls					Ex post controls				Other direct costs**	Total	
	FTE (number)	EC total cost (in EUR)	Funds managed (in EUR)	Ratio (%): <i>Total ex ante control cost in EUR / funds managed in EUR</i>	FTE (number)	EC total cost (in EUR)	Total value verified and/or audited (in EUR)*	Ratio (%)*: <i>Total ex post control cost in EUR / total value verified and/or audited in EUR</i>		EC total estimated cost of controls (in EUR)	Ratio (%): <i>Total cost of controls/funds managed</i>
Direct Management Grants	38,20	4.908.658,16	350.563.699,84	1,40%	5,82	793.721,26	N/A	N/A	915.280,79	6.617.660,20	1,89%
Control System N°3 - Direct Management / procurements											
Ex ante controls					Ex post controls				Other direct costs**	Total	
	FTE (number)	EC total cost (in EUR)	Funds managed (in EUR)	Ratio (%): <i>Total ex ante control cost in EUR / funds managed in EUR</i>	FTE (number)	EC total cost (in EUR)	Total value verified and/or audited (in EUR)*	Ratio (%)*: <i>Total ex post control cost in EUR / total value verified and/or audited in EUR</i>		EC total estimated cost of controls (in EUR)	Ratio (%): <i>Total cost of controls/funds managed</i>
Direct Management Procurement	14,99	1.877.436,46	34.851.251,04	5,39%	-	-	-	-	84.584,59	1.962.021,05	5,63%
Control System N°4 - Indirect management - Entrusted Entities and Decentralized Agencies											
Ex ante controls					Ex post controls				Other direct costs**	Total	
	FTE (number)	EC total cost (in EUR)	Funds managed (in EUR)	Ratio (%): <i>Total ex ante control cost in EUR / funds managed in EUR</i>	FTE (number)	EC total cost (in EUR)	Total value verified and/or audited (in EUR)*	Ratio (%)*: <i>Total ex post control cost in EUR / total value verified and/or audited in EUR</i>		EC total estimated cost of controls (in EUR)	Ratio (%): <i>Total cost of controls/funds managed</i>
Indirect Management Entrusted Entities and Decentralized Agencies	9,65	1.447.409,06	658.205.935,35	0,22%	3,81	591.023,63	N/A	N/A	3.567,19	2.041.999,89	0,31%
Horizontal tasks - Other expenditure (not included in any control system)***											
Ex ante controls					Ex post controls				Other direct costs**	Total	
	FTE (number)	EC total cost (in EUR)	Funds managed (in EUR)	Ratio (%): <i>Total ex ante control cost in EUR / funds managed in EUR</i>	FTE (number)	EC total cost (in EUR)	Total value verified and/or audited (in EUR)*	Ratio (%)*: <i>Total ex post control cost in EUR / total value verified and/or audited in EUR</i>		EC total estimated cost of controls (in EUR)	Ratio (%): <i>Total cost of controls/funds managed</i>
Other Expenditure	2,00	276.400,00	8.335.077,31	3,32%	-	-	N/A	N/A	0,00	276.400,00	3,32%

OVERALL estimated cost of control at EC level											
Ex ante controls					Ex post controls				Other direct costs**	Total	
FTE	EC total cost (in EUR)	Funds managed (in EUR)	Ratio (%): <i>Total ex ante control cost in EUR / funds managed in EUR</i>		FTE	EC total costs (in EUR)	Total value verified and/or audited (in EUR)	Ratio (%)*: <i>Total ex post control cost in EUR / total value verified and/or audited in EUR</i>		EC total estimated cost of controls (in EUR)	Ratio (%): <i>Total cost of controls/funds managed</i>
97,79	13.035.947,49	1.853.674.119,07	0,70%		23,14	3.195.095,30	N/A	N/A	3.100.145,89	19.331.188,68	1,04%

The cost of controls were computed on the basis of the corporate "Guidance on the estimation, assessment and reporting on the cost-effectiveness of controls". According to the new methodology, DG HOME identified the staff carrying out the control activities listed in Annex 3 of the Guidance. For each Relevant Control System for budget implementation (RCSs), the number of Full-Time Equivalents (FTEs) and any other direct cost associated to control activities were computed.

* For control system 1 "Shared Management", control system 2 "Direct Management / grants" and control system 4 "Entrusted Entities and Decentralised Agencies" the value of verified and audited amounts in the ex post phase cannot be estimated or provided for the following reasons:

- control system 1 "Shared Management": the audit work for shared management covers audit of expenditure, system audits and audit of the accounts of programming periods 2007-2013 and 2014-2014. Consequently the amount audited cannot be linked to a given Annual or National programme, but covers the entirety of SOLID annual programmes and AMIF and ISF national programmes.

-control system 2 "Direct Management / grants": ex post controls are carried out on DG HOME audit annual work programme 2017 and annual work programme 2018. Furthermore ex post controls also include the work carried out the follow up of audit findings. Consequently it is not possible to associate the ex post cost of controls to a specific audited or verified amount.

- control system 4 "Entrusted Entities and Decentralised Agencies": no audits are carried out by DG HOME on this control system; the cost of ex post controls are linked to the work done in relation to the discharge procedure.

**"Other direct costs" include the costs incurred in relation to the externalisation of audit work (ex post controls) and to dedicated IT tools for financial management and control (ex ante and ex post controls).

*** This category appears for the first time in DG HOME AAR. It refers to the work associated with "Strategic Programming and Planning", that is included in the calculation of the costs of controls for the first time in 2018, following adoption of a new methodology guidance document "Guidance on the estimation, assessment and reporting on the cost-effectiveness of controls" and to the cost of controls associated with the payment of the annual contribution to EACEA by DG HOME.

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

General objective 1: Towards a New Policy on Migration

Impact indicator 1a: Rate of return of irregular migrants (total and to third countries)

Explanation: The indicator measures the % of effected returns compared to return decisions issued by the Member States.

Source of the data: Eurostat¹⁸, DG HOME

Baseline (2014)	Target (2020)	Latest known results (2018)
41.75% ¹⁹ (total return rate)	Increase	41.48% (total return rate)
36.2% (return rate to third countries)	No quantified target was set. 'Increasing' the rate of return of irregular migrants is an agreed objective specified <i>i.a.</i> in the Communication on the EU Action Plan on Return [COM(2015)453 final, September 2015].	35.63% ²⁰ (return rate to third countries)

Impact indicator 1b: Gap between the employment rates of third-country nationals compared to EU nationals²¹, age group 20-64

Source of the data: Eurostat

Baseline (2014)	Target (2020)	Latest known results (2018)
	Considering the recent increase of the employment gap between third-country nationals compared to EU nationals (the gap was only 10.6 points in 2010 against 13.4 in 2014), a decrease in 2020 compared with the baseline would be a good result, considering the high influx of refugees in the EU during the 2014-2016 period and the length of integration on the labour market of	

¹⁸ 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 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.

¹⁹ Please note that Eurostat periodically revises its published data to reflect new or improved information also for previous years. The 2014 baseline was updated from 40% to 41.8% and again to 41.75%.

²⁰ For the purpose of this exercise the EU rate of effective return to third countries in 2018 incorporates the figures of the total returns effected by Greece and reported as such to Eurostat (contrary to previous years Greece did not specifically report on return to third countries in 2018).

²¹ Host-country nationals and other EU nationals counted together.

	this category of third-country nationals.	
Gap: 13.4 points ²² EU nationals: 69.7% Third-country nationals: 56.3%	Decrease	Gap: 14.6 percentage points EU nationals: 73.9% Third-country nationals: 59.3%

Specific objective 1.1: Reduce incentives for irregular migration			Related to spending programmes ISF/B, Horizon 2020
Result indicator 1.1a: Number of joint return operations initiated and carried out by the European Border and Coast Guard Agency (EBGCA, or Frontex) ²³			
Source of data: EBCGA			
Baseline (2015)	Interim Milestone (2018)	Target (2020)	Latest known results (2018)
66	120	130 Frontex Return Office established and adequately staffed to sustain efficient and ongoing joint return operations on a regular basis. This figure is dependent on the volatility of relevant external factors (e.g. political situation in the third countries implementing readmission agreements, third country nationals that abscond in order not to be returned etc.)	345 In 2018 EBCGA coordinated and co-financed 345 return operations at EU level (including 140 joint return operations, 67 collecting return operations and 138 national return operations); with a total number of 12 223 returnees.

²² Please note that Eurostat periodically revises its published data to reflect new or improved information also for previous years. The 2014 baseline was updated from 69.8% to 69.7% for EU nationals and from 56.4% to 56.3% for third country nationals.

²³ The number of joint return operations organised by Frontex depends on the demand for support on return from the Member States and ultimately on the number of return decisions issued to irregular migrants in the EU.

Result indicator 1.1b: Number of human smuggling investigations supported by Europol Source of data: Europol			
Baseline (2015)	Interim Milestone (2018)	Target (2020)	Latest known results (2018)
8 929 contributions from Member States²⁴ 211 analysis reports providing information on several hits with telephone numbers, addresses and persons were forwarded to EU Member States. 11 joint action days were coordinated and supported by Europol. Europol continuing support in 140 investigations on migrant smuggling in 2016	Increase the number of analysis reports on migrant smuggling produced by Europol in order to provide Member states with information on hits in Europol's databases. This is especially plausible in light of the establishment of the European Migrant Smuggling Centre (EMSC) and the significant resources committed to it. Increased number of joint action days/arrests as a result of Europol's supporting actions	Significantly increased flow of intelligence and information on migrant smuggling to Europol resulting in Increased Europol capacity to proactively support and contribute to migrant smuggling investigations leading to disruption of smuggling operations. This figure is dependent on the volatility of relevant external factors (e.g. political situation in the third countries and migratory flows and number irregular migrants wishing to enter Europe), and capability of MS law enforcement agencies.	12 150 contributions from Member States were processed. 409 operational analytical products were produced by the EMSC analysts and specialists. 39 joint and common action days related to migrant smuggling were supported by Europol. 101 High Priority cases were supported by the European Migrant Smuggling Centre.

²⁴ The Member States have ownership of the data. For this reason the updated figure for 2015 –8 929 – is different from the one provided in the Strategic Plan -6 521. This is not however unusual since data may change depending on the date of extraction, be affected by new insertions or deletions and especially due to the re-categorisation of contributions which can occur at a later stage. It is also fair to say that the exponential increase of migrant smuggling contributions created a significant back-log. Launching and strengthening the EMSC made it possible to accelerate the processing of all this information.

Main outputs in 2018:

All new initiatives and REFIT initiatives from the Commission Work Programme

Output	Indicator	Target	Latest known results (2018)
Proposal for a revision of the Immigration Liaison Officer Regulation ²⁵ PLAN/2017/2186	Adoption of the proposal by the Commission	Q1 2018	Target was reached. Proposal was adopted on 16.5.2018 COM(2018) 303 Amendment to the Council Regulation (EC) 377/2004 on the creation of an immigration liaison officers' network

Important items from work programmes/financing decisions/operational programmes²⁶

Output	Indicator	Target	Latest known results (2018)
Support and monitoring actions provided to Member States to implement the Asylum, Migration and Integration Fund (AMIF) and the Internal Security Fund (ISF) Police	- Number of monitoring visits in Member States - Number of events (Committees, informal workshops, conferences, etc.) with MS to exchange best practices and ensure performance of implementation.	- At least 1 visit to each Member State - At least 5 events a year	- Monitoring visits (AMIF & ISF) undertaken to 27 Member States (in total 58 visits, as some Member States were visited more than once) - 3 AMIF/ISF Committees were organised in Brussels: A workshop for Audit Authorities, a workshop on ISF-B Specific Actions and a workshop on the future Home funds under the next MFF.
Programming actions and financing decisions related to direct management of the Asylum, Migration and Integration Fund (AMIF) and the Internal Security Fund (ISF) Police – Union Actions and emergency assistance	Adoption of all relevant Annual Work Programmes 2018 under AMIF (Union Actions and emergency assistance) and under ISF Police	Adopted for the full coverage of the budget by Q1 2018	Target was reached. - AMIF annual work programme for Union actions was adopted on 31.5.2018 C(2018) 3247 Commission implementing Decision on the adoption of the work programme

²⁵ Council Regulation (EC) No 377/2004 of 19 February 2004

²⁶ For a complete listing of expenditure-related outputs please refer to the Programme Statements published together with the Draft Budget for 2018.

			for 2018 and the financing of Union actions in the framework of the Asylum, Migration and Integration Fund -ISF-Police annual work programme for Union actions was adopted on 4.10.2018 C(2018) 6336 Draft Commission Implementing Decision concerning the adoption of the work programme for 2018 and the financing for Union actions and emergency assistance within the framework of the Internal Security Fund 2018 Annual Work Programme for Union actions under ISF-Police
Contracts and grant agreements for Union Actions under AMIF and ISF Police	Completion of the legal commitments to implement actions of the 2017 Work Programmes under AMIF and ISF Police	100% of the available budget committed	Target was reached.
Actions funded under emergency assistance AMIF (EMAS AMIF) to cover most pressing emergency needs	Level of actions supported by EMAS AMIF that cover the most pressing emergency needs	100% of actions funded to cover most pressing emergency needs based on the submitted applications	Target was reached. The AMIF commitment appropriations for emergency assistance has been exhausted in full.
Interim evaluations of the implementation of the Asylum, Migration and Integration Fund and of the Internal Security Fund 2014-2020 PLAN/2017/893 PLAN/2017/891	Staff working document published and Commission report adopted	Q2 2018	Target was reached. Report adopted and Staff working document published on 12.6.2018 COM(2018) 464 SWD(2018) 339 - 340 -341 Report on Interim Evaluation of the Asylum, Migration and Integration Fund and the Internal Security Fund
Proposals for the next generation of programmes under MFF post-2020	Adoption of the proposals by the Commission	Q2 2018	Target was reached Proposals adopted on 12.6.2018 and 13.6.2018 COM(2018) 471 SWD(2018) 348 - SWD(2018)349 2018/0248(COD) COM(2018) 473 2018/0249(COD) 12.6.2018

			COM(2018) 742 2018/0250(COD) Proposal for a Regulation of the European Parliament and of the Council establishing the Asylum and Migration Fund Proposal for a Regulation of the European Parliament and of the Council establishing, as part of the Integrated Border Management Fund, the instrument for financial support for border management Proposal for a Regulation of the European Parliament
Other important outputs			
Output	Indicator	Target	
Report on the evaluation of the Immigration Liaison Officer Regulation 2016/HOME/068	Commission report adopted (and Staff working document published)	Q1 2018	Target was reached. Report was adopted and Staff working document published on 16.5.2018 SWD(2018) 197, 2018/0153(COD) Evaluation of the Council Regulation (EC) No 377/2004 of 19 February 2004 establishing network of immigration liaison officers
Improved management and follow-up of cooperation with partner countries	Meetings organised by DG HOME	At least 1 meeting with each of the partner countries	Target was reached. Bilateral meetings with Senegal, Nigeria, The Gambia, Ghana, Mauritania, the Ivory Coast, Morocco, Tunisia, Egypt Moldova, Ukraine, Georgia, Armenia, Azerbaijan and Belarus, Albania, Kosovo, Serbia, Montenegro, the former Yugoslav Republic of Macedonia, Bosnia and Herzegovina, Afghanistan, Bangladesh, India, Iran, Iraq and Pakistan were held during the reporting period

Monitoring of - The implementation of Partnership Framework - The implementation of EU Action Plan on Migrant Smuggling - The performance of return systems across the EU (EU Member States and EBCGA) - Labour inspections (in line with Directive 2009/52/EC)	Number of inputs to regular progress reports on the European Agenda on Migration with a focus on - Partnership Framework - EU Action Plan on Migrant Smuggling - Returns and readmissions - Labour inspections	- At least 3 inputs on Partnership framework in 2018 - At least 2 inputs on migrant smuggling in 2018 - At least 3 inputs on returns and readmissions in 2018 - At least 1 input on labour inspections in 2018	- Building on the <i>Partnership Framework</i> on migration, DG HOME contributed to the shape the progress report on the Implementation of the European Agenda on Migration released in March 2018. The report replaced the regular updates of the Partnership Framework progress reports. - 3 input provided on migrant smuggling for the three reports of 2018 - 3 input provided on returns and readmissions for the three reports of 2018 - No input on labour inspections – not considered opportune in the context of regular progress reports on EAM
Management of the Prague Process	Number of senior officials meetings organised by DG HOME	1	Target was reached. One Senior Official Meeting was organised in December 2018 as planned. DG HOME contributed to shaping the agenda and fed the strategic discussions.
Support provided to the regional and African Union (AU)/African, Caribbean and Pacific (ACP) processes	EU Home Affairs priorities reflected in reports of the AU-EU Summit and ACP-EU dialogue on migration and development	Q1 2018	Target was reached. DG HOME contributed to shaping the migration approach discussed at the 9th AU-EU Commission the EU-Africa meeting in May 2018.
Support provided to the processes leading to the adoption of the UN Global Compacts on migration and on refugees	EU Home Affairs priorities reflected in meeting reports	Q4 2018	Target was reached. DG HOME has fed the consultation process that lead to the adoption of the UN Global Compacts on migration and on refugees in December 2018.
Operational deployment of EMLOs – support through training and	- Number of training sessions	- One 3-day networking/training event	- Training organised as planned.

monitoring	- Number of video conferences - Number of country reports produced by EMLOs	Q1 2018 - 4 video conferences - 1 monthly report from each EMLO (12 reports per month)	- 4 Video conferences with EMLOs held as planned - More than 90 reports produced.
Implementation of the EU Action Plan on Migrant Smuggling	- Number of expert meetings to implement different priority strands in the action plan	- 5 by end of 2018	Target was reached: 17 meetings - Consular anti-visa-fraud workshop in New Delhi (31.1-1.2.2018) - Consular anti-visa-fraud workshop in Nairobi (21.2-22.2.2018) - ILO Regulation evaluation feedback Event in Tunis (21.2.2018) - Launch of the EU Coordination Platform on migrant smuggling (22.2.2018) - ILO Regulation evaluation feedback Event in Amman (28.2.2018) - ILO Regulation evaluation feedback Event in Dakar (15.3.2018) - ILO Regulation evaluation feedback Event in Addis Ababa (17.4.2018) - Consular anti-visa-fraud workshop in Islamabad (18.4-19.4.2018) - ILO Regulation evaluation feedback Event in Abuja (16.5.2018) - Consular anti-visa-fraud workshop in Nairobi (22.5-23.5.2018) - ILO Regulation evaluation feedback Event in Ankara (30.5.2018) - Expert meeting on information and awareness raising campaigns – thematic focus on Nigeria (12.6.2018) - Consular anti-visa-fraud workshop in Abu Dhabi (12.6-13.6.2018) - Training Needs Analysis on cross-border cooperation to target migrant smuggling (11.7.2018) - 9th Contact Group of EU Agencies

	- Number of cooperation platforms launched on migrant smuggling in third countries	- At least 1	(18.9.2018) - Exchange of views on Hawala transfer services between law enforcement representatives and COM DGs 15.11.2018) - Forum de Coopération de l'UE sur le trafic des migrants in Tunis (11.12.2018) Target was reached: 1 cooperation platform launched in Tunisia
Continuation of negotiations opened in 2016 with a view to concluding readmission agreement	Number of countries with which negotiations are continued in 2018	3 countries	Target was partly reached. Ongoing negotiations with Nigeria and Tunisia. Discussions with Jordan have not progressed (Jordan signed a Mobility Partnership Agreement in 2016, but there is little prospect to move forward on related issues as Jordan shows no interest). In addition to those countries, with whom negotiations opened in 2016, discussions also continued with China and steps took place to re-launch negotiations with Morocco
Continuation of dialogues to implement informal readmission arrangements operational in 2017, and to establish new arrangements.	Number of countries with which dialogues are continued in 2018	6 countries	Target was reached. In 2018 three legally non-binding readmission arrangements were concluded with Ethiopia, The Gambia and Ivory Coast (adding up to the three existing ones with Afghanistan, Bangladesh and Guinea). DG HOME closely supervises the implementation.
Second report on implementation of the Return Directive 2008/115/EC	Adoption by the Commission	Q2 2018	Report no longer deemed opportune in light of COM's proposals for a more effective and coherent European return policy (proposal for a recast of

			the Return Directive - see below)
Schengen evaluations on return (in line with Regulation 1053/2013) More information on multi-purpose Schengen evaluations, is provided under Objective 1.2	Number of on-site visits	At least 5 Member States	Target was reached. Evaluations took place in Switzerland, Estonia, Finland, Lithuania and Latvia
Second report on implementation of the Employers' Sanctions Directive 2009/52/EC	Adoption by the Commission	Q3 2018	It was deemed not opportune to adopt before next parliamentary term (and in light of the proposal for a recast of the Return Directive)
Additional policy-related outputs (not included in the 2018 Management Plan)			
Output	Indicator	Target	Latest known results (2018)
Revised Return Directive	Adoption by the Commission	Q3 2018	Target was reached. Proposal was adopted on 12.9.2018 COM(2018) 634 Proposal for a Directive of the European Parliament and of the Council on common standards and procedures in Member States for returning illegally staying third-country nationals (recast)

Specific objective 1.2: Effective border management - save lives and secure EU external borders Related to spending programmes ISF/B, Horizon 2020

Result indicator 1.2a: Reintroduced controls at internal borders (excluding cases notified due to the big events, meetings, summits etc.)

Source of data: Member States

Baseline (2015)	Interim Milestone (2018)	Target (2020)	Latest known results (2018)
4 cases (AT, DE, FR, SE)	0	0	Border controls further prolonged in October 2018 until the end of April 2019 (FR) and until mid-May 2019 (AT, DE, DK, SE, NO). Prolongations are justified by the continuous serious threats related to secondary movements and by the security situation in Europe. The decisions on prolongation of border controls at internal borders belongs to the Member States. In the situation where the grounds of such decisions differ, the time-limits set out in the Schengen Borders Code may not apply. The proposed amendment of the relevant applicable rules in this regard (Schengen Borders Code) has not yet been adopted; the works on this file will resume after the elections to the European Parliament. In view of the above, the target of 2020 may be difficult to reach.

Result indicator 1.2b: Number of Frontex Joint Operations coordinated at EU external borders

Source of data: EBCGA

Baseline (2013)	Interim Milestone (2018)	Target (2020)	Latest known results (2018)
17 joint operations (JO) for 88 502 ²⁷ man/days	increase	Increased operational activity compared to the baseline. The increase compared to the baseline reflects the need of increased EU support in the field of external border management in the context of the migratory crisis where the national border management systems of the frontline MS are exposed to disproportionate migratory pressure.	12 Joint Operations at EU external borders. These activities totalled 263 833 deployed man-days

²⁷ The figure indicated in the Strategic Plan was wrong and corrected (from 2 283 to 88 502)

Result indicator 1.2c: Number of fully operational hotspots in reference to the number of hotspots identified Source of data: Progress reports on the implementation of the hotspots ²⁸ and hotspots daily reports			
Baseline (2015)	Interim Milestone (2016)	Target	Latest known results (2018)
		On 13 May 2015, the Commission announced the setting up of the 'hotspot' approach under the European Agenda on Migration. On 29 September 2015, the Commission adopted a Communication²⁹ calling for the full roll-out of the Relocation Scheme and Migration Management Support Teams working in 'hotspot' areas. On 14 October 2015, the Commission presented a Communication³⁰ setting out the next steps for the coming six months. On this basis, hotspots should be operational by March 2016. In its conclusions on 17 December 2015, the European Council recalled that deficiencies in the functioning of hotspots should be rapidly addressed. Five hotspot areas have been identified by the Greek authorities in Lesbos, Leros, Kos, Chios and Samos. Italy has identified six hotspot areas in Lampedusa, Pozzallo, Porto Empedocle/Villa Sikanian, Trapani, Augusta and Taranto.	
By the end of 2015, 2 hotspots were fully operational (in Lampedusa and Lesbos) out of the 11 hotspots identified).	100% (11 fully operational hotspots)	Swift operation of all identified hotspots	By the end of 2018, 9 hotspots were fully operational: 5 in Greece and 4 in Italy – down from 5, as Italian authorities in September, in view of the low flows, decided to transform Trapani hotspot into a detention centre. In Greece, the total capacity was more than 7 600 places (including the capacity of facilities outside the Reception and Identification Centres) and in Italy 1 450. In addition, the Italian authorities apply the hotspots approach to other ports of disembarkation even if not nominally considered hotspots.

²⁸ e.g. COM(2015)678 final and COM(2015)679 final of 15 December 2015.

²⁹ COM(2015) 490 final/2 of 29.9.2015.

³⁰ COM(2015) 510 final of 14.10.2015.

Main outputs in 2018:			
All new initiatives and REFIT initiatives from the Commission Work Programme			
Output	Indicator	Target	Latest known results (2018)
Support to interinstitutional negotiation on the revision of the interoperability proposal aimed at coming to political agreement between co-legislators.	Number of meetings prepared, attended and followed up by DG HOME	At least 10	Through facilitating inter-institutional meetings, DG HOME supported negotiations. Trilogues began in October 2018. Agreed in February 2019.
Important items from work programmes/financing decisions/operational programmes ³¹			
Output	Indicator	Target	Latest known results (2018)
Horizon 2020 Secure Societies Work Programme: Launch of projects	Number of topics Signature of the Grant Agreements Total amount of EU contribution	5 Q2 2018 EUR 37 million	In the frame of the considered topics, two grants were signed with a total EU contribution of EUR 6.9 million. REA managed the other grants. The grant agreement preparation suffered a slight delay mainly due to validation (beyond the control of DG HOME).
Support and monitoring actions provided to MS to implement the Internal Security Fund (ISF) – borders and visa	Number of monitoring visits in MS Number of events (Committees, informal workshops, conferences, etc) with MS to exchange best practice and ensure performance of implementation	At least 1 At least 5 events	16 monitoring visits undertaken. 3 AMIF/ISF Committees were organised in Brussels. 3 workshops were organised: A workshop for Audit Authorities, a workshop on ISF-B Specific Actions and a workshop on the future Home funds under the next MFF.

³¹ For a complete listing of expenditure-related outputs please refer to the Programme Statements published together with the [Draft Budget for 2018](#).

Financing decisions 2018 under direct management	Adoption of all relevant Annual Work Programmes 2018 under ISF Borders and Visa (Union Actions and emergency assistance)	Adopted for the full coverage of direct management budget by Q1 2018	Target was reached Work programme was adopted on 3.7.2018 C(2018) 4076 Draft Commission Implementing Decision concerning the adoption of the work programme for 2018 and the financing for Union actions and emergency assistance within the framework of the Internal Security Fund 2018 Annual Work Programme for Union actions under Border and Visas
Contracts and grant agreements under direct management	Completion of the legal commitments to implement actions of the 2017 Work Programmes for ISF Borders and Visa	100% of the available appropriations	There was no full consumption of 2017 commitments, notably because of a slight underspending on the call for proposal EUROSUR cooperation (77% of the budget of the call). This was because three project proposals came in, but only two could be awarded.
Actions funded under emergency assistance (EMAS) for ISF Borders covering most pressing emergency needs	Level of actions funded under EMAS ISF Borders that cover the most pressing emergency needs	100% of actions funded covering most pressing emergency needs based on the submitted applications	There was no full consumption of the ISF-Borders commitment appropriations under the budget 2017 for emergency assistance but all pressing needs were met. Projects signed with Greece were lower than the budget planned following applications. The gap could be partially offset by the signing of grants in December 2018 for Croatia and Cyprus.
Evaluation of Schengen Facility for Croatia PLAN/2017/2172	Staff working document published and Commission report adopted	Q4 2018	The contract was signed on 14.11.2018, and the inception report was submitted on 21.11.2018. Progress reports are submitted on a monthly basis. By Q2 2019 the Staff working document will be published and the Commission report adopted.
Interim evaluation of the implementation of the Internal Security Fund 2014-2020 PLAN/2017/891	Staff working document published and Commission report adopted	Q2 2018	Target was reached Report adopted and Staff working document published on 12/06/2018 COM(2018) 464 SWD(2018) 339 - 340 -341 Report on Interim Evaluation of the Asylum,

			Migration and Integration Fund and the Internal Security Fund
Proposal for the next generation of programmes under MFF post-2020	Adoption of the proposals by the Commission	Q2 2018	Target was reached Proposals adopted on 12.6.2018 and 13.6.2018 COM(2018) 471 SWD(2018) 348 - SWD(2018)349 2018/0248(COD) COM(2018) 473 2018/0249(COD) 12.6.2018 COM(2018) 742 2018/0250(COD) Proposal for a Regulation of the European Parliament and of the Council establishing the Asylum and Migration Fund Proposal for a Regulation of the European Parliament and of the Council establishing, as part of the Integrated Border Management Fund, the instrument for financial support for border management Proposal for a Regulation of the European Parliament
Other important outputs			
Output	Indicator	Target	Latest known results (2018)
Support to inter-institutional negotiation of revised proposal for Regulations on the establishment, operation and use of the Schengen Information System in the fields of police cooperation, and judicial cooperation in criminal matters, border checks and the return of illegally staying third-country nationals.	Number of meetings prepared, attended and followed up by DG HOME	At least 10	Target was reached. 13 meetings were held. Through facilitating inter-institutional meetings DG HOME contributed to the adoption of the three Regulations to enhance the use of the Schengen Information System (SIS) on 28.11.2018 (published on 7.12.2018). Regulation (EU) No 2018/1860 (SIS return) Regulation (EU) No 2018/1861 (SIS border checks) Regulation (EU) No 2018/1862 (SIS police cooperation)
Overall evaluation of the European border surveillance system (EUROSUR)	Publication of the evaluation report	Q1 2018	Target reached with a certain delay, as it was postponed until Q3 as part of the EBCG Package.

2016/HOME/1791			Commission Staff Working Document was published on 12.9.2018 SWD(2018)410 Evaluation of the Regulation (EU) No 1052/2013 of the European Parliament and of the Council of 22 October 2013 establishing the European Border Surveillance
Legislative proposal amending the European Border Surveillance System (EUROSUR) Regulation PLAN/2017/1791	Adoption of the proposal by the Commission	Q2/2018	Target reached with a certain delay as it was postponed. Proposal was adopted on 12.9.2018 and combined with a proposal relating to the European Border and Coast Guard COM(2018) 631 Proposal for amendment of Regulation 2016/1624 of the European Parliament and of the Council of 14 September 2016 establishing the European Border and Coast Guard and of Regulation 1052/2013 of the European Parliament and of the Council of 22 October 2013 establishing the European Border Surveillance System (EUROSUR)
Monitoring of the operationalisation of the European Border and Coast Guard	Number of inputs to the regular progress reports on the European Agenda on Migration	At least 3	Target, was reached, 3 progress reports COM(2018) 250; COM(2018) 301; COM(2018)798 reported also on the operationalisation of the EBCG.
Conclusion of status agreements with 5 Western Balkan Countries	Conclusion of status agreements with Serbia and North Macedonia Conclusion of status agreements with Albania, Bosnia-Herzegovina and Montenegro	Q2/2018 Q3-Q4 2018	Target was partly reached Negotiations have been successfully concluded with all countries. Six proposals were adopted for Council decisions on the signature and the conclusion of the status agreements: -North Macedonia: COM(2018) 610 COM(2018) 611 - Albania: COM(2018) 458 COM(2018) 459 - Serbia: COM(2018) 797 COM(2018) 799 In the beginning of 2019, status agreements were

			signed with Bosnia and Herzegovina (January 2019) and Montenegro (February 2019)
Strengthening and further developing the Commission coordination and facilitation role in hotspot areas, in close cooperation with EU agencies and taking into account the European Border and Coast Guard (EBCG) regulation	- Number of meetings of the EU Regional Task Force involving EU Agencies chaired by DG HOME - Participation, where relevant, in coordination mechanisms between EU agencies, national authorities and other stakeholders (e.g. UNHCR, IOM, NGOs) at central or local hotspot levels	- Weekly (IT) - Bi-monthly (EL) - 100% participation, where relevant	- Weekly (IT). - As of July 2018: monthly (EL) - 100% participation, where relevant
Regular monitoring and reporting on the implementation of the hotspot approach and migration management support	- Release of daily reports - Contributions to reports or ad hoc publications - Number of inputs on the implementation of the EU-Turkey Statement included in the regular progress reports on the European Agenda on Migration	- Daily reports (IT) - Contributions to daily reports (EL) - At least 4 - At least 3	- the sequence of daily reports turned into twice per week as of 1/5/2018 (IT) - daily reporting continued (EL) - 5 contributions to DG Home Reports (4 to Progress Report Agenda Migration, 1 to Controlled Centres non-paper, 1 State of the Union) - more than 5 inputs to factsheets accompanying the Progress reports, to the reports on the European Agenda on Migration, SOTEU and controlled centres
Commission Implementing Decision establishing the 2018 programmes for Schengen evaluations (announced and unannounced visits). PLAN/2017/1922 PLAN/2017/1923	Adoption by the Commission	2018	Target was reached.
Schengen evaluation reports (Commission Implementing Decisions) and proposals for	Number of reports and number of proposals for recommendations adopted	At least 25 reports and 25 recommendations	Target was reached.

recommendations (Commission proposal for a Council Implementing Decision) concerning announced and unannounced on-site visits to Member States	by the Commission		
Horizontal report on the Schengen evaluation mechanism	Adoption of the report	Q3 2018	Postponed to Q2 2019 because of operational priorities and limited resources.
Report from the Commission to the European Parliament and Council on the implementation of the 'Action Plan to strengthen the European response to travel document fraud'.	Adoption of report	Q3 2018	Target was reached Report was adopted on 16.10.2018 COM(2018) 696 Report to the European Parliament and the Council on the implementation of the Action plan to strengthen the EU response to travel document fraud
Commission Communication analysing the need to revise the Advance Passenger Information (API) Directive PLAN/2017/0021	Adoption by the Commission	Q1 2018	The Communication was replaced by the Evaluation of the API Directive, to be completed by Q3 2019
Integrated Situational Awareness and Analysis reports in the framework of the European Union Integrated Political Crisis Response arrangements	Reports transmitted to the Council	Weekly reports (due every Tuesday)	Target was reached. 46 weekly reports were successfully delivered.

Specific objective 1.3: Enhance protection and solidarity				Related to spending programme(s) Asylum, Migration and Integration Fund	
Result indicator 1.3a: Number of persons relocated					
Source of data: Hotspots daily reports					
Baseline (2015)	Interim Milestone		Target The target has been established by the Council Decisions on Relocation [Council Decision (EU) 2015/1523 of 14 September 2015 establishing provisional measures in the area of international protection for the benefit of Italy and of Greece; and Council Decision (EU) 2015/1601 of 22 September 2015 establishing provisional measures in the area of international protection for the benefit of Italy and Greece]	Latest 2018	known results
	(2016)	(2017)			
269 ³² persons relocated	90 000 The Council Decisions do not establish an interim milestone-number needed to be reached under swiftly relocation conditions	69 728	160 000 to be relocated by 26 September 2017	From September 2015 to December 2018 34 709 persons were relocated – 12 710 from Italy and 21 999 from Greece. Of those, 1 556 were relocated in 2018. Over 95% of applicants for whom relocation requests were sent to Member States of relocation were successfully relocated by the end of 2018. The result also represented about 80% of all applicants registered for relocation. The 2015 Council Decisions on relocation were valid for 2 years until September 2017. The number of actual relocations reflects the number of eligible applicants who were present in Italy and Greece within the period of validity of the Council Decisions and that number was much lower than the overall target (160 000) set by the Council Decisions.	

³² The value indicated in the Strategic Plan was 272. This number has been corrected and decreased to 269 because 3 cases were Dublin cases, not relocations.

Result indicator 1.3b: Number of persons resettled Source of data: Member States			
Baseline (2015)	Interim Milestone (2016)	Target 8 December 2017 [Commission Recommendation of 8 June 2015 on a European resettlement scheme, Member States' Conclusions on Resettlement of 20 July 2015]	Latest known results (2018)
3 358	10 250	- 20 504	- 19 432 (ended 2017) resettled under the 2015 scheme. - 21 000 resettled in 2018 under the 2017 resettlement scheme³³. - 7 000 resettled in 2018 under the EU-Turkey statement (18 640 in total) – some of the migrants resettled under the EU-Turkey Statement are also included in the figures for the other resettlement schemes.

Result indicator 1.3c: Convergence of protection recognition rates for asylum seekers from the same country Source of data: Eurostat				
Baseline (2014)	Interim Milestone (2015)	Interim Milestone (2017)	Target (2020)	Latest known results (2018)
The standard deviation in terms of recognition rates for international protection among Member States on the caseload on Afghanistan, one of the most relevant in the EU, is 25.2 ³⁴ .	27.3	Lower (increased convergence)	Lower (increased convergence) The way Member States process applications for asylum seekers from a top source third country is one of the indicators of how much the Common	24.5 is the standard deviation for 2018 in terms of recognition rates for international protection among Member States for migrants from Afghanistan. Recognition rates for asylum seekers from Afghanistan varied from 5% in Bulgaria to 87% in Italy.

³³ C(2017) 6504 of 27.9.2017 – in which 20 Member States pledged 50 000 places to be completed by end October 2019.

³⁴ For Member States with at least 100 decisions regarding asylum seekers from Afghanistan; Figure for 2014 in the Strategic Plan needs to be updated from 22.27 to 25.2 as some MS provided additional data.

Recognition rates for asylum seekers from Afghanistan varied from 22 to 89% (63% in Belgium, 22% in Denmark, 46% in Germany, 27% in Greece, 89% in Italy, 48% in Sweden)			European Asylum System contributes to the harmonisation of rules and practices in the EU regarding asylum procedures. The EU acquis on asylum defines common rules on the different steps and aspects of an asylum application and should therefore lead to reduced amplitude of recognition rates for asylum seekers from a source third country.	
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Main outputs in 2018:			
Important items from work programmes/financing decisions/operational programmes ³⁵			
Output	Indicator	Target	Latest known results (2018)
AMIF outputs, indicators and targets have been specified under specific objective 1.1			
Other important outputs			
Output	Indicator	Target	Latest known results (2018)
Support to inter-institutional negotiation of the proposals for the CEAS reform with a view to the adoption of the EU-Asylum Agency and Eurodac proposals by March 2018 and the reaching of a political agreement on the overall reform of the Common European Asylum System in June 2018.	Number of meetings prepared, attended and followed up by DG HOME	At least 10	Target was reached. Much more than 10 meetings were held. Significant progress on 5 (EU Asylum Agency, Eurodac, Union Resettlement Framework, Qualification Regulation, Reception Conditions Directive) out of the 7 proposals has been quite good, reaching preliminary political agreements by the June 2018 EUCO

³⁵ For a complete listing of expenditure-related outputs please refer to the Programme Statements published together with the [Draft Budget for 2018](#).

			deadline and now ready to be finalized. However, their adoption is linked to discussion on the Dublin Regulation and the Asylum Procedure Regulation on which discussions have not sufficiently advanced. There was a report on progress during the October European Council.
Implementation of the Council Decisions on relocation and recommendation on resettlement- Regular monitoring and reporting	Number of inputs on relocation and resettlement included in regular progress reports on the European Agenda on Migration.	At least 3 on relocation and 3 on resettlement	Target was reached
Monitoring infringement cases initiated since 2013 in relation to the transposition and implementation of the current CEAS rules (Dublin, Eurodac, EASO, Asylum Procedures, Qualification, Reception Conditions)	Number of monitored infringement cases in relation to failure to communicate measures for the transposition of one of the CEAS Directives (non-coms) Number of monitored infringement cases in relation to systematic breach of the current CEAS rules.	At least 50 non-com cases. At least 12 cases	Monitoring is ongoing for most of the pending cases, but progress has been slow due to the fact that the expert studies on which DG HOME relies to advance on these cases were not finalised until September 2018 in the case of the Reception Conditions Directive (2013/33/EU) and February 2019 in the case of the Asylum procedures Directive (2013/32/EU)
Monitoring EASO activities to ensure that continued operational support is provided to Member States subject to particular pressure while facilitating and strengthening practical cooperation among Member States.	Number of support measures implemented in accordance with Operational Plans and Special Support Plans according to EASO reporting to the Management Board.	At least 50 % of proposed measures.	The support measures foreseen in EASO Operational Plans for 2018 (Italy, Greece, Bulgaria and Cyprus) were implemented by the Agency as planned and the overall outcome of EASO support to these MS is now being evaluated by the Agency. The Commission has been continuously monitoring EASO operational activities through its active participation to the EASO Management Board meetings and through continuous active cooperation between DG HOME and EASO regarding its operations on technical level.

Specific objective 1.4 : A new policy on legal migration to address skill shortages in the EU and enhance effective integration				Related to spending programme(s) Asylum, Migration and Integration Fund
Result indicator 1.4a: Number of first residence permits issued for "Education reasons"				
Source of data: Eurostat				
Baseline (2014)	Interim Milestone (2017)	Target (2020)	Latest known results (2017)	
267 752 first permits issued for education reasons in the 25 EU Member States bound by the EU acquis (all but UK, DK and IE)	302 800	430 000 (2020) This indicator measures the attractiveness of the EU as a place for studies for TCNs. The recast of the Students & Researchers Directive, which will enter into force in 2018, should, among other factors, contribute to increase the figure.	314 091	
Result indicator 1.4b: Share of multiple entry visas (MEVs) with long validity (one year or more) on total number of visas issued				
Source of data: Member States				
Baseline (2014)	Interim Milestone (2017)	Target (2020)	Latest known results (2018)	
48% (this includes all multiple-entry visas issued and not only those with long periods of validity)	53%	60% (under the revised Visa Code (to be proposed on 13 March 2018), the percentage will be related only to multiple entry visas with long validity; the proposal for a revised Visa Code will include mandatory rules on the issuing of MEVs to regular travellers, therefore increasing the share of MEVs being issued; a higher target than 60% does not seem realistic as more regular travellers will hold MEVs with a long period of validity, and thus there will be a more important share of first time travellers amongst the visa applicants)	57.9%	

Main outputs in 2018:

All new initiatives and REFIT initiatives from the Commission Work Programme

Output	Indicator	Target	Latest known results (2018)
Inputs to progress reports on European Agenda on Migration relating to achievements and the way forward under this specific objective	Number of inputs to the progress reports	At least 3 in 2018	Inputs were provided in May and December 2018 in the two progress reports.
Staff Working Document (SWD) on legal migration fitness check 2015/HOME/235	Publication of the SWD	Q3 2018	The Commission will present the results of the fitness check of the legal migration acquis in the first quarter 2019, and further consult stakeholders on its outcomes and the possible future steps ahead
Modernisation of the common visa policy 2017/HOME/2045	Adoption of Communication	Q1 2018	Target was reached Communication adopted on 13.3.2018 COM(2018) 251 Communication from the Commission to the European Parliament and the Council on adapting the common visa policy to new challenges
Proposal (incl. impact assessment) for a Council Regulation amending the Visa Code 2017/HOME2083	Adoption of the proposal	Q1 2018	Target was reached Proposal adopted on 13.3.2018 COM(2018) 252 Proposal for a Regulation of the European Parliament and of the Council amending Regulation (EC) No 810/2009 establishing a Community Code on Visas (Visa Code)
Proposal (incl. impact assessment) to amend Regulation 767/2008 concerning the Visa Information System (VIS) and the exchange of data between Member States on short-stay visas and Regulation 810/2009 establishing	Adoption of the Proposal	Q2 2018	Target was reached Proposal adopted on 16.5.2018 COM(2018)303, SWD(2018)197, 2018/0153(COD) Proposal to amend regulation 767/2008 concerning the Visa Information System (VIS) and the exchange of data between Member States on short-stay visas and Regulation 810/2009 establishing a Community Code on Visas (the visa code)

a Community Code on visas (the Visa Code) on VIS related aspects 2017/HOME/208			
Important items from work programmes/financing decisions/operational programmes³⁶			
Output	Indicator	Target	Latest known results (2018)
AMIF outputs, indicators and targets have been specified under specific objective 1.1			
Other important outputs			
Output	Indicator	Target	Latest known results (2018)
Commission Proposals for Council Decisions on the signing and conclusion of the amended visa waiver agreements with Brazil 2016/HOME/041	Adoption of the proposals by the Commission	Q2 2018	Target was reached Proposals were adopted on 11.4.2018 COM(2018) 174, COM(2018) 176, COM(2018) 175, COM(2018) 177 Commission Proposal for the signing of the amended visa waiver agreements with Brazil - ORDINARY Commission Proposal for the signing of the amended visa waiver agreements with Brazil - DIPLOMATIC Commission Proposal for the conclusion of the amended visa waiver agreements with Brazil - ORDINARY Commission Proposal for the signing of the amended visa waiver agreements with Brazil - DIPLOMATIC
Commission proposals for Council Decisions on the signing and conclusion of the agreement on the facilitation of the issuance of visas between the European Union and Belarus PLAN/2017/2096 and PLAN/2017/2095	Adoption of the proposals by the Commission	Q2 2018	At the end of 2018 there still remain a number of outstanding issues for discussion.

³⁶ For a complete listing of expenditure-related outputs please refer to the Programme Statements published together with the [Draft Budget for 2018](#).

Commission proposals for Council decisions on the signing and conclusion of the agreement on the facilitation of the issuance of visas between the European Union and China 2016/HOME/195	Number of negotiation rounds	At least one in 2018	Target was reached A negotiating round took place in Beijing on 12 September 2018.
Schengen evaluations on the common visa policy More information on multi-purpose Schengen evaluations, is provided under Objective 1.2	Number of on-site visits	At least 5 Member States	Target was reached: LV in Moscow and Tashkent, April 2018; FI in St Petersburg and Kouvola in May/June 2018; EE in Astana and St Petersburg, October 2018; LT in Kaliningrad and Baku, November 2018; CH in Beirut and Abu Dhabi in December 2018.
Support to interinstitutional negotiation on the revision of the Blue Card directive which could lead to a political agreement between co-legislators	Number of meetings prepared, attended and followed up by DG HOME	At least 10	The progress on the EU Blue Card has been slower than planned as the file is complex and politically sensitive. Within the Council several groups of Member States have views that are diametrically opposed to each other on crucial aspects of the Commission's proposal and that constitute blocking minorities. At the same time, the current Council mandate is still far from the Commission's proposal and the EP's position (which is by and large supportive of COM proposal). The file is currently blocked in Council.
Report on the implementation of the Action Plan on integration (integrated into regular report on the implementation of the European Agenda on migration)	Adoption by the Commission	Q3 2018	The report on the implementation of the Action Plan will be prepared during the first semester 2019.
Under the European Integration Network, mutual learning activities for Member	Number of study visits Number of workshops	At least 2 study visits by end 2018 and one 2-	Target was reached Two two-day study visits were organised in 2018 in Portugal (June) and Norway (October). Both were very successful with more than 12 Member States participating.

States in order to share experience and exchange best practices relating to integration		day training session organized by end 2018	A two-day training was organised in April (Urban academy) for 30 representatives of local and regional authorities and 10 Member states representatives on the topics of Education and working with civil society. The three events were evaluated very positively by participants.
Third European dialogue on skills and migration	Organisation of the third European dialogue on skills and migration	Second half of 2018	The organisation of the European Dialogue on skills and migration did not take place in 2018 as the focus has been put in 2018 on the implementation of the European Partnership on Integration signed in December 2017 between Economic and Social partners and the Commission.
European Migration Forum with the participation of 200 representatives from NGOs to discuss asylum, migration and integration-related issues	Organisation of the event	6 and 7 March 2018	Target was reached The European Migration Forum was organised on 6 and 7 March 2018 on the topic of the integration in the labour market. More than 200 representatives of NGOs participated to this 2 days event.
Implementation of pilot projects on labour migration	Number of pilots projects	At least 3	Target was reached At the end of 2018, three labour migration pilot projects selected by the Commission were ready to start.
Additional policy-related outputs (not included in the 2018 Management Plan)			
Output	Indicator	Target	Latest known results (2018)
Communication from the Commission to the European Parliament and the Council on visa reciprocity	Adoption of Communication	Second half of 2018	Target was reached: Communication from the Commission to the European Parliament and Council 'State of play and way forward as regards the situation of non-reciprocity in the area of visa policy' was adopted on 19 December 2018 (COM(2018) 855).

General objective 2: An area of justice and fundamental rights based on mutual trust

Specific objective 2.1: A strong EU response to tackling terrorism and preventing radicalisation Related to spending programme(s)
Internal Security Fund - Police

Result indicator 2.1a: Level of security for EU citizens: measured through the ratio between the number of failed, foiled or completed terrorist attacks in the EU and the number of arrests for terrorism related offences

Source of the data: Europol (Te-Sat Report)

Baseline (2014)	Interim Milestone (2018)	Target (2020) Target set at a realistic level, reflecting however significant progress in achieving the general objective	Latest known results (2017 ³⁷)
25.7 points (199 attacks and 774 arrests)	20 points	15 points	16.8 points (205 attacks and 1 219 arrest)

Result indicator 2.1b: Number of suspicious transactions reported within the FIU.Net

Source of data: FIU.NET

Baseline (2014)	Interim Milestone (2018)	Target (2020) Target set at a realistic level, reflecting however significant progress in achieving the specific objective	Latest known results (2018)
12 076	20 000	25 000	19 202 Increase from 15 878 in 2017.

³⁷ Figures for 2018 will be available in Q2 2019.

Result indicator 2.1c: Number of contributions to the European Bomb Data System (currently EPE/EBDS) Source of data: European Bomb Data System				
Baseline (2014)	Interim Milestone (2018)		Target (2020) Target set at a realistic level, reflecting however significant progress in achieving the specific objective	Latest known results (2018)
1 804	2 450		2 600	3 846
Result indicator 2.1d: Number of alleged terrorists arrested/prosecuted Source of data: Europol/Eurojust				
Baseline (2014)	Interim Milestone		Target (2020) Target set at a realistic level, reflecting however significant progress in achieving the specific objective	Latest known results (2018)
	(2015)	(2018)		
30 notifications on ongoing investigations and prosecutions 180 notifications on court results The number includes data transmitted spontaneously to Eurojust throughout the year, as well as data sent following Eurojust's request to receive information in the framework of drafting its contribution to the EU Terrorism Situation and Trend (TE-SAT) Report	100 notifications on ongoing investigations and prosecutions 218 notifications on court results. ³⁸	Increase	Increase	580 notifications on ongoing investigations and prosecutions 301 notifications on court results (Concluded court proceedings for terrorist offences - the number does not include data reported to Eurojust by one Member State that provided information on individuals tried and convicted or acquitted of terrorist offences but not on the number of proceedings those individuals were part of).

³⁸ Numbers indicated in the Strategic Plan for 2015 were 91 notifications on ongoing investigations and prosecutions and 51 notifications on court results but as explained in the Strategic Plan, the compilation for the full year 2015 was ongoing. After it was completed numbers were changed into those mentioned above.

Result indicator 2.1e: Number of terrorist contents removed from Internet/number of counter narratives produced Source of data: Internet Referral Unit			
Baseline (2014)	Interim Milestone (2018)	Target (2020) Target set at a realistic level, reflecting however significant progress in achieving the specific objective	Latest known results (2018)
Contents: 0 (EU IRU did not exist)	4 216 referrals	4 678 referrals	39 336
Counter narratives produced: 9	15 (aggregated)	25 (aggregated)	18 (aggregated)

Main outputs in 2018:			
All new initiatives and REFIT initiatives from the Commission Work Programme			
Output	Indicator	Target	Latest known results (2018)
Inputs to progress reports on Security Union relating to achievements in tackling terrorism, preventing radicalisation, disrupting organised crime and fighting cybercrime.	Number of inputs to the progress reports	9 in 2018	Several contributions in each of the five Security Union Progress Reports adopted in 2018 -13 th progress report towards an effective and genuine Security Union adopted on 24.1.2018 COM(2018) 46 -14 th progress report adopted on 17.4.2018 COM(2018) 211 -15 th progress report adopted on 13.6.2018 COM(2018) 470 -16 th progress report adopted on 10.10.2018 COM(2018) 690 -17 th progress report adopted on 11.12.2018 COM(2018) 845
Proposal for a revision of the Regulation (EU) 98/2013 of the European Parliament and of the Council on the marketing and use of explosives precursors 2016/HOME/505	Adoption of the proposal by the Commission	Q2 2018	Target was reached Proposal was adopted on 17.4.2018 COM(2018) 209, 2018/0103(COD) SWD(2018) 104, SWD(2018) 105 Proposal for a Regulation of the European Parliament and the Council on the marketing and

			use of explosives precursors, amending Annex XVII to Regulation (EC) No 1907/2006 and repealing Regulation (EU) No 98/2013 on the marketing and use of explosives precursors
Support to inter-institutional negotiations on the revision of the interoperability proposal aimed at coming to political agreement between co-legislators	Number of meetings prepared, attended and followed up by DG HOME	At least 10	Through facilitating inter-institutional meetings, DG HOME supported the negotiations. Trilogues began in October. Agreed in February 2019.
Important items from work programmes/financing decisions/operational programmes³⁹			
Output	Indicator	Target	Latest known results (2018)
Horizon 2020 Secure Societies Work Programme: - launch of projects	Number of topics Signature of the Grant Agreements Total amount of EU contribution	4 By end March 2018 EUR 22 million	In the frame of the considered topics, three grants with a total EU contribution of EUR 14.9 million were signed. This is below expectations, but dependant on the quality of the proposals submitted to the call and their evaluation by independent experts. It is to be noted that grant agreement preparation suffered a slight delay, mainly due to validation (beyond the control of DG HOME). The targeted H2020 "Time to grant" of 8 months following the closure of the call has not been reached for all projects due to difficulties experienced by some new beneficiaries in finalising the validation process as well as to a temporary shortage of staff in HOME B.4. REA managed the other grants.
Support and monitoring actions provided to MS to implement the	- Number of monitoring visits in MS	- At least 1 monitoring visit to each Member	16 ISF monitoring visits undertaken

³⁹ For a complete listing of expenditure-related outputs please refer to the Programme Statements published together with the [Draft Budget for 2018](#).

Internal Security Fund (ISF) – police	- Number of events (Committees, informal workshops, conferences...) with MS to exchange best practices and ensure performance of implementation	State - At least 5 events	3 AMIF/ISF Committees were organised in Brussels. 3 workshops were organised: A workshop for Audit Authorities, a workshop on ISF-B Specific Actions and a workshop on the future Home funds under the next MFF.
Financing decisions 2018 under direct management	Adoption of all relevant Annual Work Programmes 2018 under ISF – Police (Union Actions and Emergency Assistance)	Adopted for the full coverage of direct management budget by Q1 2018	Target was reached. See specific objective 1.1
Contracts and grant agreements under direct management	Completion of the legal commitments to implement actions of the 2017 Work Programmes for ISF Police	100% of available appropriations	Target was reached following redistribution of projects under reserve lists. (N.B. The ISF-Police budget 2017 for emergency assistance was not fully committed in the absence of sufficient applications.)
Interim evaluation of the implementation of the Internal Security Fund 2014-2020 PLAN/2017/891	Staff working document published and Commission report adopted	Q2 2018	Target was reached Report adopted and Staff working document published on 12.6.2018 COM(2018) 464 SWD(2018) 339 - 340 -341 Report on Interim Evaluation of the Asylum, Migration and Integration Fund and the Internal Security Fund
Proposal for the next generation of programmes under MFF post-2020	Adoption of the proposal by the Commission	Q2 2018	Target was reached Proposals adopted on 12.6.2018 and 13.6.2018 COM(2018) 471 SWD(2018) 348 - SWD(2018)349 2018/0248(COD) COM(2018) 473 2018/0249(COD) 12/06/2018 COM(2018) 742 2018/0250(COD) Proposal for a Regulation of the European Parliament and of the Council establishing the Asylum and Migration Fund Proposal for a Regulation of the European Parliament and of the Council establishing, as part

			of the Integrated Border Management Fund, the instrument for financial support for border management Proposal for a Regulation of the European Parliament and of the Council on the Internal Security Fund
Other important outputs			
Output	Indicator	Target	Latest known results (2018)
Proposal for a Council Decision authorising the Member States to become party, in the interests of the European Union, to the Council of Europe Convention on an Integrated Safety, Security, and Service Approach at Football Matches and Other Sports Events (CETS No. 218) PLAN/2017/1938	Adoption of the proposal by the Commission	Q1 2018	Target was reached Proposal adopted on 27.4.2018 COM(2018)247 Proposal for a Council Decision authorising the Member States to become party, in the interests of the European Union, to the Council of Europe Convention on an Integrated Safety, Security, and Service Approach at Football Matches and Other Sports Events (CETS No. 218)
Support to the implementation of the action plan on protecting public spaces	Number of projects supporting the protection of public spaces Number of tools (e.g. guidance materials) to support the protection of public spaces	3 3	Targets were reached: 8 projects 3 tools
Communication - Updating the global approach to transfers of Passenger Name Record (PNR) data to third countries (2016/HOME/059)	Adoption of the Communication	Q3 2018 TBC	The Communication was cancelled.
Agreement between the EU and Canada on the processing and transfer of Passenger Name Record (PNR) data by air carriers	Adoption of the proposal for the signature of the Agreement Adoption of the	Q3 2018 Q4 2018	The Commission received the authorisation to start negotiations on 7 December 2017, but Canada adopted its mandate only on 22 May 2018. Negotiations started on 20 June 2018. Therefore these initiatives are likely to be pushed back to Q3 2019 respectively Q4 2019.

	proposal for the conclusion of the Agreement		
Agreement between the EU and Mexico on the processing and transfer of Passenger Name Record (PNR) data by air carriers – (2015/HOME/235 2015/HOME/236)	Adoption of the proposal for the signature of the Agreement (2015/HOME/236) Adoption of the proposal for the conclusion of the Agreement (2015/HOME/235)	Q3 2018	These negotiations have been on hold since July 2016 because the Mexican authorities did not respond to Commission's proposals for further rounds of negotiations. In the meantime, after the delivery of the Court Opinion on 26.7.2017, the Commission's priority has been and continues to be to find appropriate solutions for the agreement with Canada and, only once that is done, to finalise the negotiations with Mexico.
Additional policy-related outputs (not included in the 2018 Management Plan)			
Output	Indicator	Target	Latest known results (2018)
Impact Assessment and possible legislative proposal on terrorist content online	Adoption of the proposal by the Commission	Q3 2018	Target was reached Proposal was adopted on 12.9.2018 COM(2018) 640 Proposal for a Regulation of the European Parliament and of the Council on preventing the dissemination of terrorist content online A contribution from the European Commission to the Leaders' meeting in Salzburg on 19-20 September 2018

Specific objective 2.2: Disrupt organised crime			Related to spending programme(s) Internal Security Fund - Police	
Result indicator 2.2a: Operational cooperation as evidenced by the number of Joint Investigation Teams				
Source of the data: Europol / Eurojust				
Baseline (2014)	Interim Milestone (2018)	Target (2020) Target set at a realistic level, reflecting however significant progress in achieving the general objective	Latest (2018)	known results
44 supported by Europol* 122 supported by Eurojust* *some JITS are supported by both Europol and Eurojust (leading to duplication in the number of JITS reported).	Increase	Increase	Europol supported 96 JITs in 2018 ⁴⁰	
Result indicator 2.2b: Use of EU information exchange mechanisms: measured through the number of hits in SIS and Prüm databases and the use of Europol's Siena and EIS				
Source of the data: Europol – EU-LISA				
Baseline (2014)	Interim Milestone (2018)	Target (2020) Target set at a realistic level, reflecting however significant progress in achieving the general objective	Latest (2018)	known results
Number of hits registered on foreign SIS alerts: 128 598 hits Prüm: 2 082 741 matches* in	SIS: increase	SIS: increase	Number of hits increased from 243 503 hits in 2017 to 267 239 hits in 2018 Prüm Data for 2017 ⁴¹ :	

⁴⁰ JITS supported by Eurojust fall outside DG HOME's remit.

⁴¹ The Prüm Decision foresees that information on implementation is submitted to the Council. The Secretariat General of the Council will collect the 2018 data from Member States and produce an overview in Q3 of 2019.

2014 *includes: DNA matches (38 268) + fingerprints total verified matches (5 855) + Vehicle Registration Data total responses to requests (2 038 618) SIENA: 605 245 messages exchanged EIS: 367 922 searches performed	Prüm: increase SIENA: increase EIS: increase	Prüm: increase SIENA: increase EIS: increase	Total matches: 3 466 995 DNA matches: 35 316 Fingerprint total verified matches: 9 499 VRD total responses of information found to requests: 3 422 180 SIENA messages exchanged in 2018: 1 110 962 EIS searches performed in 2018: 4 062 974
Result indicator 2.2c: Number of freezing and confiscation orders executed, and estimated value of property frozen and property recovered Source of data: Member States			
Baseline (N/A)	Interim Milestone (2018)	Target (2020) Target set at a realistic level, reflecting however significant progress in achieving the specific objective	Latest known results (2017)
No baseline – new provision under Article 11 of Directive 2014/42/EU	Increase (if data available)	Increase	Article 11 of Directive 2014/42/EU requires Member States to regularly collect and maintain statistics on an annual basis on the number of freezing and confiscation orders executed and the estimated value of property frozen in view of confiscation. In 2018 DG HOME launched an exercise to collect the required statistical information for 2017. The exercise is ongoing. So far, we received statistical data for 2017 from 19 Member States. As foreseen, the preliminary assessment indicates lack of comparability between the different sets of data. Further clarifications and refinement are needed before any conclusions can be drawn.

Result indicator 2.2d: Number of suspicious transactions reported within the FIU's platform Source of data: FIU.net				
Baseline (2014)	Interim Milestone (2018)	Target (2020) Target set at a realistic level, reflecting however significant progress in achieving the specific objective	Latest (2018)	known results
12 076	20 000	25 000	19 202	Increase from 15 878 in 2017.

Main outputs in 2018:			
All new initiatives and REFIT initiatives from the Commission Work Programme			
Output	Indicator	Target	Latest known results (2018)
Inputs to progress reports on Security Union relating to achievements in disrupting organised crime and the way forward	Number of inputs to the progress reports	9	Several contributions in each of the five Security Union Progress Reports adopted in 2018
Important items from work programmes/financing decisions/operational programmes⁴²			
Output	Indicator	Target	Latest known results (2018)
Horizon 2020 Secure Societies Work Programme: - launch of projects	Number of topics Signature of the Grant Agreements Total amount of EU contribution	4 By end March 2018 EUR 22 million	In the frame of the considered topic, one grant with a total EU contribution of EUR 9.5 million was signed in line with the Time-to-Grant target. Two were finalised with a certain delay. Projects managed by REA are not being reported here.
Outputs, indicators and targets relating to Internal Security Fund (ISF) – police have been specified under specific objective 2.1			

⁴² For a complete listing of expenditure-related outputs please refer to the Programme Statements published together with the [Draft Budget for 2018](#).

Other important outputs			
Output	Indicator	Target	Latest known results (2018)
Proposal for a Directive on law enforcement access to centralised bank account registries and electronic data retrieval systems PLAN/2017/760	Adoption of the proposal	April 2018	Target was reached as the proposal for a Directive, laying down rules on the use of financial and other information for the purposes of combating serious crimes was adopted on 17 April 2018 (COM(2018) 213 final). The proposal contains a measure providing for the direct access of law enforcement authorities and Asset Recovery Offices (AROs) to centralised bank account registries and data retrieval systems. Political agreement was reached on this proposal in February 2019.
Support to inter-institutional negotiation on proposal for Regulations on the establishment, operation and use of the Schengen Information System in the fields of police cooperation, and judicial cooperation in criminal matters, border checks and the return of illegally staying third-country nationals.	Number of meetings prepared, attended and followed up by DG HOME	At least 10	Target was reached. 13 meetings were held. Through facilitating inter-institutional meetings, DG HOME supported the adoption of the three Regulations to enhance the use of the Schengen Information System (SIS) (adopted on 28.11.2018 and published on 7.12.2018). Regulation (EU) No 2018/1860 (SIS return) Regulation (EU) No 2018/1861 (SIS border checks) Regulation (EU) No 2018/1862 (SIS police cooperation)
Communication - Updating the global approach to transfers of Passenger Name Record (PNR) data to third countries	Adoption of the Communication	Q3 2018 TBC	The Communication was cancelled.

(2016/HOME/059)			
Agreement between the EU and Canada on the processing and transfer of Passenger Name Record (PNR) data by air carriers	Adoption of the proposal for the signature of the Agreement Adoption of the proposal for the conclusion of the Agreement	Q3 2018 Q4 2018	The Communication was cancelled.
Agreement between the EU and Mexico on the processing and transfer of Passenger Name Record (PNR) data by air carriers (2015/HOME/235 2015/HOME/236)	Adoption of the proposal for the signature of the Agreement (2015/HOME/236) Adoption of the proposal for the conclusion of the Agreement (2015/HOME/235)	Q3 2018	The Communication was cancelled.
8 agreements between the EU and respectively Algeria, Egypt, Israel, Jordan, Lebanon, Morocco, Tunisia and Turkey on cooperation with the EU Agency for Law Enforcement Cooperation (Europol) PLAN/2017/	Adoption of the proposal for the signature of the agreements	TBC Q4	In September 2018, DG HOME set up an inter-service group and produced a first draft model agreement. DG HOME invited six of the countries (Algeria, Egypt, Jordan, Lebanon, Morocco and Tunisia) to an introductory meeting on 3.12.2018 to discuss with them the benefits of having such an international agreement in place and define the next steps to kick off the negotiations. Negotiation with Israel has been postponed at their request, while the first round of negotiations with Turkey took place on 30/11/2018
Schengen evaluations on police cooperation - Visits to Member States More information on multi-purpose Schengen evaluations, is provided under Objective 1.2	Number of visits to Member States	5	Target was reached. 5 evaluations carried out in Switzerland, Estonia, Finland, Lithuania and Latvia
Proposal for a Council Decision on the position to be adopted, on behalf of the European Union, in the 61 st session of the Commission on Narcotic Drugs on the scheduling of substances in March 2018	Adoption of the proposal and subsequent adoption by the Council ahead of the 61 st session of the Commission on Narcotic Drugs	Q1 2018	Target was reached Proposal was adopted on 12.1.2018 COM(2018) 31 Commission proposal for a Council Decision on the position to be adopted on behalf of the European Union on scheduling of

(PLAN/2017/1943)			substances under the International Drug Control Conventions of 1961 and 1971 ahead of the 61st Session of the Commission on Narcotic Drugs (CND)
Study to support the impact assessment on the review of Regulation 258/2012 on import, export and transit authorisations of firearms	Publication of the final report	By December 2018	Study replaced by a "Study on the improvement of the EU system of export authorisation and import and transit measures for firearms" and target date postponed to mid-2019 (the study was launched on 20 August 2018)
Workshops within the framework of the anti-corruption experience-sharing programme	Number of workshops	4	2 workshops were held in 2018 – one for prosecutors and one for national anti-corruption contact points. At least two workshops are planned for 2019.
Report on the implementation of the Council Framework Decision 2003/568/JHA of 22 July 2003 on combating corruption in the private sector	Adoption by the Commission	Q2 2018	The inter-service consultation on the draft report is likely to be launched in Q1 2019.
Report on the progress made in the fight against trafficking in human beings (THB)	Adoption by the Commission	Q3 2018	Target reached with slight delay. The second progress report was adopted on 3.12.2018.
Study on the economic, social and human costs of trafficking in human beings	Adoption of study	Q4 2018	The tender procedure for selecting the contractor was launched in 2018, however the study will be completed in 2019.
EU-wide awareness raising activities on THB	Number of involved countries Number of major themes addressed	28 At least 3	Target date postponed to 2019 to allow for better involvement of all stakeholders as appropriate
Support to stakeholders to fully implement Directive 2011/36/EU	Number of annual meetings of the EU Civil Society Platform against trafficking in human beings consisting of 100 NGOs Number of annual meeting with the EU Network of National Rapporteurs and Equivalent Mechanisms Event marking the EU Anti-Trafficking day	2 meetings in Q2 and Q4 2 meetings in Q2 and Q4 Q3 2018	All targets reached.

Specific objective 2.3: An effective response to cybercrime			Related to spending programme(s) Internal Security Fund - Police
Result indicator 2.3a: Level of concern about using the internet for things like online banking or buying things online			
Source of data: Eurobarometer			
Baseline (2014)	Interim Milestone (2017/2018)	Target (2020) Target set at a realistic level, reflecting however significant progress in achieving the specific objective	Latest known results (2018)
43% concerned about misuse of personal data; 42% concerned about security of online payments; (Special EB 423)	Decrease	Decrease	43% concerned about misuse of personal data (-2 pp compared to 2017); 43% (+1 pp) concerned about the security of online payments. (Special EB 480) Regarding the concerns about online payments, the Commission will soon be able to communicate to the citizens an important result of its work: in September 2017, the Commission adopted a proposal for a Directive on combatting fraud and counterfeiting of non-cash means of payment. The Directive is expected to be adopted by the co-legislators in April 2019.
Result indicator 2.3b: Number of operations conducted with the involvement of EC3			
Source of data: Europol (EC3)			

Baseline (2013)	Interim Milestone (2017)	Target (2020) Target set at a realistic level, reflecting however significant progress in achieving the specific objective	Latest known results (2018) ⁴³
57 high-profile operations 169 non-high-profile operations	Increase (bearing in mind natural limit imposed by resources of EC3)	Increase (bearing in mind natural limit imposed by resources of EC3)	257 high-profile operations. No data available on non-high-profile operations.

Main outputs in 2018:			
All new initiatives and REFIT initiatives from the Commission Work Programme			
Output	Indicator	Target	Latest known results (2018)
Inputs to progress reports on Security Union relating to achievements in fighting cybercrime and the way forward	Number of inputs to the progress reports	9 in 2018	Several contributions in each of the five Security Union Progress Reports adopted in 2018
Cross-border access to electronic evidence – legislative proposal (incl. impact assessment) PLAN/2017/1416	Adoption of legislative proposal	Q1 2018	Target was reached Proposal adopted on 17.4.2018 COM(2018) 225 SWD(2018) 118 SWD(2018) 119 Proposal to improve cross-border access of law enforcement authorities to electronic evidence
Support to inter-institutional negotiation on legislation on cross-border access to electronic evidence	Number of meetings prepared, attended and followed up by DG HOME	At least 5	Target was reached: 19 meetings in the Council attended and followed-up, general approach on the Regulation adopted 7.12.2018
Important items from work programmes/financing decisions/operational programmes⁴⁴			

⁴³ The reported numbers do not reflect completed operations, they count large operations actively supported during the year, i.e. products and services delivered within their scope (reports, meetings, actions, etc.). Furthermore, these numbers **CANNOT be accumulated over the years** as performance metrics only capture active unique operations on an annual basis.

⁴⁴ For a complete listing of expenditure-related outputs please refer to the Programme Statements published together with the [Draft Budget for 2018](#).

Output	Indicator	Target	Latest known results (2018)
Horizon 2020 Secure Societies Work Programme: - launch of projects	Number of topics Signature of the Grant Agreements Total amount of EU contribution	2 By end March 2018 EUR 10 million	The call was published in 2018. It is closed end of August 2018. It was evaluated between September and October 2018 with a final report end of November/early December by REA. Grant Agreement are prepared from mid-January 2019 and signed around May 2019.
Outputs, indicators and targets relating to Internal Security Fund (ISF) – police have been specified under specific objective 2.1			
Other important outputs			
Output	Indicator	Target	Latest known results (2018)
Monitoring implementation of the updated Cybersecurity Strategy ⁴⁵	Number of updated progress tables Number of meetings of Task Force Security Union sub-group on cybersecurity	4 in 2018 4 in 2018	Target reached Several contributions in each of the five Security Union Progress Reports adopted in 2018
Fostering implementation of Directive 2011/93/EU on combating child sexual abuse and sexual exploitation and child pornography	Number of infringement proceedings launched Number of expert meetings	EU Pilot and/or infringement proceedings launched against 27 Member States 2 expert meetings	Two EU pilot letters launched 4 experts meetings organised
Fostering implementation of Directive 2013/40/EU on attacks against information systems	Number of infringement proceedings launched	EU Pilot and/or infringement proceedings launched against 12 or	Infringements to be launched in 2019

⁴⁵ JOIN/2017/450: Joint Communication to the European Parliament and the Council — Resilience, Deterrence and Defence: Building strong cybersecurity for the EU.

	Number of expert meetings	more Member States 2 expert meetings	
Planning and conducting the PACE18 (parallel and coordinated exercise) with NATO as the leading DG from the Commission side	Number of meetings organised within DG HOME, as well as with relevant DGs and other institutional stakeholders such the EEAS, the Council General Secretariat and NATO	At least 30	Target was reached More than 60 meetings In the EU HEX-ML 18 (PACE) Exercise, DG HOME was in the lead from the Commission side. 15 DGs, 8 Agencies and 25 Member States participated in the different phases of the PACE. It resulted in more than 60 meetings, including 4 workshops addressed to plan and to instruct the participants and to coordinate with NATO staff. During the conduct phase from 19 to 23 November more than 620 events and injects were distributed, which allowed to test the major crisis response tools at EU level in different sectors, with energy, health, maritime, polycrime against threats using terrorism, cyber-attacks and disinformation as main vectors. The objectives of the exercise as such were almost fully achieved.
Special Eurobarometer on Cybersecurity	Publication of Report	Q3 2018	Field work conducted in Q4 2018, report is being finalised, to be published early 2019
Support to the inter-institutional negotiation of Directive COM(2017)489 on combating fraud and counterfeiting of non-cash means of payment and replacing Council Framework Decision 2001/413/JHA	Number of meetings prepared, attended and followed up by DG HOME	At least 5	Target was reached, agreement in final trilogue on 11.12.2018

General objective 3: A Union of Democratic Change				
Specific objective 1: Enhance citizens' understanding of the Union, its history and diversity, foster European citizenship and improve conditions for civic and democratic participation at Union level			Related to Europe for Citizens spending programme	
Result indicator 3.1: Number of participants who are directly involved				
Source of the data: project holders' final reports				
Baseline (2014)	Interim Milestone (2018)	Target (2020)	Latest (2018)	known results
1 100 000	1 200 000	1 300 000 (based on annual work programmes to be adopted by the programme committee of EFCP)	1 200 000	The target set in the programme statement was thus fully reached

Main outputs in 2018:			
Important items from work programmes/financing decisions/operational programmes ⁴⁶			
Output	Indicator	Target	Latest known results (2018)
Contribution to a proposal for following up on the Europe for Citizens programme under post 2020 MFF	Adoption of the proposal by the Commission	Q2 2018	Target was reached. Adopted on 30.5.2018 COM(2018)383 Proposal for a Regulation of the European Parliament and the Council establishing the Rights and Values programme
Supervision of the implementation of the Europe for Citizens programme by the Education, Audiovisual and Culture Executive Agency (EACEA)	Number of Remembrance projects	44	37
	Number of Town-Twinning projects	295	255
	Number of Networks of towns projects	38	35

⁴⁶ For a complete listing of expenditure-related outputs please refer to the Programme Statements published together with the [Draft Budget for 2018](#).

	Number of Civil society projects	31	31
	Number of support structures in the Member States	33	29
	Number of multi-annual operating grants awarded under of the Europe for Citizens programme	37	30
Other important outputs			
Output	Indicator	Target	Latest known results (2018)
Civil dialogue with stakeholders	Number of meetings	1	2
Networking meetings with European remembrance organisations	Number of meetings	1	1 Kick-off meeting on operating grants, including European remembrance organisations on 5 October 2018.
Holocaust remembrance event	Number of meetings	1	1
Mid-term evaluation of the "Europe for Citizens" programme 2014-2020 2017/HOME/175	Staff Working Document published and report adopted	Q1 2018	Target was reached Report adopted on 06.4.2018 COM(2018) 170 Report from the Commission to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Regions on the interim evaluation of the Europe for Citizens programme 2014-2020