Consolidated Annual Activity Report (CAAR) 2020

June 2021

European Asylum Support Office

EASO Consolidated Annual Activity Report (CAAR) 2020

Adopted by the Management Board, June 2021.

SUPPORT IS OUR MISSION

This report has been drafted in pursuance of FR 2018/1046, FFR No 2019/715[1].
The opinion on this report was adopted by the Management Board on 21st June 2021.

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[1]   Commission Delegated Regulation (EU) 2019/715 on the framework financial regulation for the bodies set up under the TFEU and Euratom Treaty and referred to in Article 70 of Regulation (EU, Euratom) 2018/1046 of the European Parliament and of the Council (OJ L 122, 10.5.2019, p. 1)

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List of abbreviations

AD	Administrator
AIP	Asylum Intervention Pool
AO	Authorising Officer
AST	Assistant
BC	Business Continuity
BCP	Business Continuity Plan
CA	Commitment Appropriations *(used in a financial context)*
CA	Contract Agent *(used in a human resource context)*
CAAR	Consolidated Annual Activity Report
CEAS	Common European Asylum System
CF	Consultative Forum
CAN	Comprehensive Needs Assessment
COI	Country of Origin Information
CSO	Civil Society Organisation
DG HOME	Directorate-General for Migration and Home Affairs
DG NEAR	Directorate-General for Neighbourhood and Enlargement Negotiations
DGMM	Directorate General of Migration Management, Turkey
EAIPS	EASO Asylum Intervention Pool System
EASO	European Asylum Support Office
ECA	European Court of Auditors
ED	Executive Director
EDD	Executive Director's Decision
EEAS	European External Action Service
EMN	European Migration Network
EP	European Parliament
EPS	Early Warning and Preparedness System
ERDMS	Electronic Records and Document Management System
EU	European Union
EU+	EU Member States and associate countries
EU-FRANK	Facilitating Resettlement and Refugee Admission through New Knowledge project
eu-LISA	European Agency for the Operational Management of Large-Scale IT Systems in the Area of Freedom, Security and Justice
EUAA	European Union Agency for Asylum
Eurostat	Statistical Office of the European Union
EURTF	European Regional Task Force
EXO	Executive Office
FG	Function Group
FRA	European Union Agency for Fundamental Rights
Frontex	European Border and Coast Guard Agency
FTE	Full-time Equivalent
GDISC	General Directors' Immigration Service Conference
HR	Human Resources
IAS	Internal Audit Service

IC	Internal Control
ICC	Internal Control Coordinator
ICF	Internal Control Framework
ICS	Internal Control System/Standard
ICSA	Internal Control Self-Assessment
ICRMS	Internal Control and Risk Management Sector
IDS	Information and Documentation System
IGC	Intergovernmental Consultations on Migration, Asylum and Refugees
IOM	International Organization for Migration
IPA	Instrument for Pre-accession Assistance
ISAA	Integrated Situational Awareness and Analysis
JHA	Justice and Home Affairs
KPI	Key Performance Indicator
LAL	List of Available Languages
LIBE	Committee on Civil Liberties, Justice and Home Affairs, European Parliament
MB	Management Board
MedCOI	Medical Country of Origin Information
MENA	Middle East and North Africa
MEP	Member of the European Parliament
MS	Member State
NCP	National Contact Point
OLAF	European Anti-Fraud Office
OP	Operating Plan
PA	Payment Appropriations
RAO	Responsible Authorising Officer
RDPP	Regional Development and Protection Programme
RMC	Risk Management Correspondent
RSF	Resettlement Support Facility
SCIFA	Strategic Committee on Immigration, Frontiers and Asylum
SES	Staff Engagement Survey
SLA	Service Level Agreement
SNE	Seconded National Expert
SPD	Single Programming Document
StratNet	Strategic COI Network
TA	Temporary Agent
UNHCR	United Nations High Commissioner for Refugees
VEN	Vulnerability Expert Network
WP	Work Programme

EASO Management Board's analysis and assessment

THE MANAGEMENT BOARD,

HAVING REGARD to Regulation (EC) No 439/2010 of the European Parliament (EP) and of the Council of 19 May 2010 establishing a European Asylum Support Office (hereinafter referred to as 'EASO' or 'Agency', and the 'EASO founding Regulation',

HAVING REGARD to the Management Board decision No. 54 of 14 August 2019 on the EASO Financial Regulation and in particular Article 48 thereof,

HAVING REGARD to the Management Board decision no 42 of 21 December 2018 on the Internal Control Framework (hereinafter also referred to as 'ICF'), and in particular Articles 2.1, 3.6 and 5.1 thereof, the Decision of the Executive Director of the 17 April 2019 on the Internal Control Framework Monitoring Criteria and Internal Control Self-Assessment Methodology for 2018 and 2019 (EASO/ED/2019/094) and the Decision of the Executive Director of the 3 February 2020 on the Establishment of Internal Controls and Ex-post Controls Function in EASO (EASO/EDD/2020/001),

HAVING REGARD to EASO's Work Programme (WP) 2020 adopted by the Management Board on 24 September 2019 and amended on 28 January 2020 and 14 August 2020,

HAVING REGARD to EASO's Consolidated Annual Activity Report (CAAR) 2020 presented to the Management Board on 21st June 2021,

HAVING REGARD to the Communication from the Commission C(2020) 2297 final of 20 April 2020 on the strengthening of the governance of Union Bodies under Article 70 of the Financial Regulation 2018/1046 and on the guidelines for the Single Programming Document and the Consolidated Annual Activity Report,

HAS analysed and assessed the Executive Director's Consolidated Annual Activity Report on the achievements and results of 2020, the Management Board acknowledges the Agency's performance and, in particular:

1. General observations

- Welcomes the achievements of the objectives and targets set in the Work Programme 2020 reported in Part I and the results achieved, in particularly in the context of a challenging year due to the COVID-19 global pandemic.

- Welcomes the effective and efficient business continuity measures adopted by the ED and the COVID Response Team (CRT) as a reaction to the COVID 19 pandemic crisis;

- Notes that the Budget Authority granted EASO the discharge in respect of the implementation of the budget of the Agency for the financial year 2019.

- Welcomes the reorganisation of the Agency proposed by the Executive Director (ED) and endorsed by the Management Board (in force from 1 January 2020 with amendments on 4 September 2020), which has substantially reinforced the internal control and governance structure of EASO.

- Welcomes that EASO provides quarterly reports to the Management Board (MB) on:

  o EASO Governance Monitoring Indicators tracking the progress made towards predefined objectives across key areas of governance: implementation of the EASO Work Programme, human resources, staff engagement, internal control, procurement, budget and finance.

  o the state of play of Internal Control and Risk Management processes and, in particular: the state of play of the Internal Control Action Plan, control bodies' recommendations and observations, the Central Risk Register and the EASO Anti-Fraud Risk Register.

- Welcomes that all pending important and very important recommendations issued by the IAS before 2020 have been successfully implemented.

- Notes that EASO continued the implementation of the Internal Control Action Plan and that, as a result of the number of corrective actions implemented, the overall internal control system is effective and efficient.

- Notes that the European Court of Auditors (ECA) has not yet issued, at the time of the drafting of this report, the final report for the financial year 2020, and that only the preliminary observations are available.

- Notes the internal actions being taken by the EASO Management in preparation for the transition to a fully-fledged European Union Agency for Asylum (EUAA), as well as the regular reports provided by the Agency to the MB.

2. Specific observations on EASO's policy achievements in 2020

- Congratulates the Agency for achieving 77% of 321 pre-established annual targets set for 2020 in the EASO Work Programme despite the COVID-19 impact and demonstrated solid progress in 2020 towards the achievement of multiannual objectives, especially concerning (i) Operational Support (100% on track), (ii) Asylum Support (100% on track), and (iii) Information, Analysis and Knowledge Development (93% on track).

- Notes that, despite challenges posed by COVID-19 in 2020, EASO significantly upscaled its operational presence and increased support to ensure successful implementation of Operating Plans signed with Italy, Greece, Cyprus, Malta. A new Operating Plan was also agreed with Spain at the end of 2020.

- Notes that despite insufficient numbers of experts allocated by Member States, EASO successfully addressed deployment needs in all Member States where tailored operational support was provided through contracted temporary agency workers. This was in line with effective implementation of planned support measures and efficient utilisation of resources as stipulated in the Work Programme and Operating Plans.

- Notes the significant increase of operational efficiency and productivity in implementing the signed Operating Plans, despite challenges posed by COVID-19 and the restrictive nature of the deployment mechanisms.

- Notes that EASO has established timely operational responses in a coordinated manner and operated within the framework established by the European Commission.

- Notes the high level of participant satisfaction regarding the External Dimension Networks, of EU+ countries involved in activities related to Resettlement and complementary pathways to international protection, and of partner third countries with capacity building activities.

- Notes the high level of participant satisfaction with AIP NCP meetings, the progress in the implementation of a business case on the identification of complementary deployment systems, as well as the enhanced needs assessment, operational design, monitoring and evaluation of operational interventions.

- Notes the increasing volume of processing of COI queries and MedCOI requests, developing COI products, and the high level of participant satisfaction with the COI Networks, including Country Guidance.

- Notes the increasing volume of delivering EASO Data Hub products, full operational analyses, analytical reports and outputs, and exploiting big data sources.

- Notes the growth of the EASO Case Law Database through the contribution from external stakeholders and the increasing number of civil society organisations providing input to the EASO Asylum Report, resulting in the increasing volume of consultations of this report.

- Notes the high increase of participation of EU+ countries officials in national training sessions in 2020, the high level of participant satisfaction with the European Asylum Curriculum in various domains, including operational training and on-the-job coaching, especially through effective management of the LMS platform.

- Notes the development and validation of a European Sectoral Qualification Framework for asylum officials and the successful piloting of the EASO Training Needs Assessment Tool and developments in enhancement of Quality Assurance

- Notes the high level of participant satisfaction with the Asylum Processes Network, the Exclusion Network, the Vulnerability Experts Network, the Network of Dublin Units and the Network of Reception Authorities meetings, and with professional development sessions for courts and tribunals.

- Notes the increasing number and satisfaction of CSOs participating in the Consultative Forum work, and the positive results achieved in the range of activities addressed to the general public, international organisations and other stakeholders.

- Notes the overall progress achieved in all governance domains. The successful implementation of horizontal activities such as corporate planning, monitoring and reporting; internal control and risk management; legal and data protection; quality assurance and evaluation and work on the security governance framework has strengthened EASO's governance and ensured EASO's readiness to address future challenges. The provided high-class ICT support and IT tools available, the adaptive Human Resources and Finance services ensured business continuity and enabled the agency to tackle the COVID-19 crisis and to implement the 'new normal' way of working. The MB congratulates the Executive Director for the high degree of utilisation of planned activities and resources, along with timely implementation of audit and governance related action plans.

3. Specific observations on EASO management, external evaluations and internal controls

- Notes that the Executive Director (ED) expresses an opinion on whether the resources assigned to the activities described in this report have been used for their intended purpose and in accordance with the principles of sound financial management for 2020, and that the control procedures in place give the necessary guarantees concerning the legality and regularity of the underlying transactions.

- Welcomes the full implementation of the Electronic Records and Document Management System (ERDMS) in compliance with applicable document management rules.

- Notes the new EASO Communication Strategy covering internal and external communication.

- Notes that ex-post controls are being reinforced within the Internal Control and Risk Management Sector (ICRMS) in the Executive Office (EXO) and the benefit such controls will have in providing additional assurance to the Management on compliance with applicable rules and procedures as well as on the identification of any weakness requiring rectification.

- Notes that the ED justified, approved and logged centrally instances of overriding controls or deviations from the established processes and procedures for a total amount of 890,167.16 EUR (0.83% of EASO PA executed), constituting a considerable reduction in comparison with 2019 (-54%).

- Notes that corrective measures taken during the year led to a significant decrease in the rate of late payments in 2020.

- Notes that, during 2020, the Agency has made considerable efforts to improve the Internal Control Systems (ICS).

- Welcomes the effective cooperation between EASO and the control bodies, in particular IAS and ECA. During 2020 and Q1 2021, EASO implemented all pending and delayed Very Important recommendations from IAS audits from previous years. The number of pending observations from previous ECA audits was halved between 2020 and 2019.

Conclusions

- Welcomes the concrete measures introduced by ED to improve the internal atmosphere within the Agency, including the relationship with staff and the Staff Committee, and for strengthening the relationship with the EU institutions and key stakeholders despite COVID-19 and challenges in remote work without presence in the office.

- Congratulates the ED for the successful implementation of the new, stream-lined and effective, organisational structure.

- Welcomes efforts to increase the effectiveness of recruitment of Agency staff despite Covid-19, including through the introduction of e-recruitment in line with the Recruitment Plan elaborated by the ED, as well as improved HR policies, procedures and processes.

- Welcomes that the results and coverage analysis of ex-post controls, and in particular the analysis of internal control monitoring criteria are extensively documented and explained in detail in Part III and Annex XI.

- Welcomes all the relevant controls and corrective actions that have been implemented and are described in Part IV as a result of the Internal Control action plan.

- Welcomes that under the new Management, EASO has considerably improved its working arrangements and communication channels to increase transparency and facilitate the EASO MB role in overseeing the Agency's governance, risk management and internal control practices.

- Welcomes that out of the 88 corrective actions agreed by the Management during the 2020 internal control self-assessment and documented in Annex IX, 9% are already implemented and vast majority (72%) are in progress.

- Welcomes the development of a new risk management process in EASO, and the close follow up of the EASO Anti-Fraud Strategy 2020-2022 and the Register of Sensitive Functions.

- Welcomes that both the Central Risk Register and the Fraud Risk Register are monitored quarterly with feedback provided to the Management through quarterly Risk Management reports.

Makes the following recommendations:

- The MB believes that the following corrective actions regarding internal control are needed:

  o To continue making improvements in the recruitment of Agency staff, in line with the Recruitment Plan elaborated by the ED.

  o To continue the implementation of the Agency's ICF (adopted in December 2018) in compliance with the regulatory framework.

  o To continue the improvement of the efficiency and effectiveness of EASO's ICS to reduce the number of exceptions and non-compliances to below 0.5 % of EASO Payment Appropriations executed by the end of 2021.

- o To further enhance the tools, monitoring and supervision of late payments until any systemic delays are eliminated.

- o To reinforce ex-post financial controls of procurement and expenditure operations on EASO financial circuits.

- o To put in place a policy for the management and prevention of conflict of interest with the aim of further enhancing the ethical organisational culture across the Agency.

The MB wishes to express its gratitude to ED and all EASO staff, and congratulate them for their expertise and commitment, which characterised the Agency's achievements throughout the year.

In the light of the above, the MB adopts this opinion and requests that the EASO Consolidated Annual Activity Report (CAAR) 2020 be forwarded, together with the analysis and assessment, to the EP, the Council, the EC and the ECA.

Executive Summary

Migration and asylum continued to be a key policy priority in the European Union during 2020. However, the year was characterised by challenges posed by the COVID-19 pandemic and emergency measures taken as a result thereof. While asylum applications in the EU+ dropped, Member States and EASO developed and implemented alternative solutions to maintain business continuity in the face of the restrictions imposed due to the pandemic.

Applications for asylum in the EU+ in 2020 decreased by 31% compared to 2019. A total of 461,300 applications were lodged, down to the lowest levels since 2013. This was largely the result of the COVID-19 pandemic and related emergency travel restrictions. At the same time, despite the pandemic, national asylum authorities mostly maintained the same level of first instance decisions as in 2019. About 521,000 decisions were issued at first instance in 2020, exceeding the number of applications for the first time since 2017. The resilience shown in sustaining many activities resulted in a decrease of around 17% in the backlog of asylum cases pending at first instance, with about 412,600 cases still pending at the end of 2020.

Evidently, the restrictions imposed due to the pandemic, particularly restrictions on face-to-face processes, obliged national asylum and reception authorities as well as EASO to turn to alternative, innovative solutions. EASO ensured uninterrupted support in the context of its operations in Greece, Cyprus, Italy and Malta, by implementing remote solutions and also assisting the authorities to implement such solutions.

EASO also supported Member States to address the COVID-19 challenges with videoconference meetings of its thematic networks, enabling an exchange of experience and good practice. Topics included how to deal with the impact of the pandemic, specific aspects of the asylum process and resettlement. Recommendations were also issued on remote solutions for registration and asylum interviews. Likewise, EASO's training was shifted entirely online and adapted accordingly, while dedicated webinars were held to address the new training needs related to the pandemic. Topics here included remote personal interviews, supporting staff wellbeing during COVID-19 and communication and provision of information to asylum seekers.

Support was also provided to Member States and EU Institutions through the provisions of analyses on asylum trends and the impact of travel bans and other emergency measures thereon, on how the asylum and reception authorities of EU+ adapted their working methods and on COVID-19 risk factors in the main countries of origin of asylum-seekers.

Following the announcement in September 2019 by the EC President Ursula von der Leyen, that a New Pact on Migration and Asylum would be presented to relaunch the reform of the Common European Asylum System (CEAS), it became apparent that negotiations on the Proposal transforming EASO into the EUAA would not resume until the new Pact was presented.

Eventually, on 23 September 2020, the EC presented the new Pact on Migration and Asylum. In this context, some of the 2016 proposals amending CEAS instruments currently in force were maintained, including the Proposal transforming EASO into the EUAA. On the other hand, five new legislative proposals were tabled, namely a Proposal for a Regulation on asylum and migration management, a Proposal for a Regulation introducing the screening of third country nationals at the external borders, a Proposal amending the 2016 Asylum Procedures proposal, an amended Eurodac Proposal and a Proposal for a Regulation addressing situations of crisis and force majeure. The EC called for, inter alia, the adoption of the EUAA Proposal by the end of 2020.

The co-legislators took up this work with a view to the possible finalisation of the draft EUAA regulation text, on the basis of the text which was provisionally politically agreed in 2017. However, as at the first quarter of 2021, the draft EUAA Regulation has not yet been adopted.

Therefore, uncertainty around the timeframe for an updated mandate for the Agency remains, rendering the preparatory measures challenging. In addition, EASO also continues to face difficulties in fulfilling certain tasks as a result of its outdated mandate, particularly in terms of the legal framework and mechanisms for deployment of asylum support teams that provide the operational support requested by the Member States of first arrival. During 2020, EASO analysed, in close cooperation with the EC, complementary alternative deployment mechanisms to enhance the efficient functioning of the Asylum Intervention Pool (AIP), to improve its capability for rapid response, flexibly scaling-up and down operations, and to ensure its operations continued unaffected. However, due to the limited viable alternatives, short-term immediate measures identified were only temporary and the adoption of the draft EUAA Regulation is urgently required to provide a long-term, sustainable solution for the Agency to effectively deliver the necessary operational support.

The COVID-19 pandemic had a significant impact on every aspect of life throughout the world. With the aim of mitigating the spread of the virus and keeping people safe – both those seeking refuge in Europe and the experts who work directly with asylum seekers – emergency measures and longer-term changes to procedures were implemented across all EU+ countries. This year was the first time since the CEAS was established that Member States, national asylum and reception authorities, and organisations working in the field of international protection were faced with a double-barrelled challenge: respecting the basic human right of living in safety and managing a global health crisis which could expose both migrants and receiving countries to further risks.

While national administrations were tested to their limits, EASO's activities directly aimed at supporting Member States to ensure continuity of services and to provide emergency assistance. Throughout 2020, the Agency developed tools to enhance and align procedures, published analytical reports and trained asylum professionals. A dedicated information collection initiative provided up-to-date, comprehensive and reliable information on the impact of COVID-19 on the asylum procedure. The results demonstrated the resilience of the EU's national asylum and reception systems, which quickly adapted modalities and turned to digital solutions to provide refuge to those in need. These innovations may be the key to increase efficiency and address similar challenges in the future while maintaining a sustainable European system.

Key conclusions based on Part II and Part III of the SPD

Following the establishment of the Agency's ICF in 2018, EASO developed and implemented new policies and control activities during 2019 and 2020 to ensure that risk and control issues are signalled to and discussed with Management and the MB in a timely manner.

The Agency's main control activities are summarised in Part III of this report. They were analysed while assessing the functioning, efficiency and effectiveness of the seventeen internal controls principles falling within the five internal control components: a) Control Environment; b) Risk Management; c) Control Activities; d) Information and Communication; and e) Monitoring Activities. The control activities refer in particular to the reorganisation of the Agency and its new internal structure and Rules of Procedure, improvements made by EASO regarding its ability to identify, prioritise and manage risks, including the risk of fraud, the business continuity measures adopted as a reaction to COVID 19 circumstances, supervision tools for effective monitoring of late payments, full implementation of the Electronic Records and Document management system (ERDMS), the new EASO Communication Strategy and the continuous and specific internal control monitoring assessment tools.

To counter fraud and any illegal activities, the EASO MB adopted the Anti-Fraud Strategy for 2020-2022 that identifies fraud prevention risk management objectives, priority measures and fraud preventive as well as detective control activities. This enables an effective identification and assessment of incentives, pressures, opportunities and attitude which may lead to any type of fraud.

Overall, the considerable efforts of the ED and the Management to improve the internal control tone at the top culture is demonstrated by their commitment towards continuous progress and the Agency's expectations on integrity and ethical values set out by analogy to those standards of conduct of the EC.

As a result, the outcome of the internal control self-assessment for the financial year 2020 carried out by the Management shows that the EASO internal control system is effective and efficient, with the need of some improvements. When compared with the results of the internal control self-assessment for 2019, the overall status of the ICS has significantly improved, a trend that has been ongoing since 2018.

PART I: POLICY ACHIEVEMENTS OF THE YEAR

1. Operational Support

Multiannual programme and objectives

5 out of 5 multiannual targets were **on track** (100%)

Performance indicators	Targets	Actual by 31.12.2020	Status by 31.12.2020	Additional information / explanation
EASO Operations Manual developed, tested and applied across all operations.	Operations Manual fully implemented by the end of 2022.	Ongoing	On track	The Operations Manual is being gradually developed as planned. 3 out of 4 User Guides were finalised and validated by the end of 2020 (Needs Assessment, Monitoring, Evaluation). User Guide on Design and Planning is in advance draft stage and will be validated after a testing phase linked to the Operating Plans 2021, to be concluded in January 2021. All validated User Guides are being fully implemented.
Multi-annual programme (MAP) documents, Results Frameworks (RF) and Operating Plans or specific project plans with the respective Member States are agreed and in place.	100% of MAPs and RF in place for all countries where EASO has operations, updated on an annual basis, as necessary.	100%	On track	Multi-annual programme (MAP) documents, Results Frameworks (RF) and Operating Plans or specific project plans with the respective Member States are agreed and in place.
Ad hoc operations can be delivered in a rapid and structured manner.	Operational deployment mechanisms agreed and in place for *ad hoc* and rapid	Ongoing	On track	A full review and assessment of possible alternative deployment mechanisms has been carried out and presented to the MB in September 2020. The different short, medium and long-term options are expected to be agreed and fully implemented by the end of 2022.

	response operations by the end of 2022.			
Operational Support Centre continues to develop the internal capacity to respond rapidly to needs including through enhancement of the management of the Asylum Intervention Pool and management of other complimentary mechanisms.	Member State nominations in place. Complementary deployment mechanisms agreed and in place by the end of 2022, to ensure rapid response capabilities, capacity to scale up and down.	Ongoing	On track	Member State experts continue to be essential for operations and EASO pursues to secure the maximum nominations possible. A full review and assessment of possible alternative deployment mechanisms has been carried out and presented to the MB in September 2020. The different short, medium- and long-term options are expected to be agreed and fully implemented by the end of 2022.
Evaluations of Operating Plans or specific project plans are completed.	100% of planned evaluations are completed on time.	100%	On track	All planned evaluations were commissioned and completed on time.

1.1 Italy

7 out of 9 targets were **exceeded** (78%)
1 out of 9 targets was **achieved** (11%)
1 out of 9 targets was **not applicable** (11%)

Core business indicators	Forecast 2020	Actual by 31.12.2020	Status as of 31.12.2020	Additional information / explanation
1. Multi-Annual Programme Document completed.	100%	N/A	N/A	Activity and deliverables re-planned for 2021 for the update of the Multiannual Roadmap exercise. Needs Assessment and Results Framework established for the design of 2021 Operating Plan.
2. Percentage utilisation and consumption of resources versus the Operating Plan.	80%	103%	Exceeded (+29%)	SPD budget: € 15,754,766 CA consumed by 31.12.2020: € 16,325,684.01, out of which: • € 15,881,352.95 (C1)

Indicator	Target for 2020	Actual by 31.12.2020	Status as of 31.12.2020	Additional information / explanation
				• € 444,331.06 (R0) Italy operations committed 3% above the SPD budget through re-allocation from available funds to secure required operational continuity of resources into 2021. This resulted in slightly higher commitment consumption than forecasted.
3. Quarterly inter-agency Operating Plan coordination meetings conducted with concerned national asylum and reception authorities.	4	48	Exceeded (+1,100%)	48 meetings were held with various stakeholders (IOM, UNHCR, thematic roundtables with national and regional OP Stakeholders, coordination meetings with national stakeholders).
Objective 1 (1)				Contribute to enhanced coordination, technical and structural capacity of the Italian authorities to implement the CEAS with particular focus on support for the development of national asylum and support systems for registration, information provision, asylum quality monitoring and reception monitoring through the assessment, prioritisation, design, implementation, monitoring and evaluation of an Operating Plan for Italy.
Indicator	**Target for 2020**	**Actual by 31.12.2020**	**Status as of 31.12.2020**	**Additional information / explanation**
4. Percentage of support measures implemented as planned, including amendments, if applicable.	90%	93%	Exceeded (+3%)	Until the end of February 2020, the implementation was running smoothly. Due to the COVID-19 outbreak and following containment measures, the OP was revised (contingency re-planning). An amendment to the Operating Plan was negotiated and signed with the stakeholders and a re-planning exercise took place in September. New activities were also introduced through the amendment.
Objective 2 (2)				Taking into account the situation on the ground, and at the request of the Italian authorities, provide relevant support to alleviate the pressure on the national asylum and reception systems, to process applications for international protection at first instance and at the judiciary review phase.
Indicator	**Target for 2020**	**Actual by 31.12.2020**	**Status as of 31.12.2020**	**Additional information / explanation**
5. National self-assessment mechanism supported by EASO through development and implementation of monitoring tools to improve quality of	75%	96%	Exceeded (+28%)	The COVID-19 outbreak and following containment measures have impacted this measure and imposed a rethinking of measure IT1.1 intervention scheme and its adaptation to the changing circumstances.

Indicator	Target for 2020	Actual by 31.12.2020	Status as of 31.12.2020	Additional information / explanation
registrations of applications for international protection.				
6. Number of files prepared with the support of the Agency to Tribunals.	7,000 files	12,250 files	Exceeded (+75%)	The target of 7,000 files prepared with support from the Agency was achieved already in September. Online training course for 6 Research Officers to be deployed at the Court of Cassation and General Prosecutor Office started in September, their deployment commenced in October.
7. Capacity of the NAC and its COI unit increased through deployment of personnel and support to professional development.	75%	94%	Exceeded (+25%)	The COVID-19 outbreak and following containment measures affected the measure and imposed a rethinking of the Measure IT 1.2 intervention scheme and its adaptation to the changing circumstances.

Objective 3 (3)		Taking into account the situation on the ground, and at the request of the Italian authorities, provide relevant support to build the capacity of the national reception authorities and pilot and mainstream a national reception monitoring framework.

Indicator	Target for 2020	Actual by 31.12.2020	Status as of 31.12.2020	Additional information / explanation
8. National reception monitoring framework supported by the Agency to ensure assessment of the quality of the reception system.	75%	100%	Exceeded (+33%)	Due to the COVID-19 outbreak and related containment measures as well as the request from the stakeholders, the output results for sub-measure IT 2.2 were re-assessed and reduced through an OP amendment signed in September 2020.

Objective 4 (4)		Taking into account the situation on the ground, and at the request of the Italian authorities, provide relevant support for ad hoc disembarkations/voluntary relocation operations in support of the concerned Italian authorities and participating Member States.

Indicator	Target for 2020	Actual by 31.12.2020	Status as of 31.12.2020	Additional information / explanation
9. Percentage (and number) of ad hoc disembarkation/ voluntary relocation events supported by EASO.	100% of all agreed events	100%	Achieved (100%)	EASO's support was requested for 21 events in 2020. Support was confirmed to all requests, 15 events had the asylum registrations finalised. Voluntary relocation activities are ongoing for 6 events due to lack of relevant pledges by the Member States, which did not allow EASO to finalise the matching exercise and allocation of pledges. However, EASO supported 100% of all requests by the Italian Dublin Unit and the European Commission.

1.2 Greece

5 out of 14 targets were **exceeded** (36%)
2 out of 14 targets were **achieved** (14%)
3 out of 14 targets were **nearly achieved** (21%)
1 out of 14 targets was **not achieved** (7%)
3 out of 14 targets had **no data** (21%)

Core business indicators	Forecast 2020	Actual by 31.12.2020	Status as of 31.12.2020	Additional information / explanation
10. Multi-Annual Programme Document completed.	100%	100%	Achieved (100%)	The Multi-Annual Programme Document has been updated with the outcome of the Needs Assessment process for the preparation of the Operating Plan 2021. The Operating Plan for 2021 was signed in December 2020.
11. Percentage utilisation and consumption of resources versus the Operating Plan.	95%[2]	93%	Nearly achieved (98%)	SPD budget: € 45,697,900 CA consumed by 31.12.2020: € 42,715,282.60, out of which: • € 42,369,269.38 (C1) • € 346,013.22 (R0) The minor under-implementation of the SPD budget is partially due to the stable low number of arrivals and the increased productivity in Greece in 2020, which resulted in reduced backlog on the islands and consequently lower number of deployments than initially planned.
12. Quarterly inter-agency coordination meetings conducted with concerned national asylum and reception authorities.	4	19	Exceeded (+375%)	19 meetings were held with various stakeholders (Greek Asylum Service, Greek Reception and Identification Service, EURTF, Steering Committee, TF Steering Committee).
Objective 1 (5)	**Contribute to enhanced coordination and technical capacity of the Greek authorities to implement the CEAS, and to manage their asylum and reception systems with a particular focus on intensive support for the Border and Regular Procedure, national support for**			

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[2] Despite the COVID-19 crisis having a significant impact on the budget requirements for operations in 2020, EASO will be able to utilise the full budget allocated for operations in Greece, Cyprus and Malta, including utilising the potential savings from other activities (specifically Italy and the External Dimension work).

reception services and support for second instance appeals through the assessment, prioritisation, design, implementation, monitoring and evaluation of an Operating Plan for Greece.				
Indicator	**Target for 2020**	**Actual by 31.12.2020**	**Status as of 31.12.2020**	**Additional information / explanation**
13. Percentage of support measures implemented as planned, according to the logical framework of the Operating Plan, including amendments, if applicable.	90%	92%	Exceeded (+2%)	The 2020 Operating Plan was amended in May 2020, and a new Measure EL REL 3 to enhance capacity of the Greek Authorities to manage and implement relocation from Greece was agreed. Measure EL-AS 1 97% implemented, EL-REC 2 80% implemented, EL-REL 3 100% implemented.
14. Percentage of outputs, including tools to support asylum and reception systems, agreed with the Greek authorities delivered.	75%	94%	Exceeded (+25%)	• Measure EL-AS 1.0 97% implemented. • Measure EL-AS 1.1 91% implemented. • Measure EL-AS 1.2 100% implemented. • Measure EL-AS 1.3 100% implemented. • Measure EL-AS 1.4 100% implemented. • Measure EL-REC 2.0 80% implemented. • Measure EL-REC 2.1 89% implemented. • Measure EL-REC 2.2 74% implemented. • Measure EL-REL 3.0 100% implemented. • Measure EL-REL 3.1 100% implemented. • Measure EL-REL 3.2 100% implemented. • Measure EL-REL 3.3 100% implemented.
15. Operating Plan 2020 planned results achieved.	75%	89%	Exceeded (+19%)	20 output indicators have been achieved, 3 almost achieved and 1 not achieved of a total of 24 agreed outputs.
Objective 2 (6)	**Taking into account the specific needs in 2020 and at the request of the Greek authorities, provide direct operational support to the Greek authorities to process applications for international protection at first and second instance.**			
Indicator	**Target for 2020**	**Actual by 31.12.2020**	**Status as of 31.12.2020**	**Additional information / explanation**
16. Percentage of registrations of applications for international protection processed with the support of the Agency.	50%	41%	Nearly achieved (82%)	The number of registrations conducted with EASO support was 16,619 out of 41,056 registrations at national level. Between week 11 and 21 no registrations took place due do COVID-19 and the suspension of face-to-face activities. Registrations resumed at a

Indicator	Target for 2020	Actual by 31.12.2020	Status as of 31.12.2020	Additional information / explanation
				lower capacity with some interruption in Q3 due to localised lockdown periods in some Islands and Asylum Offices in Athens, and in Q4 due to a general lock down period as of November. Data collection for registrations was affected due to the fire in Moria Camp, and disruption of data from Lesvos for about 4 weeks.
17. Percentage (or number) of asylum cases (interviews and opinions) at first instance processed with the support of the Agency in the Regular Procedure.	50% or number of cases processed	No national data (2,752 EASO interviews)	No data	No data available on the total number of interviews conducted in Greece in the Regular Procedure. The number of interviews conducted with EASO support on the mainland (Regular Procedure) was 2,752. The number of opinions was 2,117.
18. Percentage (or number) of asylum cases (interviews and opinions) at first instance processed with the support of the Agency in the Border Procedure.	50% or number of cases processed	No national data (15,651 EASO interviews)	No data	No data available on the total number of interviews conducted in Greece in the Border Procedure. The number of interviews conducted with EASO support on the islands (Border Procedure) was 15,651. The number of opinions drafted was 14,250.
19. Productivity targets for asylum processing at first instance at year end.	4 cases/ caseworker p/wk in regular procedure	No data	No data	No data available. Productivity was affected significantly during different periods (both positively and negatively) throughout the year.

Objective 3 (7)	Taking into account the specific needs in 2020 and at the request of the Greek authorities, provide operational support to the Greek authorities to strengthen the national reception system.			
Indicator	**Target for 2020**	**Actual by 31.12.2020**	**Status as of 31.12.2020**	**Additional information / explanation**
20. Percentage of Agency reception support measures of the Operating Plan implemented as per the Technical Assistance Project.	85%	81%	Nearly achieved (95%)	• Measure EL-REC 2.0 80% implemented. • Measure EL-REC 2.1 89% implemented. • Measure EL-REC 2.2 74% implemented. The deployment of support teams resumed in June. Some operational training did not take place due to time constrains. The recruitment of Reception Monitoring Assistants was postponed, pending further discussion with the Authorities on the National Reception Monitoring Framework tool and strategy roll out.

Indicator	Target for 2020	Actual by 31.12.2020	Status as of 31.12.2020	Additional information / explanation
21. Degree of adoption and implementation of the reception support measures in the Hotspots.	80%	89%	Exceeded (+11%)	The result is based on the deployment of multidisciplinary (information provision, vulnerability & child protection) support teams. In Q3, following the fire and the destruction of the Moria Camp on the island of Lesvos, EASO re-deployed personnel to assist the Greek authorities with the establishment of an emergency reception facility in Kara Tepe.
22. Reception Quality Monitoring System Piloted and mainstreamed.	75%	27%	Not achieved (36%)	No further progress was achieved since Q3. The National Reception Monitoring Tool was piloted in 2019 in one of the reception sites and is currently under revision. The National Reception Monitoring Framework activities (monitoring visits) were planned for Q2. The decision to proceed with the roll-over of the National Reception Monitoring Tool is pending with the Reception Authorities. The recruitment of Reception Monitoring Assistants therefore did not take place as planned.
Objective 4 (8)	**Support the Greek Authorities to manage and implement relocation programmes from Greece under the coordination of the European Commission and within a common agreed procedure with the participating Member States.**			
Indicator	**Target for 2020**	**Actual by 31.12.2020**	**Status as of 31.12.2020**	**Additional information / explanation**
23. % and (number) of emergency and/or ad hoc operational events supported by EASO.	100% of the agreed events	100%	Achieved (100%)	3 Relocation schemes were initiated and implemented: • The Relocation of Unaccompanied Minors (UAMs); • The relocation of Vulnerable Children or children with medical conditions with their families; • Relocation of families beneficiaries of international protection.

1.3 Cyprus

2 out of 17 targets were **exceeded** (12%)
2 out of 17 targets were **achieved** (12%)
11 out of 17 targets were **not achieved** (65%)
1 out of 17 targets was **not applicable** (6%)
1 out of 17 targets had **no data** (6%)

Core business indicators	Forecast 2020	Actual by 31.12.2020	Status as of 31.12.2020	Additional information / explanation
24. Multi-Annual Programme Document completed.	100%	N/A	N/A	The Multi-annual Roadmap for Cyprus was not updated in 2020. Needs Assessment and Results Framework was established in view of the design of the 2021 Operating Plan.
25. Percentage utilisation and consumption of resources versus the Operating Plan.	95%[3]	75%	Not achieved (79%)	SPD budget: € 6,716,424 CA consumed by 31.12.2020: € 5,029,504.54, out of which: • € 5,025,452.73 (C1) • € 4,051.81 (R0) The budget underconsumption is linked to the OP status implementation and is a direct consequence of the restrictive nature of the Temporary Workers Directive as transposed in Cypriot law, resulting in significant reduction in temporary workers against the OP targets, as well as the impact of the COVID-19 restrictive measures.
26. Quarterly inter-agency Operating Plan coordination meetings conducted with concerned national asylum and reception authorities.	3	11	Exceeded (+267%)	11 coordination meetings were conducted. Series of meetings on the drafting of the 2021 Operating Plan also took place between November and December with relevant stakeholders.
Objective 1 (9)				Contribute to enhanced coordination and technical capacity of the Cypriot authorities to implement the CEAS, with particular focus on support for registration, the examination of applications for international protection and support for reception through the assessment, prioritisation, design, implementation, monitoring and evaluation of an Operating Plan for Cyprus.
Indicator	Target for 2020	Actual by 31.12.2020	Status as of 31.12.2020	Additional information / explanation
27. Percentage of support measures implemented as planned, according to the logical framework of the	90%	60%	Not achieved (67%)	• Measure CY 1.0: registrations by EASO Registration Assistants in progress (5 out of 9 Registration Assistants deployed), Team Leader recruited. Workflows in progress. Support tools for identification and referral of vulnerable applicants: template finalised, not yet in use by all involved actors. Information

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[3] Despite the COVID-19 crisis having a significant impact on the budget requirements for operations in 2020, EASO will be able to utilise the full budget allocated for operations in Greece, Cyprus and Malta, including utilising the potential savings from other activities (specifically Italy and the External Dimension work).

Operating Plans, including amendments, if applicable.				provision and vulnerability screening performed by EASO suspended in Pournara related to the Covid situation and security incidents in the centre. Recruitment of Vulnerability Officers in progress. EASO supported 76% of all registrations. • Measure CY 2.0: reception support increased in Kofinou during Q3-Q4, however for Pournara only minimal support was delivered due to delays in establishment of the Safe Zone. • Measure CY 3.0: support with the backlog management implemented, with lower number of deployed staff compared with the OP planning due to contractual and space issues, and delays in construction of the Examination centre. • Measure CY 4.0: continued deployment of 3 Research Officers and agreeing with the Judges of the ToR of support delivered to the Court.

Objective 2 (10)	Taking into account the specific needs in 2020 and at the request of the Cypriot authorities, provide direct operational support to the Cypriot Asylum Service to process applications for international protection and thus stabilise and eventually reduce backlog in the processing of applications for international protection at first instance involving: continued deployment of registration officers; further increased deployment of asylum support teams to conduct interviews and draft recommendations; support for the establishment of a Dublin Unit and support for the establishment of a Quality Unit – both within the Cypriot Asylum Service.

Indicator	Target for 2020	Actual by 31.12.2020	Status as of 31.12.2020	Additional information / explanation
28. Median duration from registration request to registration.	10 days	0	Achieved (100%)	Zero value means that pre-registrations (official recording of the migrants' intention to apply for asylum) and registrations take place simultaneously/within the same day.
29. Evidence of harmonisation of the referral system and prioritisation of vulnerable applicants.	100%	50%	Not achieved (50%)	A harmonised vulnerability template has been finalised; however, implementation varies in the different locations. A total of 419 applicants were identified as vulnerable during registration in 2020. Since June, 54% of all registrations have gone through vulnerability screening; the number of vulnerability screenings prior to June was not monitored. Improvement in the prioritisation has been achieved, but harmonisation of referrals still needs to progress.
30. Number of pending cases at first instance processed.	1,760	923	Not achieved	Number of interviews conducted with EASO support: 923. 960 individual recommendations were submitted, 52% (501) had been

Indicator	Target for 2020	Actual by 31.12.2020	Status as of 31.12.2020	Additional information / explanation
			(52%)	closed by the end of the year. Projected targets of caseworkers were not met due to restrictive nature of the Temporary Workers Directive as transposed in Cypriot law, resulting in significant reduction in temporary workers against the OP targets.
31. Percentage of asylum interviews processed with the support of the Agency.	50% or number of interviews	No data	No data	Total number of interviews conducted in Cyprus: data not available. Number of interviews conducted with EASO support: 925.
32. Dublin Unit establishment initiated.	Dublin Unit establishment initiated.	0%	Not achieved (0%)	Activity not started. Discussions ongoing.
33. Quality Unit establishment initiated.	Quality Unit establishment initiated.	100%	Achieved (100%)	EASO seconded a Quality Officer and a Team Leader to the Asylum Service to support the establishment of the Quality Unit. Two quality assurance and support tools for vulnerability identification have been in use. The drafting of a new Protection Monitoring Database started in collaboration with the HQ.
Objective 3 (11)	**Taking into account the specific needs in 2020 and at the request of the Cypriot authorities, provide direct operational support to the reception authorities to strengthen the national management of reception and the specific management of first and second line reception systems.**			
Indicator	**Target for 2020**	**Actual by 31.12.2020**	**Status as of 31.12.2020**	**Additional information / explanation**
34. Evidence of improvement of reception conditions based on EASO operational standards and indicators of reception conditions.	50% quality measurement tool implemented in Kofinou and Pournara	0%	Not achieved (0%)	No monitoring has been done; the tool has not yet been used. Consultations on the use of the tool with the Cypriot authorities are expected to take place in 2021.
35. Early identification system for vulnerable applicants.	100% early identification system fully implemented	75%	Not achieved (75%)	The workflow for identification and referral of vulnerable cases in Kofinou has been in place since April 2020, its harmonisation across the reception centres (Kofinou and Pournara) was not achieved due a delay in the operationalisation of Pournara.
36. Harmonised data collection systems (Kofinou and Pournara).	100% harmonised	0%	Not achieved (0%)	Development of a harmonised data collection system has not started.

	data collection systems applied			
37. Central allocation system developed.	25%	0%	Not achieved (0%)	Development of the central allocation system has not started.
38. Pournara Safe Zone established and functioning.	100%	0%	Not achieved (0%)	Establishment of the safe zone is being postponed by the Cypriot authorities, planned to be completed in 2021.
39. First line reception related workflows developed and functioning as they relate to registration, vulnerability referrals and allocations.	100%	50%	Not achieved (50%)	SOPs have been developed and approved by different stakeholders, clear implementation and coordination structure has progressed but was not fully successful. Coordination between stakeholders and measures had started.

Objective 4 (12)	Support for the establishment of the IPAC, for enhancing capacity and the consequent reduction in the backlog at second instance.			
Indicator	**Target for 2020**	**Actual by 31.12.2020**	**Status as of 31.12.2020**	**Additional information / explanation**
40. Backlog at second instance reduced.	15%	20%	Exceeded (+33%)	3 Research Officers were deployed to support 5 Judges. Recruitment of 2 additional Research Officers was in progress. 114 files were prepared since April (not necessarily mutually exclusive files). The backlog at second instance was 1,003 cases by November.

1.4 Malta

3 out of 10 targets were **exceeded** (30%)
4 out of 10 targets were **achieved** (40%)
2 out of 10 targets were **nearly achieved** (20%)
1 out of 10 targets was **not applicable** (10%)

Core business indicators	Forecast 2020	Actual by 31.12.2020	Status as of 31.12.2020	Additional information / explanation
41. Multi-Annual Programme Document completed.	100%	N/A	N/A	The development of a Multiannual Roadmap for Malta has been re-planned for 2021. Needs assessment process was performed and the Results Framework was established in line with validated methodology for definition and design of 2021 Operating Plan.

Indicator	Target for 2020	Actual by 31.12.2020	Status as of 31.12.2020	Additional information / explanation
42. Percentage utilisation and consumption of resources versus the Operating Plan.	95%[4]	96%	Exceeded (+1%)	SPD budget: € 4,069,707 CA consumed by 31.12.2020: € 3,896,818.13, out of which: • € 3,444,055.41 (C1) • € 452,762.72 (R0)
43. Quarterly inter-agency coordination meetings conducted with concerned national asylum and reception authorities.	4	30	Exceeded (+650%)	30 coordination meetings took place with national authorities.

Objective 1 (13)	Contribute to enhanced capacity of the Maltese authorities with particular focus on support for registration, the examination of applications for international protection and support for the Dublin Unit through the assessment, prioritisation, design, implementation, monitoring and evaluation of an Operating Plan for Malta.			
Indicator	**Target for 2020**	**Actual by 31.12.2020**	**Status as of 31.12.2020**	**Additional information / explanation**
44. Operating Plan takes into account the needs on the ground and foresees adequate operational and technical support.	Forecast of resources and activities is adequate to meet the needs	100% (OP implemented as per the plan and adapted to meet needs on the ground)	Achieved (100%)	The 2020 Operating Plan was developed following an extensive needs assessment exercise and follows the agreed methodology. It was fully adapted to meet the needs on the ground. A revised Operating Plan was developed as a result of COVID-19 crisis. No changes in measures were foreseen, while a reduction in the planned outputs was expected due to suspension of face-to-face activities between March and June. An Amendment to the Operating Plan was signed in September, which included also additional support on the age assessment procedure.
45. Percentage of support measures implemented as planned, according to the logical framework of the Operating Plans, including amendments, if applicable.	90%	83%	Nearly achieved (92%)	All activities foreseen under measures MT1, MT2 and MT3 were implemented as planned. The majority of activities under measure MT4 were rolled out and will continue in 2021. SOPs for age assessment and the integration of entry-exit system will take place in 2021.

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[4] Despite the COVID-19 crisis having a significant impact on the budget requirements for operations in 2020, EASO will be able to utilise the full budget allocated for operations in Greece, Cyprus and Malta, including utilising the potential savings from other activities (specifically Italy and the External Dimension work).

Objective 2 (14)	Taking into account the specific needs in 2020, enhance the capacity of the Maltese authorities to process applications for international protection to reduce registration and first instance backlog, to provide information to applicants and strengthen the processing capacity of the Dublin Unit.			
Indicator	**Target for 2020**	**Actual by 31.12.2020**	**Status as of 31.12.2020**	**Additional information / explanation**
46. Percentage of registrations processed with the support of EASO.	Full registration backlog from 2019 processed by the year end	96% (92%: 2020 backlog, 100%: 2019 backlog)	Exceeded (+7%)	Full registration backlog of 2019 has been processed (100%). EASO processed 2,194 registrations out of 2,389 national-level registrations.
47. Evidence of information provision for all arrivals provided.	100%	100%	Achieved (100%)	All applicants were provided with information at the moment of registration for international protection.
48. Evidence of effective identification system for vulnerable applicants in place.	System agreed and in place	System agreed and in place 100%	Achieved (100%)	The activity is closely linked with the implementation of various operational activities within the Operating Plan. Work on vulnerability assessment, methodology, procedures and tools were fully implemented (vulnerability screening in Hal-Far Tent Village). The system for the referral of vulnerability indicators was put in place with AWAS and IPA (over 200 vulnerability assessments were carried out).
49. Number of asylum cases processed with the support of EASO.	2 cases per caseworker per week	1.7	Nearly achieved (85%)	Number of interviews conducted with EASO support: 581. Number of Evaluation reports submitted: 650. The average productivity was 1.7 cases per caseworker per week. The productivity is expected to increase in 2021, subject to COVID-19 restrictions and other operational challenges.
Objective 3 (15)	Taking into account the situation on the ground, and at the request of the Maltese authorities, provide relevant support for ad hoc disembarkations/voluntary relocation operations in support of the concerned Maltese authorities and participating Member States.			
Indicator	**Target for 2020**	**Actual by 31.12.2020**	**Status as of 31.12.2020**	**Additional information / explanation**
50. % (and number) of ad hoc disembarkation/voluntary relocation events supported.	100% of the events for which request was received	100%	Achieved (100%)	Events responded to 16 disembarkations.

1.5 Other Operational Activities

2 out of 2 targets were **achieved** (100%)

Core business indicators	Forecast 2020	Actual by 31.12.2020	Status as of 31.12.2020	Additional information / explanation
51. Maintain close relations with the European Commission, the concerned Member States and other relevant stakeholders to ensure rapid response operations are coordinated and planned, implemented, monitored and evaluated.	100%	100%	Achieved (100%)	Close coordination with the Commission and relevant Member States ensured coordinated rapid response operations. EASO initiated, at the request of the Spanish Authorities, a joint Needs Assessment process for identification of potential areas of support, within the broader areas of reception and resettlement. An Operating Plan to Spain was signed in December.
Objective 1 (16)	**Respond to rapid response needs as they arise upon approved request from Member States in a timely, efficient, planned, structured and coordinated operational manner.**			
Indicator	Target for 2020	Actual by 31.12.2020	Status as of 31.12.2020	Additional information / explanation
52. % (and number) of timely operational responses put in place.	100% of approved requests responded to	100%	Achieved (100%)	100% of requests were responded to (16 in Malta, 21 in Italy, Joint Rapid Needs Assessment for Spain completed and Operating Plan 2021 signed).

1.6 External dimension

Multiannual programme and objectives

3 out of 3 multiannual targets were **on track** (100%)

Performance indicators	Targets	Actual by 31.12.2020	Status as of 31.12.2020	Additional information / explanation
Number of activities organised by the Agency, within the wider	The Agency provides	11	On track	11 meetings and activities were organised under the framework of the EASO Resettlement and Humanitarian Admission Network.

framework of the Commission's coordination, to enhance coordination and cooperation among European and EU+ countries' resettlement programmes.	stronger coordination and support to EU+ countries on resettlement within the wider framework of EU external relations policy.			
Pilot Resettlement Support Facility (RSF) is implemented fully (within 18 months), expanded and replicated where appropriate.	The RSF concept is expanded in Turkey and replicated in one other third country, as appropriate, and based on minimum 80% overall stakeholder satisfaction as per the evaluation(s) of the RSF in Istanbul.	75%	On track	The RSF Pilot Project in Istanbul is under implementation. The procurement procedure to publish a public tender to continue the RSF project in Istanbul was completed and published in December 2020. The new Framework Contract is expected to be in place in Q2/2021. Following consultations with EU+ countries, EASO is carrying out preparatory work on replicating and expansion of the RSF concept in Lebanon.
Roadmaps, projects, and where appropriate, WAs, in place to cover foreseen capacity building and, where appropriate, operational activities.	The necessary actions for the development of WAs, Roadmaps and projects are timely put in place. WAs, Roadmaps and	3 out of 3 implemented	On track	Necessary actions for the development of WAs, Roadmaps and projects are timely put in place: • Roadmaps with Bosnia and Herzegovina, North Macedonia, and Serbia were developed and officially endorsed by national authorities in 2020; • Roadmaps with Albania and Egypt were technically agreed in 2020, endorsement by national authorities is pending;

	projects are timely implemented and extended as necessary. WAs, Roadmaps and projects are monitored and evaluated following the EASO methodology and with minimum 75% overall stakeholder satisfaction.		- The Regional Pilot Project for North Africa (2020-2023) was successfully agreed and placed under the umbrella of the Regional Development and Protection Programme for North Africa (RDPP NA) in 2020. WAs, Roadmaps and projects are timely implemented and extended as necessary: - Roadmaps with Bosnia and Herzegovina, North Macedonia, Serbia and Turkey/DGMM are under implementation; - The regional IPA II funded project "Regional Support to Protection-Sensitive Migration Management in the Western Balkans and Turkey" and the Regional Pilot Project for North Africa are under implementation. WAs, Roadmaps and projects are monitored and evaluated following the EASO methodology and with minimum 75% overall stakeholder satisfaction: - The mid-term evaluation of the DGMM Roadmap was completed in 2020; - The Roadmaps with Serbia (2017-2019) and North Macedonia (2017-2019) were evaluated in 2020.

1.6.1 External Dimension Networks

3 out of 3 targets were **exceeded** (100%)

Objective 1 (17)	Manage and further develop practical cooperation and information sharing among EU+ countries on activities pertaining to the Agency's external dimension mandate.			
Indicator	**Target for 2020**	**Actual by 31.12.2020**	**Status as of 31.12.2020**	**Additional information / explanation**
53. Number of Network meetings and activities implemented.	6	18	Exceeded (+200%)	10 meetings of the Resettlement and Humanitarian Admission Network took place, and 8 of the Third Country Cooperation Network.
54. Level of satisfaction of participants involved.	80%	87%	Exceeded (+9%)	87% average satisfaction, from Resettlement and Humanitarian Admission Network and Third Country Cooperation Network meetings.

55. Tools developed to enhance the coordination role of the network.	4	5	Exceeded (+25%)	5 tools were developed (on Third Country Cooperation Network calendar, Final Work Plan 2020-2021 of the Resettlement and Humanitarian Admission Network, Resettlement and Humanitarian Admission Network digital platform, Third Country Cooperation Network digital platform, Pilot Projects Database).

1.6.2 Resettlement and complementary pathways to international protection

3 out of 9 targets were **exceeded** (33%)
3 out of 9 targets were **achieved** (33%)
1 out of 9 targets was **not achieved** (11%)
2 out of 9 targets were **not applicable** (22%)

Core business indicators	Forecast 2020	Actual by 31.12.2020	Status as of 31.12.2020	Additional information / explanation
56. Number of EU+ countries supported.	7	4	Not achieved (57%)	RST operations were suspended over a period due to Covid-19. Resettlement Support Facility was provided to Sweden, the Netherlands, Switzerland and Belgium. Bulgaria, France, Germany, Portugal and Romania were indirectly supported through their participation in the strategic planning committee activities.
57. Number of practical and data collection tools developed and adapted.	3	3	Achieved (100%)	RSF Data collection scheme is ongoing (country-specific spreadsheets capturing mission figures), as are the RSF SOPs and Tools.
58. Number of practical cooperation meetings on resettlement and complementary pathways to protection organised with relevant stakeholders.	5	5	Achieved (100%)	The RSF 3rd, 4th, 5th and 6th Strategic Planning Committee meetings; Resettlement and Humanitarian Admission Network online meeting on Community Sponsorship programmes.
Objective 1 (18)	**When adopted, support the implementation of the Union Resettlement Framework, including by facilitating cooperation, coordination and sharing of infrastructure among EU+ countries in selected third countries.**			
Indicator	Target for 2020	Actual by 31.12.2020	Status as of 31.12.2020	Additional information / explanation
59. Number of activities aimed at enhancing technical	3	N/A	N/A	Union Resettlement Framework has not yet been adopted.

Indicator	Target for 2020	Actual by 31.12.2020	Status as of 31.12.2020	Additional information / explanation
cooperation among EU+ countries (under the Union Resettlement Framework, when rolled out in 2020).				
60. Level of satisfaction of EU+ countries involved in the above activities.	80%	N/A	N/A	Union Resettlement Framework has not yet been adopted.
61. Number of activities aimed at facilitating the sharing of infrastructure and cooperation with third countries.	1	2	Exceeded (+100%)	The RSF Pilot Project in Istanbul is under implementation. The procurement procedure to publish a public tender to continue the RSF project in Istanbul was completed. EASO is carrying out preparatory work on replicating and expansion of the RSF concept in Lebanon.
62. Level of satisfaction of the EU+ countries involved in the above activities.	80%	90%	Exceeded (+13%)	Based on the feedback from Member State missions to the RSF. Feedback received from EU+ countries was mainly qualitative.
Objective 2 (19)	**Support interested EU+ countries in the planning and implementation of complementary pathways to international protection in the EU, including private sponsorship programmes.**			
Indicator	**Target for 2020**	**Actual by 31.12.2020**	**Status as of 31.12.2020**	**Additional information / explanation**
63. Number of activities aimed at supporting interested EU+ countries in the planning and implementation of complementary pathways to international protection in the EU.	2	2	Achieved (100%)	Evaluation of actions submitted following an AMIF call for proposals on ''Fostering the integration of persons in need of protection through private sponsorship schemes'' was conducted. In occurrence of the Resettlement and Humanitarian Admission Network online meeting on Community Sponsorship programmes on 25 November 2020, an additional online meeting was dedicated to more in-depth discussions on Community Sponsorship schemes.
64. Level of satisfaction of EU+ countries involved in the above activities.	80%	90%	Exceeded (+13%)	Evaluation of actions submitted following an AMIF call for proposals was not subject to measurement of EU+ countries satisfaction, therefore the KPI is not applicable for the reference period. Online meeting on Community Sponsorship had a level of satisfaction at 90%.

1.6.3 Third country support

5 out of 10 targets were **exceeded** (50%)
3 out of 10 targets were **achieved** (30%)
2 out of 10 targets were **not applicable** (20%)

Core business indicators	Forecast 2020	Actual by 31.12.2020	Status as of 31.12.2020	Additional information / explanation
65. Number of technical cooperation meetings with national authorities from third countries.	25	47	Exceeded (+88%)	16 meetings were held with Turkey, 27 with Western Balkans, 3 with MENA Region.
66. Number of assessments completed in respect of requests for capacity building and/or operational support.	3	5	Exceeded (+67%)	A needs assessment, including a priority needs assessment, for the development of the EASO-Serbia Roadmap and EASO-Albania Roadmap. A needs assessment for the development of the EASO-North Macedonia Roadmap, EASO-Bosnia and Herzegovina Roadmap and EASO-Egypt Roadmap.
67. Number of overviews on third countries' asylum and reception systems developed/updated and available for the Agency's staff and EU+ experts on EASO operational platforms.	5	5	Achieved (100%)	5 overviews on third countries' asylum and reception systems under development/updated (on Turkey, Serbia, Bosnia and Herzegovina, Egypt, Niger).
68. Number of third countries for which the information sharing tool is under development.	2	2	Achieved (100%)	The Pilot Project database covering up to 2 Third Countries in the MENA region is under development.
69. Level of satisfaction of the External Dimension Network on the information and coordination tools.	80%	N/A	N/A	The level of satisfaction cannot be measured yet as most of the tools are still under development.
Objective 1 (20)	Continue coordination and implementation of agreed frameworks for cooperation with third countries, and enhance information sharing between EU+ countries, as well as with other relevant stakeholders.			

Indicator	Target for 2020	Actual by 31.12.2020	Status as of 31.12.2020	Additional information / explanation
70. Number of working arrangements signed, with at least one linked to including a Roadmap document (i.e. technical cooperation, similar to the Operating Plan).	1	N/A	N/A	Deprioritised to focus on postponed activities or activities that require a different implementation modality. Requires further consultations, including MB and COM.
71. Number of practical cooperation workshops and meetings with EU+ countries and third countries.	3	5	Exceeded (+67%)	4 Western Balkans meetings were held, and 1 MENA meeting.
Objective 2 (21)	**Provide capacity building to enhance third countries' capacities to manage fluctuating migration movements and to develop and enhance asylum and reception systems.**			
Indicator	Target for 2020	Actual by 31.12.2020	Status as of 31.12.2020	Additional information / explanation
72. Roadmaps and other projects, linked to Working Arrangements where appropriate, developed using the defined project management methodology of the Operations Manual with a clear prioritisation of need and defined entry and exit strategies.	1 for Turkey; Up to 4 for Western Balkan countries; Up to 2 for Middle East and North Africa (MENA) region	1 for Turkey 4 for WB 2 for MENA (7 out of 7)	Achieved (100%)	1 for Turkey (EASO-DGMM Cooperation Roadmap), 4 for Western Balkans (development of Roadmaps for cooperation with Serbia, North Macedonia, Bosnia and Herzegovina, Albania), 2 for MENA Region (the Roadmap for cooperation with Egypt, the EASO Regional Pilot Project under the framework of the RDPP NA with interested EU+ countries and DG HOME).
73. Defined activities as per plans implemented.	45	46	Exceeded (+2%)	23 activities were implemented with Turkey, 19 with Western Balkans, 4 with MENA Region.
74. Level of satisfaction of the partner countries involved.	80%	89%	Exceeded (+11%)	Turkey 90%, Western Balkans 98%, MENA Region 78%.

2. Operational Support & Tools, Monitoring & Evaluation of Operations

2.1 Operational Support and Operational Tools

4 out of 12 targets were **exceeded** (33%)
1 out of 12 targets was **achieved** (8%)
5 out of 12 targets were **not achieved** (42%)
2 out of 12 targets were **not applicable** (17%)

Core business indicators	Forecast 2020	Actual by 31.12.2020	Status as of 31.12.2020	Additional information / explanation
75. Number of practical cooperation meetings organised, incl. meetings with the EU+ countries NCP network.	2	3	Exceeded (+50%)	3 AIP NCP meetings were held.
76. Number of NCP network participants/meeting.	30	32 on average	Exceeded (+7%)	30 AIP NCP Network participants were on the 1st AIP NCP Meeting, 28 on the 2nd meeting, 38 on the 3rd meeting.
77. Level of satisfaction of NCP network participants.	85%	88%	Exceeded (+4%)	Satisfaction with the 1st meeting was 87.3%, with the 3rd meeting 88.8%.
78. Percentage of experts having access to operational platforms developed to support information sharing with deployed experts.	100%	48%	Not achieved (48%)	The indicator was below the target as the Greece Country Operation Platform was temporarily offline in Q3-Q4, following the change in deployment of interim experts in Greece into embedded workflow. The platform is being updated and reintroduced.
79. Percentage of Member States providing updated information for maintenance of LAL.	60%	N/A	N/A	No calls for update on the LAL were launched. Two requests for support were received. A new FWC for remote interpretation was launched, also foreseen to cover ad-hoc interpretation requests from Member States on rare languages.
Objective 1 (22)	**The Agency is able to provide flexible and rapid support to Member States in a timely and efficient manner.**			
Indicator	**Target for 2020**	**Actual by 31.12.2020**	**Status as of 31.12.2020**	**Additional information / explanation**

Indicator	Target for 2020	Actual by 31.12.2020	Status as of 31.12.2020	Additional information / explanation
80. Operational contingency preparedness reviewed.	25%	5%	Not achieved (20%)	Initial review of EASO resource requirements and capabilities was initiated in the framework of the Rapid Needs Assessment exercise for Spain. No further progress was achieved due to re-prioritisation of tasks.
81. Contingency Planning Manual developed to cover operational actions for single and multiple rapid response operations.	25%	0%	Not achieved (0%)	Contingency Planning Manual was not started. The activity was de-prioritised due to immediate need for contingency planning for potential Spain operations.
82. Framework developed for the provision of operational contingency planning for Member States.	25%	0%	Not achieved (0%)	The activity was de-prioritised.
Objective 2 (23)				Review and enhance the management of deployments and improve deployment planning, management and monitoring through further development of the EAIPS. Establish complimentary deployment systems to ensure that the Agency has the capacity to respond rapidly to emergency needs in a timely, efficient and appropriate manner.
Indicator	**Target for 2020**	**Actual by 31.12.2020**	**Status as of 31.12.2020**	**Additional information / explanation**
83. EAIPS fully completed.	100%	56%	Not achieved (56%)	Work is ongoing with new functionalities added and new features being tested and developed. Due to changes in planning with regards to the future deployment mechanisms, planning of some of the deliverables changed, which affected the overall progress.
84. Degree of satisfaction of EU+ countries with the EAIPS.	80%	N/A	N/A	This will be measured in 2021 through a survey.
85. % implementation of the Operational Toolkit focusing on the identification and development of complementary alternative deployment mechanisms.	100%	100%	Achieved (100%)	A full review and assessment of the possible alternative deployment mechanisms was carried out and presented to the MB in September. Different short, medium and long-term solutions were reviewed with relevant stakeholders. Recruitment of 58 operational Contract Agents for Italy and Cyprus Operations, as a short-term solution, was initiated. One single complementary alternative deployment mechanism was identified and will be further developed and reviewed together with the Commission and the MB in 2021.
Objective 3 (24)				Enhance the access of Member States to interpretation services across the EU.

Indicator	Target for 2020	Actual by 31.12.2020	Status as of 31.12.2020	Additional information / explanation
86.% implementation of a solution to facilitate interpretation services across the EU	50%	75%	Exceeded (+50%)	A procurement procedure to conclude a framework contract (FWC) for remote interpretation services was launched, tenders are under evaluation. Support/ coordination in the framework of LAL was provided through the existing FWC.

2.2 Programming, Monitoring and Evaluation of Operations

3 out of 8 targets were **exceeded** (38%)
4 out of 8 targets were **achieved** (50%)
1 out of 8 targets was **nearly achieved** (13%)

Core business indicators	Forecast 2020	Actual by 31.12.2020	Status as of 31.12.2020	Additional information / explanation
87.Number of validated User Guides as part of Operations Manual.	4	3.5	Nearly achieved (88%)	3 validated User Guides are in place: Needs Assessment, Monitoring, and Evaluation. 1 User Guide on Design and Planning was drafted and tested.
88.Number of operational interventions enhanced with operational design support.	7	8	Exceeded (+14%)	Operational design support provided to 5 Operating Plans with Italy, Greece, Malta, Cyprus and Spain and 3 External Dimension Roadmaps with Serbia, Egypt, North Macedonia.
89.Number of EASO operational interventions supported by a needs assessment process.	7	7	Achieved (100%)	Needs Assessment done for 2021 Operating Plans with Italy, Greece, Malta, Cyprus and Spain. Needs Assessment support provided for development of 2 Roadmaps (Serbia, North Macedonia).
90.Number of operational interventions supported by a validated and collaborative monitoring plan.	5	7	Exceeded (+40%)	2020 Operating Plans' interventions with Italy, Greece, Malta and Cyprus. External Dimension interventions with DGMM, Egypt, the RSF Project.
91.Number of operational interventions supported by an evaluative exercise.	10	10	Achieved (100%)	• 3 external evaluations (Cyprus, Italy and Greece OP 2019); • 1 external cross-country analysis of the OPs 2019; • 5 internal evaluations (mid-term RSF, Serbia, North Macedonia, Turkey/DGMM and Malta OPs 2019-2020); • 1 decentralised evaluation (Measure 3 Italy).

Objective 1 (25)	Operating Plans and Projects are established through a consultative process based on a robust and reliable needs assessment in a timely manner applying the agreed Project Management Methodology.			
Indicator	**Target for 2020**	**Actual by 31.12.2020**	**Status as of 31.12.2020**	**Additional information / explanation**
92. Percentage of new or amended Operating Plans that make use of the new templates/methodologies	100%	100%	Achieved (100%)	Needs assessment and operational design support to all Operating Plans for 2021 and other intervention plans provided. Templates and methodological support for making use of current templates and agreed methodology provided.
Objective 2 (26)	Ensure a robust monitoring and evaluation system that contributes to the delivery and effectiveness of the Agency's operations and activities in the Member States and in the external dimension.			
Indicator	**Target for 2020**	**Actual by 31.12.2020**	**Status as of 31.12.2020**	**Additional information / explanation**
93. Percentage of monitoring overview reports produced	75%	76%	Exceeded (+1%)	Monthly monitoring overviews were produced.
94. Evidence of operational follow up of evaluations	Fully implemented (100%)	Fully implemented (100%)	Achieved (100%)	Management response sheets were produced on each evaluation.

3. Information, analysis and knowledge development

Multiannual programme and objectives

13 out of 14 multiannual targets were **on track** (93%)
1 out of 14 multiannual targets was **in delay** (7%)

Performance indicators	Targets	Actual by 31.12.2020	Status as of 31.12.2020	Additional information / explanation
Number of reports and other COI products on third countries produced and/or updated annually.	20 (per product 100 pages on average, including introduction, bibliography).	22	On track	22 reports were completed (17 reports with aggregated total number of pages produced: 2240; total by page count @ 1 report = 100 pages: 22.4). Reports were published on COI Portal and EASO website, and were on the following countries: Afghanistan 5, Iraq 4, Pakistan 2, Syria 5, Venezuela 1.
Updating or developing new methodologies and common formats/templates for COI production.	1 annual new development or update.	5	On track	Standardised content was developed and exercises for 5 workshops/webinars on COI methodology as a quality tool on COI quality criteria, source assessment, drafting/synthesis, peer review, and interviewing sources.
	- Portal fully functional. - Increase in number of visits. - Increase in number of repeated visits.	1 N/A N/A	In delay	Analytical script in ICT application stopped running, presumably on 11 September 2020, but trend until then was not pointing at an increase in (repeated) visits.
	- 10 specialised networks running on key third countries or topics; and 1 COI strategic network.	11 + StratNet	On track	Networks 'managed' is understood to mean at least 1 network event organised; management of communication, questionnaires/surveys, information exchange (surveys, sources' lists and compilation of national production plans), and COI queries in the networks.

	- 1 annual meeting for each network - Evaluation of the COI networks' added value by external consultant finalised, and implementation of lessons learned.	Evaluation of the COI network approach by Prof. K. Moser (2 stages – final meeting and report delivered Nov/Dec 2020)		• COI strategic network (StratNet), Afghanistan, Ethiopia, Eritrea, Iran, Iraq Libya, Russia-Ukraine-CIS, Somalia, Syria, Venezuela/Latin America, West-Africa; • Evaluation of the COI network approach by Prof. K. Moser (2 stages – final meeting and report delivered in 2020).
Transfer of the relevant parts of the MedCOI project with the Agency fully responsible for the MedCOI query system, database, and other relevant products and activities.	Full transfer finalised by 2020.	100%	On track	MedCOI service and all activities as under Project MedCOI4 are fully transferred to the EASO MedCOI sector and partly outsourced. The aim of maintaining at least the same level of quality of all aspects is foreseen to be reached as the QA tender has been published. MedCOI4 ended as a project, as well as the EASO transfer project.
Number of countries of origin per year covered by new, updated or revised guidance notes and common analysis, endorsed by the MB.	3	1	On track	1 guidance note was expected to be endorsed by the MB during the year. The 'Country Guidance: Syria' was accordingly endorsed in September 2020. The updated 'Country Guidance: Afghanistan was agreed and finalised at the level of the Country Guidance Network by December. Capacity challenges in COI production in the network approach caused delays in country guidance processes.
Country Guidance Network set-up and support in the exchange of information and the development, review and update of common analysis and guidance on main countries of origin.	- 1 annual Network meeting concerning general and strategic topics. - 2 to 4 Network meetings organised per	- 1 thematic Network meeting organised jointly with the Asylum Processes Network; - 7 Network meetings	On track	Most Network and Drafting Team meetings were organised online via video conference.

	development / update of country guidance. - 3-6 meetings of the Drafting Team of selected national experts organised per development / update of country guidance. - Online restricted area for the Network maintained and regularly updated.	organised in country-specific processes; - 15 Drafting Team meetings organised on Syria, Afghanistan and Iraq; - Online restricted area of the Network maintained and updated on a daily basis.		

Information and Documentation System and Annual Report

Performance indicators	Targets	Actual by 31.12.2020	Status as of 31.12.2020	Additional information / explanation
Extent of EU+ countries as well as EU overview that are covered.	All 30 EU+ countries as well as EU overview fully covered.	30	On track	All EU+ countries were covered, information on the UK retained until the end of 2020.
Percentage of validation of information by EU+ countries.	100%	73%	On track	
Usage of IDS as measured by usage statistics as well as regular user surveys.	Active use of IDS and related platforms (100 consultations per day).	309	On track	

Data hub, research on early warning and root causes and strategic analysis

Performance indicators	Targets	Actual by 31.12.2020	Status as of 31.12.2020	Additional information / explanation
EPS data exchange further developed to reflect new legislative	All the major areas of the CEAS covered in order to facilitate	EPS and Eurostat aligned by ±3%	On track	Data quality report EASO/AKC/SAU/DARS/ 2020/195 contains quantitative estimates of the

frameworks and new tasks of the Agency.	effective analyses, and potential monitoring role of the Agency.			difference between EPS and Eurostat (official) statistics. These can be used for future indicators.
Operational Data Collection and Operational Analyses in line with Operational support provided by the Agency.	Regular and high quality operational analyses, needs assessments and Monitoring and Evaluation.	Full ODC in place in support of Operational Analyses	On track	The number of active measures in Operating Plans can be compared with the number of measured covered by produced data. This can be used for future indicators.
Effective early warning and forecasting.	Systems in place that allow for early warning of new trends and forecasting of current flows that may cause pressures on national asylum systems.	3 new data sources added	On track	1. GDELT 2 in full use in the research programme. 2. New economic data. 3. Weather data added to the early warning and forecasting model.
Widely disseminated and highly effective analytical portfolio, including scenarios.	Well presented, clear and concise, high level analytical work produced by the Agency and valued by a wide range of core stakeholders.	4 novel reports	On track	The public special reports were downloaded multiple times, which can be used for future indicators: 1. Special reports x2; 2. A joint report on secondary movements; 3. A joint report on early warning.

3.1 Country of Origin Information (COI)

7 out of 15 targets were **exceeded** (47%)
4 out of 15 targets were **achieved** (27%)
1 out of 15 targets was **nearly achieved** (7%)
2 out of 15 targets were **not achieved** (13%)
1 out of 15 targets had **no data** (7%)

Core business indicators	Forecast 2020	Actual by 31.12.2020	Status as of 31.12.2020	Additional information / explanation
95. Number of COI reports and other products produced/updated (per product 100 pages on average, including introduction, bibliography).	20	22	Exceeded (+10%)	COI sector completed the equivalent of 22 reports (17 reports with an aggregated total number of pages produced: 2240; total by page count @ 1 report = 100 pages: 22.4). Reports are published on COI Portal and EASO website, and are on Afghanistan 5, Iraq 4, Pakistan 2, Syria 5 and Venezuela 1.
96. Number of COI methodologies/guides developed or updated.	1	0	Not achieved (0%)	Objective not reached due to other priorities.
97. Number of COI networks managed.	10	11	Exceeded (+10%)	'Managed' is understood to mean at least 1 network event organised; management of communication, questionnaires/surveys, information exchange (surveys, sources' lists and compilation of national production plans), and COI queries in the networks: StratNet, Afghanistan, Ethiopia, Eritrea, Iran, Iraq Libya, Russia-Ukraine-CIS, Somalia, Syria, Venezuela/Latin America, West Africa. External evaluation was concluded.
98. Number of COI-related workshops, meetings and conferences organised.	20	41	Exceeded (+105%)	COI Specialist Network events were organised and held. Operational COI events were organised and held in support of CY, MT, EL and IT.
99. Level of satisfaction of participants.	80%	85%	Exceeded (+6%)	Based on satisfaction survey results from all COI meetings (except StratNet webinar series as only 2 responses received).
100. Number of queries processed	35	48	Exceeded (+37%)	14 COI queries produced involving the specialist networks 2020. Operational COI produced 22 queries in 2020 (for Management and CY), plus an additional 5 link lists on general COI sources, Egypt, Somalia, Somalia-clans and Cameroon, and another 7 factsheets on Bangladesh, Eritrea, Mali, Morocco, Somalia, South Sudan and Sudan.
101. Number of COI Portal visits.	35,000	N/A	No data	ICT web analytics script running on the COI Portal stopped supposedly on 11.09.2020 and data is no longer available. ICT is looking into this.

102. MedCOI training development and all MedCOI users trained.	In all MS	Users trained in 20 MS (plus NO and CH)	Not achieved (74%)	Due to COVID-19, the team developed trainings in webinar modality and delivered them in this format. For the same reason some planned trainings have been postponed to 2021.
103. The Agency processing individual MedCOI requests	900	965	Exceeded (+7%)	A total of 77 Accessibility requests and 888 Availability requests were responded to.
104. The Agency producing country reports on health care situation.	2	2	Achieved (100%)	The fact-finding mission report co-drafted with MedCOI4-project (BDA) on Health Care in Ghana was published on the MedCOI website. The Report on health care in DRC was published (December 2020). The report based on findings of a fact-finding mission to Ukraine is under production.
105. Establishment, maintenance and further development of a database and portal for MedCOI information within the EASO ICT architecture.	1	1	Achieved (100%)	Transfer of the website, database and associated domains was completed In March. Regular patching window for the website is established with EASO ICT. The list of intermediate fixes and improvements is currently completed. The remaining backlog after the intermediate fixes and improvements will form the basis of the MedCOI5 Plan, scheduled for 2021.
106. Proportion of Country Guidance Network and Drafting Team meetings, in which EASO COI expert(s) participate to provide relevant input.	100%	100%	Achieved (100%)	EASO COI experts took part in all Country Guidance Network and Drafting Team meetings, providing relevant input.
107. Number of FFMs conducted.	1	1	Achieved (100%)	1 FFM to Kiev, Ukraine, in March 2020.
108. Number of drafting teams established for joint production or COI reports or products.	15	14	Nearly achieved (93%)	14 drafting/review teams were established for Afghanistan, Syria, Venezuela, Iraq, Pakistan.
109. Number of kick-off, reviewing and/or evaluation meetings for the joint drafting of COI reports or products.	15	20	Exceeded (+33%)	20 kick-off, reviewing and/or evaluation meetings were held on Afghanistan, Syria, Pakistan, Venezuela, Iraq.

3.2 Country guidance

2 out of 5 targets were **exceeded** (40%)
1 out of 5 targets was **achieved** (20%)
2 out of 5 targets were **not achieved** (40%)

Core business indicators	Forecast 2020	Actual by 31.12.2020	Status as of 31.12.2020	Additional information / explanation
110. Number of countries on which common analyses and guidance notes are produced or updated at the level of the Country Guidance Network and guidance notes presented to the MB for endorsement.	2	1	Not achieved (50%)	The 'Country Guidance: Syria' was finalised by the Country Guidance Network, endorsed and published in September. The update on Afghanistan was finalised at the level of the Country Guidance Network in December.
111. Numbers of surveys to the Network launched and processed in the framework of the development, review or update of country guidance.	3	3	Achieved (100%)	3 envisaged surveys on national caseload, policies and practice were launched, processed and analysed on Syria, Afghanistan and Iraq.
112. Number of Network/practical cooperation meetings organised.	7	8	Exceeded (+14%)	3 meetings of the Country Guidance Network were organised on country guidance on Syria. 4 meetings were organised to update 'Country Guidance: Afghanistan' and 'Country Guidance: Iraq'. 1 thematic meeting on membership of a particular social group was organised jointly with the Asylum Processes Network.
113. Level of satisfaction among participants with the network meetings.	80%	87%	Exceeded (+9%)	Average level of satisfaction based on evaluation forms from the meetings referenced above.
114. Procedure for the launch of a pilot study on references to EASO products in jurisprudence completed.	1	0	Not achieved (0%)	The procedure is in final preparatory steps, it was completed in December. Due to lack of bidding offers, a new procedure is to be launched in 2021.

3.3 EASO Data Hub

3 out of 14 targets were **exceeded** (21%)

6 out of 14 targets were **achieved** (43%)
1 out of 14 targets was **nearly achieved** (7%)
3 out of 14 targets were **not achieved** (21%)
1 out of 14 targets was **not applicable** (7%)

Core business indicators	Forecast 2020	Actual by 31.12.2020	Status as of 31.12.2020	Additional information / explanation
115. Number of indicators shared by the EPS Network.	21	21	Achieved (100%)	Number of indicators remains stable, but not all Member States report data for all breakdowns within each indicator (especially on reception, processing times and appeals).
116. Number of indicators shared by agencies, international organisations and third countries.	11	8	Not achieved (73%)	Frontex indicator and breakdowns are complete and exchanged on a monthly basis. Data exchange with UNHCR was launched in May with 3 new indicators but more to come. A planned information exchange of 7 indicators in the context of EASO-DGMM roadmap fell through.
117. Products delivered to summarise and visualise the asylum situation, and the implementation of the CEAS.	10	24	Exceeded (+140%)	Annexes for PEC, many COI ppt, CG outputs, tables for RR, and many others.
118. Number of Operational Measures covered by Operational Data collection.	20	18	Nearly achieved (90%)	Reception indicators have been added to ODC, plus several relocation schemes.
119. Products delivered in support of EASO Operational activities.	20	20	Achieved (100%)	An extremely broad and expanding electronic portfolio used by C1.
120. Number of EPS network meetings held.	2	2	Achieved (100%)	2 EPS meetings were organised.
Objective 1 (27)	**To lead and develop all information exchanges that quantify the asylum situation and the implementation of the CEAS.**			
Indicator	Target for 2020	Actual by 31.12.2020	Status as of 31.12.2020	Additional information / explanation
121. Percentage of indicators covered developed or brought in line with the *new acquis*.	80%	N/A	N/A	There is no new acquis.
122. Number of advisory group meetings held.	2	1	Not achieved (50%)	1 advisory group meeting was organised.

Indicator	Target for 2020	Actual by 31.12.2020	Status as of 31.12.2020	Additional information / explanation
123. Number of contributions to the ISAA report.	50	50	Achieved (100%)	Weekly WOSA charts and tables, and preparation of Eurodac data.
Objective 2 (28)	**To lead and manage EASOs Operational Data Collection and analysis.**			
Indicator	**Target for 2020**	**Actual by 31.12.2020**	**Status as of 31.12.2020**	**Additional information / explanation**
124. Number of Situational Reports.	50	25 (100%)	Achieved (100%)	These reports were discontinued and taken over by EAIPS (25 constitutes 100% in relation to the adjusted target for 2020).
125. Number of Operational needs assessments.	4	5	Exceeded (+25%)	Contributions to the needs assessment exercises for Greece, Italy, Cyprus and Malta were provided. One additional contribution than initially foreseen was provided to the Spanish Joint Rapid Needs Assessment.
126. Number of Monitoring Reports.	12	12	Achieved (100%)	Monthly monitoring supported by Operational Data Collection and PowerBI dashboards.
127. Number of Operational Factsheets.	24	16	Not achieved (67%)	Operational Factsheets for Q4 2019 and Q1-Q3 2020 were produced for the 4 countries with on-going Operational support (Greece, Italy, Cyprus and Malta).
128. Number of full Operational Analyses.	8	10	Exceeded (+25%)	4 Operational analyses for 2019, 2 Special COVID-19 reports, and 4 operational analyses. All 4 operations were covered.

3.4 Research programme on early warning and root causes

1 out of 6 targets was **exceeded** (17%)
1 out of 6 targets was **not achieved** (17%)
4 out of 6 targets were **not applicable** (67%)

Core business indicators	Forecast 2020	Actual by 31.12.2020	Status as of 31.12.2020	Additional information / explanation
129. Number of big data sources exploited.	4	8	Exceeded (+100%)	Currently undergoing major upgrade from GDELT1 to GDELT 2, and addition of economic and weather data.
130. Number of interviews performed in the SAM project.	9,000	N/A	N/A	Implementation of SAM has been postponed because of COVID-19, other options are being explored.
131. Number of countries hosting the SAM project.	6	N/A	N/A	Implementation of SAM has been postponed because of COVID-19, other options are being explored.

Objective 1 (29)	To further develop foresight research on: 1. **early warning and forecasting,** 2. **push and pull factors to and within the EU.**			
Indicator	**Target for 2020**	**Actual by 31.12.2020**	**Status as of 31.12.2020**	**Additional information / explanation**
132. Number of SAM surveys conducted.	6,000	N/A	N/A	Implementation of SAM has been postponed because of COVID-19, other options are being explored.
133. Number of electronic products based on surveys.	12	N/A	N/A	Implementation of SAM has been postponed because of COVID-19, other options are being explored.
134. Number of Early Warning Reports.	12	6	Not achieved (50%)	Monthly early warning reports were stopped because of COVID-19 travel restrictions. These restrictions forced the Research Programme to re-calibrate its early warning system and introduce additional push and enabling factors to become crisis resistant. A chapter in an IOM publication on migration across the Central med, a joint early warning report with 5 Member States and GDISC network, a paper on forecasting in Migration Policy Practice, 3 presentations.

3.5 Strategic analysis

2 out of 8 targets were **exceeded** (25%)
2 out of 8 targets were **achieved** (25%)
2 out of 8 targets were **nearly achieved** (25%)
2 out of 8 targets were **not achieved** (25%)

Core business indicators	Forecast 2020	Actual by 31.12.2020	Status as of 31.12.2020	Additional information / explanation
135. Number of regular LIMITED analytical reports.	30	60	Exceeded (+100%)	50 weeks of ISAA contributions (Asylum chapter, analysis of Eurodac data). 5 Analytical Briefs, ATAR, STAR x2, Special Reports, EASO Asylum report.
136. Number of ad hoc LIMITED analytical reports.	15	17	Exceeded (+13%)	5 ad hoc reports plus Ppts and briefing notes for SCIFA, Counsellors, and requests from DG HOME.
137. Number of public monthly LAT reports.	12	12	Achieved	

Indicator	Target for 2020	Actual by 31.12.2020	Status as of 31.12.2020	Additional information / explanation
			(100%)	
138. Number of joint analytical reports with partner agencies, EU+ countries, EASO Units, third counties.	13	12	Nearly achieved (92%)	3 joint reports (Secondary Movements, Tackling Migrant Smuggling in the Western Balkans), 1 joint chapter for Frontex ARAs, 8 EASO Quarterly Reports (Implementation of the Dublin III Regulation, Reception).
139. Number of country intelligence reports.	12	12	Achieved (100%)	New contract commenced in August.

Objective 1 (30)	Underpin the production of high quality strategic analysis products for a wide range of external stakeholders.			
Indicator	**Target for 2020**	**Actual by 31.12.2020**	**Status as of 31.12.2020**	**Additional information / explanation**
140. Number of time products are disseminated at high level meetings (JHA, SCIFA, HLWG, MB).	25	17	Not achieved (68%)	Analytical briefs were disseminated at MB, Counsellors and SCIFA and at JHA Council. A SCIFA paper on challenges for asylum situation. Presentation delivered at Visa Working Party.
141. Number of monthly hits to the LAT webpage.	50,000	46,230	Nearly achieved (93%)	
142. Number of Advisory Groups.	2	1	Not achieved (50%)	1 AG meeting, but other analytical workshops for joint analysis.

3.6 Information and Documentation System (IDS)

6 out of 12 targets were **exceeded** (50%)
2 out of 12 targets were **achieved** (17%)
2 out of 12 targets were **nearly achieved** (17%)
1 out of 12 targets was **not achieved** (8%)
1 out of 12 targets was **not applicable** (8%)

Objective 1 (31)	Further consolidation of the contents of IDS platform			
Indicator	**Target for 2020**	**Actual by 31.12.2020**	**Status as of 31.12.2020**	**Additional information / explanation**
143. Percentage share of thematic pages in IDS maintained up to date (updated in the last six months).	75%	71%	Nearly achieved (95%)	The number of IDS thematic pages updated with new information was 71% of the total.

Indicator	Target for 2020	Actual by 31.12.2020	Status as of 31.12.2020	Additional information / explanation
144. Percentage of thematic pages in IDS validated by EU+ countries.	75%	73%	Nearly achieved (97%)	Slight drop related to new pages being introduced leading to more pages pending validation
145. Volume of daily consultations of IDS.	+20% on each indicator, bounce rate kept at 4%	Three out of four objectives achieved	Not achieved (75%)	Three objective achieved: +103% on page views, +66.6% on unique pages views, +35% on visits, bounce rate at 6%.
146. EU+ countries' feedback on IDS.	≥70% satisfaction	N/A	N/A	The survey, planned for Q4 was not launched due to delay in IDS transfer to new technology and other prioritised activities.
147. Number of analytical outputs finalised.	15	32	Exceeded (+113%)	Numbers higher than planned due to new outputs launched in relation to COVID-19 developments in asylum and reception.
148. Number of events, including meetings and thematic workshops, where use of the platform is promoted.	10	24	Exceeded (+140%)	Including 5 meetings organised presenting EASO Caselaw database and 9 trainings on the Query System.
149. Tailor-made contribution provided to planning and evaluation of EASO operations.	4	5	Exceeded (+25%)	Contribution provided for CY, EL, IT, Management and ES.
Objective 2 (32)	**Advancing the EASO query system.**			
Indicator	**Target for 2020**	**Actual by 31.12.2020**	**Status as of 31.12.2020**	**Additional information / explanation**
150. All functionalities of the Query Platform operational (proposing, withdrawal, launching, compilation, reports, repository).	6 functionalities operational	6 functionalities operational	Achieved (100%)	
151. Exchange within the Query Cluster maintained.	1 meeting held, list of EASO queries on EMN-IES updated, joint leaflet updated	1 meeting was held, list of EASO queries on EMN-IES updated,	Achieved (100%)	The 4th meeting of EASO-EMN-GDISC-IGC Query Cluster was held, all 4 stakeholders participated. The updated leaflet can be found here (access to IDS needed).

Indicator	Target for 2020	Actual by 31.12.2020	Status as of 31.12.2020	Additional information / explanation
		leaflet updated		
152. Relevant content of EASO queries embedded in IDS thematic pages.	20 queries included on IDS	31	Exceeded (+55%)	Number higher than anticipated due to higher number of COVID-19 related queries.
Objective 3 (33)	**Development of EASO Case Law Database**			
Indicator	**Target for 2020**	**Actual by 31.12.2020**	**Status as of 31.12.2020**	**Additional information / explanation**
153. Number of external stakeholders introduced EASO Case Law Database to contribute.	10 stakeholders contributing	21	Exceeded (+110%)	
154. IDS on Case Law and thematic extracts from EASO Case Law Database referenced in EASO outputs.	10	17	Exceeded (+70%)	Case Law and thematic extracts from EASO Case Law Database were referenced in 1 Case Law Newsletter, 1 Covid report, 2 EXO policy updates, 1 Reception Periodic Update, 1 Dublin Periodic Update for Q4 (issued in 2021).

3.7 Annual report on the situation of asylum in the EU (EASO Asylum Report)

3 out of 5 targets were **exceeded** (60%)
1 out of 5 targets was **achieved** (20%)
1 out of 5 targets was **nearly achieved** (20%)

Core business indicators	Forecast 2020	Actual by 31.12.2020	Status as of 31.12.2020	Additional information / explanation
155. Percentage of Member States, as well as UNHCR, providing input to the EASO Asylum Report according to the methodology and within agreed timeframes.	100%	100%	Achieved (100%)	
156. Number of civil society organisations providing input to the EASO Asylum Report according to	30	45	Exceeded (+50%)	Including calls for AR 2020 and AR 2021.

the methodology and within agreed timeframes.				
157. Number of new references and sources included in the bibliography.	50	139	Exceeded (+178%)	
158. Volume of consultations of EASO Annual Report.	4,000	11,404	Exceeded (+185%)	From its publication the Annual Report on the situation of Asylum in EU+ was browsed 11,404 times from the EASO website.
159. Level of satisfaction of users / readers with the content of the EASO Asylum Report.	>85% satisfied	81%	Nearly achieved (95%)	68 respondents in total (4 out of 5 users rated it of much use or great use).

4. Training

Multiannual programme and objectives

3 out of 5 multiannual targets were **on track** (60%)
2 out of 5 multiannual targets were **not applicable** (40%)

Performance indicators	Targets	Actual by 31.12.2020	Status as of 31.12.2020	Additional information / explanation
Percentage of asylum officials successfully achieving learning outcomes.	80% of participants that undertake the assessment achieve successfully the intended learning outcomes	Too early to report	N/A	It is too early to report as the assessments' design is currently ongoing. The piloting of the first batch of assessments is expected to take place in 2021.
Implementation of the European Asylum Curriculum.	Member States train trainers and organise national training sessions based on their needs.	Number of national training sessions organised by Member States: 360	On track	Number of national training sessions organised by Member States: 360, which was stable compared to 2019, despite the COVID-19 outbreak. Number of participations in national training sessions organised by Member States: 4,794, which was stable compared to 2019, despite the COVID-19 outbreak.
The modules of the European Asylum Curriculum updated.	The modules of the Curriculum updated in line with the CEAS.	Too early to report	N/A	The new Pact on Migration and Asylum has been published by the European Commission in September 2020, updates of the modules will start once the legal acts come into force.
Implementation of targeted trainings for Member States' deployed experts as well as for officials of Member States under	Training sessions organised, based on	Number of training sessions delivered under	On track	Total number of participants trained: 1,764, out of which 1,393 were interim staff within Operating Plans.

particular pressure in the framework of emergency or special support.	deployed experts' and Member State's needs.	Operational Training: 133		
Implementation of a training governance system for quality assurance.	Processes and procedures are in place and supported by an IT infrastructure to facilitate, automate and assist in monitoring and reporting of training activities.	As planned	On track	The training quality framework has been designed. Actions needed to build an IT infrastructure to facilitate, automate and assist in monitoring and reporting of training activities have been identified, according to the phases and timeline of C2 Transition Plan (some actions already started and will be implemented incrementally). IT project management tools are used in the process.

4.1 European asylum curriculum

10 out of 15 targets were **exceeded** (67%)
1 out of 15 targets was **achieved** (7%)
3 out of 15 targets were **nearly achieved** (20%)
1 out of 15 targets was **not achieved** (7%)

Core business indicators	Forecast 2020	Actual by 31.12.2020	Status as of 31.12.2020	Additional information / explanation
160. Number of training material developed or restructured /updated/upgraded.	9	37	Exceeded (+311%)	Ongoing new developments on the reception of vulnerable persons, identification of potential exclusion cases, registration of applications for international protection, communication for asylum practitioners, management in reception. Ongoing upgrades on evidence assessment, exclusion. Restructuring of EASO Training Curriculum core modules on inclusion, evidence

				assessment, asylum interview method. Development of new training modules in reception area.
161. Percentage satisfaction with the pilot session of newly developments, updates or upgrades.	70%	82%	Exceeded (+17%)	
162. Number of deployed content and didactic Member States experts for module development and restructuring /updates/upgrades.	15 MS experts	11 MS experts	Not achieved (73%)	The expected results have been reached with a smaller number of deployed MS experts (11) compared to the estimated one. Due to the persisting outbreak of COVID-19, no further MS experts have been deployed in Q4 compared to the previous reporting period.
163. Number of training modules (restructuring, updates, upgrades or new developments) consulted by the members of the Reference Group and by the JHA Agencies.	5	4	Nearly achieved (80%)	The expected results have been achieved with consultations for 4 modules.
164. Number of deployed trainers and didactic trainers for train the-trainer sessions (including regionally and nationally).	70	65	Nearly achieved (93%)	In spite of COVID-19 outbreak and the consequent suspension of F2F until further notice as preventive measure, business continuity has been ensured, with the ongoing facilitation of online sessions by a trainer, then the deployment of trainers and didactic trainers for train-the-trainer sessions has continued throughout the entire year.
165. Number of participations in EASO train-the-trainers sessions (including regionally and nationally).	550	701	Exceeded (+28%)	Number of enrolments to online sessions (start date 01 January up to 31 December).
166. Overall satisfaction rate of participants trained in annual and regional train-the-trainer sessions.	70%	84%	Exceeded (+20%)	

167. Number of training sessions organised for Agency staff members.	15	15	Achieved (100%)	The Training Plan was partly put on hold (face-to-face element) due to the COVID-19 precautionary measures. Based on the results of the staff survey, the amended Training Plan for EASO Staff 2020 was approved with 2 training sessions per month, starting from June and with an exception for August and December.
168. Number of EASO staff participations in staff training sessions	200	217	Exceeded (+9%)	
169. Overall satisfaction rate with training sessions for Agency Staff.	70%	83%	Exceeded (+19%)	
170. Number of national training sessions organised in EU+ and third countries.	350	371	Exceeded (+6%)	
171. Number of participations in national training sessions organised in EU+ and third countries.	5,500	4,838	Nearly achieved (97%)	Provisional data, pending Member States' validation. During the first wave of the pandemic, a noticeable increase in the number of participations to national sessions was registered, but then a significant decrease was recorded.
172. Number of module language versions available on the learning platform.	144	169	Exceeded (+17%)	169 master copies available on the LMS (including EN version). A significant number of translated documents were received and built online in Q3 and Q4.
173. Percentage satisfaction rate of the trainers and content experts participating in the annual Trainers Network meeting.	70%	95%	Exceeded (+36%)	Feedback from 2 Trainers Network Meetings.
174. Percentage satisfaction rate of the participants in the National Contact Point meeting.	70%	88%	Exceeded (+26%)	Feedback from 2 National Contact Point meetings.

4.2 Operational training

8 out of 9 targets were **exceeded** (89%)
1 out of 9 targets was **achieved** (11%)

Core business indicators	Forecast 2020	Actual by 31.12.2020	Status as of 31.12.2020	Additional information / explanation
175. Number of Training Plans annexed to EASO Operating Plan/s.	Equal to the number of annual OP	4	Achieved (100%)	The Training Plans for Italy, Cyprus and Malta was designed, for Greece was completed.
176. Number of training material developed and/or reviewed.	3	4	Exceeded (+33%)	The manuscript for the online training component for the onboarding of asylum case workers in Cyprus and the Concept Note on the Training Programme on Resettlement were completed. Training material on Best Interest Determination and for onboarding of reception staff in Cyprus is ready for webinars/F2F.
177. Number of training sessions delivered.	80	133	Exceeded (+66%)	A high demand of training was from Greece, where new interim caseworkers followed the Extensive Training Programme. A significant number of trainings were delivered according to the training needs as per the Operating Plans as well as responding to additional requests received throughout the year.
178. Number of participants trained.	1,000	1,764	Exceeded (+76%)	A high demand of training was from Greece, where new interim caseworkers followed the Extensive Training Programme. A significant number of trainings were delivered according to the training needs as per the Operating Plans as well as responding to additional requests received throughout the year.
179. Number of trainers' deployments, including EASO inhouse trainers.	230	321	Exceeded (+40%)	Out of 321 deployments of trainers, 80% were deployments of in-house trainers.
180. Overall participants' satisfaction.	70%	86%	Exceeded (+23%)	
181. Number of participants to on-the-job coaching sessions.	150	196	Exceeded (+31%)	A high number of interims were coached in Greece in the second semester.

182. Percentage of participants' satisfaction from on-the job coaching sessions.	70%	93%	Exceeded (+33%)	
183. Number of representatives of the national authorities participating in EASO training	150	232	Exceeded (+55%)	

4.3 Certification and accreditation

3 out of 4 targets were **exceeded** (25%)
1 out of 4 targets was **nearly achieved** (25%)

Core business indicators	Forecast 2020	Actual by 31.12.2020	Status as of 31.12.2020	Additional information / explanation
184. Number of Member States and Reference Group members validating detailed occupational and educational standards for asylum officials.	17 (60% of Member States) and 3 Reference Group members	18 Member States (106%) 3 Reference Group members (100%)	Exceeded (+3%)	Occupational and educational standards have been translated into all EU official languages and Turkish.
185. The EASO Training Needs Assessment Tool (ETNA) has been completed and piloted.	3 Member States piloting	8 Member States piloting	Exceeded (+167%)	The ETNA tool completion and pilot is executed in three phases (preparatory, information and selection, implementation phase). The pilot launched with 8 Member States.
186. Percentage of Member States participating to the Certification and Accreditation Working Group (CAWG) in relation to	70%	59%	Nearly achieved (84%)	Participation by Member States to the Certification and Accreditation Working Group meetings was limited by the COVID-19 situation and due to higher workload. New CAWG nominated members have not yet participated to meetings.

the number of members of the CAWG.				
187. Quality enhancement in relation to the European standards and guidelines (ESG) for Quality Assurance as indicated in the yearly action plan.	80%	85%	Exceeded (+6%)	A Centre-wide exercise was conducted to enhance and redevelop the processes and procedures in C2 governance documents. These were further finetuned and aligned, including identification of additional processes and procedures to comply with the ESG.

4.4 e-learning

4 out of 8 targets were **exceeded** (50%)

2 out of 8 targets were **achieved** (25%)

1 out of 8 targets was **nearly achieved** (13%)

1 out of 8 targets was **not achieved** (13%)

Core business indicators	Forecast 2020	Actual by 31.12.2020	Status as of 31.12.2020	Additional information / explanation
188. Number of enrolments supported.	8,000	8,662	Exceeded (+8%)	Number of enrolments to sessions as of 31 December 2020.
189. Number of user accounts in LMS.	13,500	14,404	Exceeded (+7%)	Number of user accounts in the LMS as of 31 December 2020.
190. Number of train-the-trainer sessions administered by the Agency.	30	40	Exceeded (+33%)	
191. Number of national training sessions administered by the Agency.	400	371	Nearly achieved (93%)	
192. Number of helpdesk requests handled and resolved.	2,000	2,086	Exceeded (+4%)	
193. Annual Training Report delivered and published.	1	1	Achieved (100%)	The Annual Training Report 2019 was published in Q2 and is available on EASO website.

194. The infrastructure for the automation of training cycle processes and procedures has been designed according to the outcomes of the business processes review.	100%	100%	Achieved (100%)	The design and development of the technical solution was outsourced. The infrastructure was significantly revised by the contractors in consultation with the business owner and Project Manager.
195. Development and implementation of the basic elements of the infrastructure and related tools for the automation of training cycle processes and procedures, including the registration of participants for train-the-trainer sessions and national training sessions.	80%	50%	Not achieved (63%)	Lower than estimated progress was due to substantial changes to the architecture of the application, aimed at providing more flexibility for integration of the ETIS 2.0 with other systems used. This resulted in an extended design and development period and contract amendment in December.

4.5 Other training support

1 out of 1 target was **nearly achieved** (100%)

Core business indicators	Forecast 2020	Actual by 31.12.2020	Status as of 31.12.2020	Additional information / explanation
196. Number of ad hoc training sessions and CPD sessions organised (upon request).	8	7	Nearly achieved (88%)	7 CPD sessions were organised as part of EASO permanent support. The overall indicator target was not reached as ad hoc sessions were agreed not to be delivered in Spain.

5. Asylum support

Multiannual programme and objectives

4 out of 4 multiannual targets were **on track** (100%)

Performance indicators	Targets	Actual by 31.12.2020	Status as of 31.12.2020	Additional information / explanation
Engagement of relevant stakeholders in practical cooperation activities organised by the Agency's thematic networks (i.e. Asylum Processes, Dublin, Reception, Exclusion and Vulnerability).	At least 19 practical cooperation activities organised per year during the reference period.	27 Meetings: 7 (VEN) 10 (Dublin) 4 (Reception) 4 (Asylum Processes) 2 (exclusion)	On track	27 network and thematic meetings were organised.
Operational standards, indicators, guidance, best practices and practical tools have been developed or updated to align with the new CEAS legislation, and published.	At least 13 guidance documents developed/updated and published per year during the reference period.	18 tools: 7 (VEN) 5 (Dublin) 3 (Reception) 3 (Asylum Processes)	On track	18 tools were finalised on vulnerabilities and registration, children on age assessment, mental health of applicants for international protection in Europe, Dublin procedure, Dublin transfers, DubliNet, reception conditions, COVID-19 in Reception centres, COVID-19 testing strategies, membership of a particular social group, conducting remote/online registration and personal interviews remotely, use of COI by case officers, detecting potential exclusion cases from Iraq.
Professional development materials for members of courts and tribunals developed/updated and implemented.	At least 4 sets of professional development material developed, reviewed or updated per year during the reference period.	4	On track	Developed: Judicial Analysis on Vulnerability in the context of applications for international protection. Reviewed: Judicial Analysis on Ending International Protection / Judicial Analysis on Qualification for International Protection / Judicial Analysis on Introduction to CEAS.

Engagement of members of courts and tribunals in professional development sessions organised by the Agency.	At least 250 members participating every year during the reference period.	218	On track	The number of professional development workshops or conferences was revised from 14 to 10.

5.1 Asylum processes

5 out of 17 targets were **exceeded** (29%)
11 out of 17 targets were **achieved** (65%)
1 out of 17 targets was **not achieved** (6%)

5.1.1 Asylum Processes Network

Core business indicators	Forecast 2020	Actual by 31.12.2020	Status as of 31.12.2020	Additional information / explanation
197. Number of National Contact Point meetings of the Asylum Processes Network organised.	1	1	Achieved (100%)	The annual NCP meeting of the Asylum Processes Network took place online in November with 30 participants from 18 EU+ countries, COM and UNHCR.
198. Level of satisfaction with the meeting of the Asylum Processes Network.	80%	83%	Exceeded (+4%)	
199. Number of thematic cooperation meetings organised with the Asylum Processes Network.	2	2	Achieved (100%)	1 thematic meeting with the Asylum Processes Network was organised on conducting remote interviews, remote/online registration, examination of asylum applications. 1 thematic meeting was held on religious persecution.
200. Level of satisfaction with the thematic meetings.	80%	94%	Exceeded (+18%)	Feedback from 3 online meetings was 95.5%, 93.4% and 92.2%, and 94% from the thematic meeting on Religious Persecution.
201. Number of thematic quality matrix reports prepared or updated and published.	2	2	Achieved (100%)	Quality Matrix Report on the Content of Protection was published in May, the update of the Quality Matrix Report on Personal Interview was published in September.

202. Number of operational standards, indicators, guidance, best practices and practical tools in relation to asylum processes developed or updated and published.	3	3	Achieved (100%)	EASO Guidance on membership of a particular social group was published in March. EASO Practical recommendations on conducting personal interviews remotely were published in May, and on conducting remote/online registration (lodging) in June. EASO practical guide on the use of COI by case officers for the examination of asylum applications was published in December.
203. Number of consultation meetings, including working group meetings, organised in order to develop operational standards, indicators, guidance, best practices and practical tools.	9	9	Achieved (100%)	3 working group meetings were held on development of the EASO Practical guidance on Internal Protection Alternative (IPA), 3 on the development of the EASO Practical tool on Subsequent Applications, and 3 on the development of the EASO Practical guide on the application of the Cessation clauses.
204. Number of activities and products developed to promote and roll out operational standards, indicators, guidance, best practices and practical tools in relation to asylum processes.	4	4	Achieved (100%)	4 EASO publications (EASO Practical Guide on the use of COI by case officers for the examination of asylum applications, EASO Guidance on membership of a particular social group, EASO Practical Recommendations on conducting remote/online registration (lodging), and on conducting the personal interview remotely) have been promoted through the Network, EASO website, newsletters and social media.
205. Number of quality management related activities organised.	1	1	Achieved (100%)	1 thematic meeting on the management of litigation processes by determining authorities was organised.

5.1.2 Exclusion Network

Core business indicators	Forecast 2020	Actual by 31.12.2020	Status as of 31.12.2020	Additional information / explanation
206. Number of National Contact Point meetings of the	1	1	Achieved (100%)	1 annual NCP meeting was organised, with a special focus on Turkey.

Exclusion Network organised.				
207. Level of satisfaction with the NCP meetings of the Exclusion Network.	80%	95%	Exceeded (+19%)	
208. Number of thematic cooperation meetings organised.	1	1	Achieved (100%)	1 thematic meeting on detection of potential exclusion cases took place.
209. Level of satisfaction with the thematic meetings.	80%	92%	Exceeded (+15%)	
210. Number of periodic newsletters shared with members of the Exclusion Network.	4	4	Achieved (100%)	4 newsletters were shared. During the annual NCP meeting of the Exclusion Network, the members discussed proposals to improve their input to the newsletter. A written consultation was launched, based on that new elements will be developed.
211. Number of operational standards, indicators, guidance, best practices and practical tools in relation to exclusion developed or updated and published.	2	1	Not achieved (50%)	The EASO Screening Tool for detecting potential exclusion cases from Iraq was published in July.
212. Number of consultation meetings, including working group meetings, organised in order to develop operational standards, indicators, guidance, best practices and practical tools.	2	3	Exceeded (+50%)	For the development of the EASO Screening Tool for detecting potential exclusion cases from Syria, 3 working group meetings were held (a third meeting had to be organised because it was the first time that a new structure for the detection tool was developed and immediately implemented, which required more time than initially foreseen).
213. Number of activities and products developed to promote and roll out operational standards, indicators, guidance, best	2	2	Achieved (100%)	Cooperation between the Exclusion Network and the Genocide Network in the fight against impunity was strengthened.

practices and practical tools in relation to exclusion.				

5.2 Quality support to operations[5]

2 out of 4 targets were **exceeded** (50%)
2 out of 4 targets were **achieved** (50%)

Core business indicators	Forecast 2020	Actual by 31.12.2020	Status as of 31.12.2020	Additional information / explanation
214. Number of new tools developed or existing tools refined.	6	19	Exceeded (+217%)	19 tools were developed/refined (quality support provided in Italy, Greece, Cyprus, Malta).
215. Number of quality or procedural related queries answered or updated.	12	12	Achieved (100%)	12 quality/procedural queries were answered/updated (related to Italy, Greece, Malta, Cyprus, Finland).
216. Number of reviewed acts.	120	140	Exceeded (+17%)	140 acts were reviewed (related to Cyprus, Greece).
217. Number of quality reports produced.	6	6	Achieved (100%)	6 quality reports were produced (related to Italy, Greece, Cyprus).

5.3 Practical cooperation networks

14 out of 28 targets were **exceeded** (50%)
11 out of 28 targets were **achieved** (39%)
1 out of 28 targets were **not achieved** (4%)
2 out of 28 targets were **not applicable** (7%)

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[5] See indicators under 3.1, 3.2. 3.3, 3.4 and 3.6 on the Operating Plans and Roadmaps to which these activities contribute.

5.3.1 Vulnerability Experts Network

Core business indicators	Forecast 2020	Actual by 31.12.2020	Status as of 31.12.2020	Additional information / explanation
218. Number of meetings of the Vulnerability Expert Network (Steering Group 1, Advisory Group 1, Annual conference 1) organised.	3	3	Achieved (100%)	3 meetings were held (VEN Annual Conference, VEN Advisory Board meeting, VEN Steering Group meeting).
219. Number of thematic expert meetings organised.	3	4	Exceeded (+33%)	4 thematic meetings were held (on FGM and child marriage, MH, sexual orientation and gender identity).
220. Level of satisfaction with the meetings.	70%	90%	Exceeded (+29%)	Average satisfaction was 90% (FGM/child marriage 96%, 85.2%, 92.6%, 95.8%, 89.1%; MH 90%, SOGI 94.1%, annual conference 91.3%, advisory group 89.2%, steering group 76%).
221. Number of Periodic Updates shared with members of the Vulnerability Experts Network	2	1	Not achieved (50%)	1 EASO Periodic Update on Vulnerability covering the period January-June was shared.
222. Number of operational standards, indicators, guidance, best practices and practical tools in relation to vulnerable persons developed or updated.	5	7	Exceeded (+40%)	7 activities were completed (on age assessment, special needs and vulnerability assessment, referral, staff welfare, vulnerabilities and registration, mental health of applicants for international protection in Europe).
223. Number of working group meetings organised to develop operational standards, indicators,	9	11	Exceeded (+22%)	11 meetings were held (4 for SNVA tool working group, 3 for Referral Tool working group, 4 for Staff Welfare working group).

guidance, best practices and practical tools.			Exceeded	
224. Number of activities to promote operational standards, indicators, guidance, best practices and practical tools in relation to vulnerable persons.	4	10	Exceeded (+150%)	10 activities were completed (on children, CCCPA, age assessment, practical tools for the information of children, protection in mixed migration contexts, SOGICA, child protection, mental health of applicants for international protection).
225. Number of activities implemented to support Operations.	8	9	Exceeded (+13%)	9 activities were implemented (in relation to Malta, Cyprus, Greece, Italy, Spain, External Dimension).

5.3.2 Network of Dublin units

Core business indicators	Forecast 2020	Actual by 31.12.2020	Status as of 31.12.2020	Additional information / explanation
226. Number of Steering Group meetings of the Network of Dublin Units organised.	2	2	Achieved (100%)	2 meetings were held (in May and November).
227. Level of satisfaction with the NCP meetings of the Network of Dublin Units.	70%	94%	Exceeded (+34%)	Average satisfaction was 94% (1st SG meeting 95%, 2nd meeting 93.5%).
228. Number of thematic expert meetings organised.	4	8	Exceeded (+100%)	8 meetings were organised (on safely conducting Dublin Transfers during COVID-19, Dublin aspects of relocation of unaccompanied minors from Greece, Good Practices in organising Dublin Transfers, Information provision in the Dublin procedure, Dublin Liaisons in 2020, DubliNet and Dublin technical systems, contingency planning for Dublin Units, activities in retrospect and planned activities for 2021).
229. Level of satisfaction with the thematic meetings.	70%	93%	Exceeded (+33%)	Average satisfaction was 93% (from thematic expert and thematic meetings).

230. Number of periodic newsletters shared with members of the Network of Dublin Units.	4	4	Achieved (100%)	4 newsletters were shared (the Periodic Update of the EASO Network of Dublin Units, and Quarterly Reports on the Implementation of the Dublin III regulation).
231. Number of operational standards, indicators, guidance, best practices and practical tools in relation to the Dublin Regulation developed or updated and published.	3	5	Exceeded (+67%)	5 publications were prepared (EASO Guidance on Dublin procedure, additional recommendations on Dublin transfers during the COVID-19 pandemic, recommendations on the use of DubliNet, a survey regarding Information Provision in the Dublin Procedure, on UAMs under Dublin procedure).
232. Number of working group meetings organised to develop operational standards, indicators, guidance, best practices and practical tools.	4	4	Achieved (100%)	4 meetings were held (on development of recommendations on the use of DubliNet).
233. Number of activities and products developed to promote operational standards, indicators, guidance, best practices and practical tools in relation to the Dublin Regulation.	5	5	Achieved (100%)	5 activities were conducted (on implementation of the Dublin III Regulation, remote registration/lodging, remote registration, VEN annual conference, management of litigation processes by determining authorities).
234. Number of activities related to support to operations.	2	3	Exceeded (+50%)	3 activities were conducted (in Italy, Malta).

5.3.3 Network of reception authorities

Core business indicators	Forecast 2020	Actual by 31.12.2020	Status as of 31.12.2020	Additional information / explanation
235. Number of NCP meetings of the Network of Reception Authorities organised.	2	2	Achieved (100%)	2 NCP online meetings were conducted.
236. Level of satisfaction with the NCP meetings of the Network of Reception Authorities.	70%	90%	Exceeded (+29%)	Satisfaction from the 1st NCP meeting was 88.4% and from the 2nd meeting 91.15%.
237. Number of thematic expert meetings organised.	2	2	Achieved (100%)	2 thematic meetings (on Reception Contingency Capacity Management and Contingency Planning, on the Impact of COVID-19 in Reception).
238. Level of satisfaction with the thematic meetings.	70%	93%	Exceeded (+33%)	Satisfaction from the 1st thematic meeting was 91%, and from the 2nd 95%.
239. Number of periodic updates shared with members of the Network of reception authorities.	4	4	Achieved (100%)	4 periodic updates released (on Q4 2019 and Q1-Q3 2020).
240. Number of Reception Network Newsletters shared with members of the network and relevant stakeholders.	2	2	Achieved (100%)	2 newsletters were released (2nd and 3rd edition of the EASO Reception Newsletter).
241. Number of forums for senior managers and executive directors of Reception authorities	1	N/A	N/A	Physical meeting postponed to 2021 when travel restrictions will be lifted. As this is a new type of activity, it was considered important to have the first meeting of senior managers and executive directors in person. Due to COVID-19 related travel restrictions decision was taken to postpone the meeting to 2021.
242. Level of satisfaction with the forums of senior	80%	N/A	N/A	The meeting was not conducted therefore, no satisfaction level could be reported.

managers of Reception Authorities.				
243. Number of operational standards, indicators, guidance, best practices and practical tools in relation to reception developed or updated and published.	3	3	Achieved (100%)	EASO guidance on reception conditions: Operational standards and indicators, query report on lessons learnt from COVID-19 in Reception and on COVID-19 testing strategies in Reception.
244. Number of working group meetings organised to develop operational standards, indicators, guidance, best practices and practical tools.	6	6	Achieved (100%)	5 WG meeting for the development of EASO pilot toolbox on information provision in the context of Reception, 1 WG meeting on self-assessment with the beta version of the tool.
245. Number of activities and products developed to promote operational standards, indicators, guidance, best practices and practical tools in relation to reception.	4	5	Exceeded (+25%)	Dissemination of self-assessment tool with national authorities in Italy, presentation of EASO Reception COVID-18 reports and best practices to the EC, meeting with Reception authority in Romania to roll out the EASO Self-Assessment Tool, assessment of Reception conditions in Moria following the fire, a mission with MS experts to prospect, assess and report on possible locations for the building of a new RIC in Lesvos.

5.4 Cooperation with members of courts and tribunals[6]

4 out of 7 targets were **exceeded** (57%)
1 out of 7 targets was **achieved** (14%)
1 out of 7 targets was **nearly achieved** (14%)
1 out of 7 targets was **not achieved** (14%)

Core business indicators	Forecast 2020	Actual by 31.12.2020	Status as of 31.12.2020	Additional information / explanation
246. New sets of professional development materials consisting of a Judicial Analysis and/or a Judicial Trainer's Guidance Note (or other appropriate material) developed and made available to relevant stakeholders on a topic to be agreed in consensus with the network of court and tribunal members.	1	1	Achieved (100%)	1 development completed (on Judicial Analysis on Vulnerability in the context of applications for international protection).
247. Existing sets of professional development materials reviewed and, if necessary, updated.	4	3	Not achieved (75%)	Review of the professional development materials on Ending International Protection and on Qualification for International Protection, ongoing review on Introduction to the CEAS.
248. Number of professional development workshops or conferences organised.	10	11	Exceeded (+10%)	3 Professional Development Workshops in Malta, 1 online thematic meeting on judicial work in times of confinement, 5 professional development webinars on COI for EU+ Judicial Trainers, Evidence and Credibility Assessment, Asylum Procedures and the principle of non-refoulement, Detention of Applicants for international protection, COI,

[6] See indicators under 3.1, 3.2, 3.3, 3.4 and 3.6 on the Operating Plans and Roadmaps to which these activities contribute.

				meeting of the EASO Judicial Trainers' Pool, Operational Training for EASO interim Research Officers in Italy.
249. Number of participants in professional development meetings.	250	218	Nearly achieved (87%)	Intro to CEAS 11, Qualification for International Protection 13, Exclusion from International Protection 12, Pilot Webinar Series on COI Judicial Practical Guide 41, Evidence and Credibility Assessment 17, Thematic meeting 24, Asylum Procedures 20, Detention 15, COI 19, the EASO Judicial Trainer's Pool 40, Operational training for Research Officers 6.
250. Level of satisfaction of participants in professional development sessions.	80%	91%	Exceeded (+14%)	CEAS 98.80%, QIP 95.1%, Exclusion 96.6%, Pilot Webinar Series COI 86.8%, Evidence and Credibility Assessment 82.75%, Asylum Procedures 92.05%, Detention 92.23%, COI 95.87%, operational training for Research Officers 80%.
251. Number of coordination and planning meetings of the Network organised.	1	2	Exceeded (+100%)	Annual Coordination and Planning Meeting of the EASO Courts and Tribunals Network, and EASO Courts and Tribunals Network online meeting.
252. Number of biannual periodic newsletters shared with the Network.	1	2	Exceeded (+100%)	2 issues of the newsletter were distributed.

6. Horizontal activities

Multiannual programme and objectives

2 out of 6 multiannual targets were **on track** (33%)
1 out of 6 multiannual targets was **in delay** (17%)
2 out of 6 multiannual targets were **not applicable** (33%)
1 out of 6 multiannual targets had **no data** (17%)

Performance indicators	Targets	Actual by 31.12.2020	Status as of 31.12.2020	Additional information / explanation
Development and consolidation of the quality documentation, optimisation of procedures for efficiency gains and appropriate description of the processes. Adopting and implementing the Quality Management Action Plan.	100% of the Quality Management Action Plan implemented by the end of 2021.		No data	Out of 200 actions detailed in the Quality Management Action Plan and planned to be implemented by 31.12.2021, 45 actions have already been implemented by Q3.
Continued consultation with the Consultative Forum.	Full implementation as per the annual work programme.	113%	On track	All activities envisaged were carried out (see indicators no. 253-258). Considering CF meetings and consultations organised/launched, 9 meetings/consultations were held compared to the 8 originally envisaged.
ICT Strategy adapted to be sufficiently flexible to prepare for additional responsibilities and meet the expectations the Agency may face.	Implemented by end of 2021.	N/A	On track	The development of the next 3-year strategy is now established as an objective for ICT management for 2021.
Update the Agency's Communications Plan.	Updated annually.	0	In delay	The update will be done in December 2021.
Preparations for the EUAA Regulation timely undertaken.	Full implementation of the EUAA Roadmap.	N/A	N/A	In view of the recent developments in relation to the EUAA Proposal (the new Pact on Migration and Asylum presented in 2020), the Roadmap is being substantially reviewed.

				Concept Notes on all of the Priority Areas have been submitted to the MB as planned.
Introduction of the Agency's Press Report.	Implemented by end of January 2022.	N/A	N/A	The report will be published, as planned, by January 2022.

6.1 Consultative Forum and civil society

5 out of 6 targets were **exceeded** (83%)
1 out of 6 targets was **achieved** (17%)

Core business indicators	Forecast 2020	Actual by 31.12.2020	Status as of 31.12.2020	Additional information / explanation
253. Number of Consultative Forum meetings.	2	3	Exceeded (+50%)	1 ad hoc consultation meeting held with the Red Cross EU Office, a thematic webinar on the impact of COVID-19 on asylum in the EU, 10th edition of the Consultative Forum 'EASO then and now: Evolution of EASO's activities over the last 10 years and future perspectives'.
254. Number of CSOs participating in CF meetings and extent of satisfaction.	250	300	Exceeded (+20%)	Around 100 participants on the CF thematic webinar and around 200 on the Annual Consultative Forum. The extent of satisfaction was at 73.5%.
255. Number of consultations with CSOs on key Agency documents.	6	6	Achieved (100%)	6 electronic consultations were carried out with 214 contributions received.
256. Number and examples of areas (and related Agency activities) in which select CSOs were invited to participate (e.g. activities related to training, COI, asylum processes, vulnerable persons).	5	6	Exceeded (+20%)	CSOs were involved in reference groups on training; reference groups on practical tools; the Advisory Group of the Vulnerability Expert Network, consultations on vulnerability; on reception, on information and communication needs of applicants in Malta; running of the RSF in Turkey, the Resettlement and Humanitarian Admission Network meeting; COI activities.
257. Number of activities of other JHA Agencies' Consultative Fora in which the Agency participated or contributed to.	3	6	Exceeded (+100%)	Participation on the 21st, 22nd, 23rd Frontex CF meeting, thematic online FX CF meeting on child protection, online meeting between the FX CF and FRO, FRA Fundamental Rights Forum.

258. Number of civil society networks in which the Agency participated.	2	3	Exceeded (+50%)	Participation on the Contact Group on Human Rights Defenders meeting, 6th meeting of the network of civil dialogue practitioners, a webinar on Immigration Detention and its humanitarian impact and alternatives.

6.2 EASO communication

7 out of 19 targets were **exceeded** (37%)
3 out of 19 targets were **achieved** (16%)
2 out of 19 targets were **nearly achieved** (11%)
6 out of 19 targets were **not achieved** (32%)
1 out of 19 targets was **not applicable** (5%)

Core business indicators	Forecast 2020	Actual by 31.12.2020	Status as of 31.12.2020	Additional information / explanation
259. Number of information meetings and events held.	15	7	Not achieved (47%)	Due to COVID-19, such meetings and events were almost impossible to hold.
260. Number of press conferences and meetings.	5	5	Achieved (100%)	
261. Number of press interviews.	35	37	Exceeded (+6%)	
262. Number of press visits in Member States.	4	1	Not achieved (25%)	TV crew visit to Lesvos. No visits since early Q2 due to COVID-19 travel and health restrictions.
263. Number of press releases.	20	21	Exceeded (+5%)	
264. Percentage change in the Agency website page views.	+15%	+10%	Not achieved (67%)	
265. Percentage change in the Agency website average monthly users.	+15%	+26%	Exceeded (+73%)	
266. Percentage change in social media followers (on Twitter, Facebook, LinkedIn, Instagram and YouTube).	+25%	+42%	Exceeded (+68%)	

267. Percentage change in monthly average social media reach.	+150%	+113%	Not achieved (75%)	Social media reach more than doubled despite a challenging year. EASO now has one of the most followed social media suite of any EU Agency.
268. Number of translated dossiers.	40	55	Exceeded (+38%)	
269. Number of published dossiers.	1,000	985	Nearly achieved (99%)	Publications carried out on demand. Considering the unique nature of the year, this is considered a particular achievement.
270. Number of the Agency newsletters published.	4 (quarterly)	4	Achieved (100%)	
271. Number of social media campaigns organised.	4	8	Exceeded (+100%)	Includes campaigns which were ongoing at the end of the reference period.
272. Number of integrated communication campaigns organised.	2	6	Exceeded (+200%)	Includes campaigns which were ongoing at the end of the reference period.
273. Number of Brown Bag Lunches.	8	6	Not achieved (75%)	Planned Brown Bag Lunches in Q2 had to be cancelled due to outbreak of COVID-19 and resumed remotely.
274. Number of Core Business Briefings.	6	5	Nearly achieved (83%)	Planned Core Business Briefings in Q2 had to be cancelled due to outbreak of COVID-19 and resumed remotely.
275. Number of All Staff Meetings.	2	2	Achieved (100%)	
276. Number of Away Days.	1	N/A	N/A	
277. Number of information sessions held.	15	7	Not achieved (47%)	Due to COVID-19, such meetings and events were almost impossible to hold.

6.3 Stakeholder relations

5 out of 7 targets were **exceeded** (71%)
1 out of 7 targets was **nearly achieved** (14%)
1 out of 7 targets was **not applicable** (14%)

Core business indicators	Forecast 2020	Actual by 31.12.2020	Status as of 31.12.2020	Additional information / explanation

278. Number of meetings of relevance to the Agency's activities with relevant stakeholders, also in the margins of events.	50	82	Exceeded (+64%)	Bilateral meetings were held with DG Home, Presidency, Council, Member States, EP and other relevant stakeholders, including those organised in the margins of events.
279. Number of meetings or activities in cooperation with JHA and other EU Agencies.	35	45	Exceeded (+29%)	Meetings of the EU Agencies Network and of the JHA Agencies Network (JHAAN), Frontex MB, meetings organised by other Agencies or meetings organised by EASO and among the Agencies' BLOs, input to various documents/products issued by other Agencies and by the JHAAN, finalisation and signature of EASO-eu-LISA Cooperation Plan 2020-2022; obtaining of Associate Status for EASO in the European Network for investigation and prosecution of genocide, crimes against humanity and war crimes (Genocide Network).
280. Number of meetings or activities in cooperation with International Organisations.	20	40	Exceeded (+100%)	Regular meetings with UNHCR LO, UNHCR and IOM, bilateral meetings with ICMPD, conferences organised by OECD, ICMPD, American University Cairo, Senior Management Consultations with UNHCR, virtual meeting with IRCC Canada, Budapest Process webinar.
281. Number of networking events or receptions organised.	1	N/A	N/A	Due to the ongoing COVID-19 situation and the increased measures taken by the relevant governments, such events/receptions could not be organised. Informal bilateral meetings with Ambassadors were held individually.
282. Number of relevant external meetings whenever attended and invitations responded positively to.	100	112	Exceeded (+12%)	Participation on meetings with the Council, European Parliament, European Commission, EMN, Blueprint Network, conferences/events of the Presidency, Member States, International Forum on Migration Statistics, universities, think-thanks, etc.
283. Number of VIP meetings organised and coordinated.	40	66	Exceeded (+65%)	High-level bilateral meetings were organised with COREPER Ambassadors, IOM Director, Ministers of Interior/Migration/State secretaries, European Commissioners, other COM/DG HOME high-level officials, MEP, national authorities, JHA Agencies Directors, High ranking officials from GSC, etc.

284. Number of email enquiries responded to.	1,500	1,381	Nearly achieved (92%)	All emails (excluding spam) were responded to. The forecast was the estimate of the number of enquiries that were expected.

6.4 Information and communications technology

9 out of 27 targets were **exceeded** (33%)
9 out of 27 targets were **achieved** (33%)
1 out of 27 targets was **nearly achieved** (4%)
3 out of 27 targets were **not achieved** (11%)
5 out of 27 targets were **not applicable** (19%)

Objective 1 (34)	Enhanced documentation, collaboration and exchange of information by technological means.			
Indicator	**Target for 2020**	**Actual by 31.12.2020**	**Status as of 31.12.2020**	**Additional information / explanation**
285. Number of indicators captured.	70%	0	N/A	Solution rolled out and in pre-production. Aiming at capturing at least 14 indicators by the end of the year, but business decided to postpone the roll-out to production. Indicators not yet captured in production.
286. Number of stakeholder organisations using the available systems.	100%	0	N/A	Solution rolled out and in pre-production. Business decided to postpone the roll-out to production. Indicators not yet captured in production.
287. Number of connected agencies for information exchange.	5	0	N/A	Solution rolled out and in pre-production. Business decided to postpone the roll-out to production. Indicators not yet captured in production.
Objective 2 (35)	**Address the need for greater understanding of the CEAS (IT) implementation, capacity and surrounding circumstances.**			
Indicator	**Target for 2020**	**Actual by 31.12.2020**	**Status as of 31.12.2020**	**Additional information / explanation**
288. Number of IT workshops with Member States.	2	2	Achieved (100%)	Workshops/meetings and exploration on CEAS IT held in the remit of GDISC and German Presidency. Survey on CEAS IT applications support and investment produced.
289. Number of feedbacks from Member State colleagues.	15	14	Nearly achieved (93%)	Survey and feedback were answered by 14 EU+ countries.

Indicator	Target for 2020	Actual by 31.12.2020	Status as of 31.12.2020	Additional information / explanation
290. Usage of our media collection models by our partners.	2	N/A	N/A	This indicator is to be discontinued, as it won't be pursued.
Objective 3 (36)	**Transform operational processes to digital format and support further development of tools.**			
Indicator	**Target for 2020**	**Actual by 31.12.2020**	**Status as of 31.12.2020**	**Additional information / explanation**
291. Number of systems integrated or feeding EAIPS.	3	4	Exceeded (+33%)	Country Operation pages integrated in EAIPS, automated expert functionality deployed and feeding other systems. PowerBI and Paperless integrated with EAIPS. Planned integration between Paperless and with MiMa ongoing.
292. Number of contracts established for the standby package.	4	4	Achieved (100%)	Satellite communications and pan-European landline communications contracts, centralised cloud-based videoconferencing and collaboration platforms.
Objective 4 (37)	**Increase maturity and sustainability of the Agency's flagship initiatives**			
Indicator	**Target for 2020**	**Actual by 31.12.2020**	**Status as of 31.12.2020**	**Additional information / explanation**
293. Cost reduction for IDS.	€20,000	€80,000	Exceeded (+300%)	Country Operations page migrated to EAIPS. Licensing no longer needed and cost of development of the IDS Operations page no longer necessary.
294. Number of cases assessed in the RSF IT system.	1,500	2,888	Exceeded (+93%)	The IT system supported approximately 341 cases, representing 1017 individuals, and generated 2,888 files.
295. COI available to external stakeholders via upgraded API.	API will be available to any MS that wishes to update the connection technology to the COI portal	N/A	N/A	Development has started and first pilot already executed. Tests for the publication of the technology refresh are ongoing, according to the option to call SharePoint from Logic Apps and using the SharePoint out-of-the box API. The future technology adoption of the portal is not yet decided, considering the ongoing review of its strategy, limiting the sharing of the technology for testing.
296. Integration of LMS with ETIS and ETNAT.	Both ETIS and ETNAT are	100%	Achieved (100%)	ETIS and ETNAT are integrated with LMS.

		Target for 2020	Actual by 31.12.2020	Status as of 31.12.2020	Additional information / explanation
				integrated with the LMS	
297.	Adoption of QAT tool among Member States.	1,000 downloads	1,261	Exceeded (+26%)	670 downloads, 591 unique downloads.
298.	Mobile toolbox adoption rate.	100 downloads	592	Exceeded (+492%)	501 downloads on Android and 91 on iOS.
299.	Number of countries in ExDim catalogue.	2	4	Exceeded (+100%)	4 countries were featured in the new TC platform (Egypt, Turkey, North Macedonia and Serbia).
300.	Public Website survey reviews.	2	2	Achieved (100%)	2 surveys were launched (1 internal, 1 external).

Objective 5 (38)	Enable the automation of processes and increase efficiency in the workplace. Further align ICT processes and procedures with international standards.				
Indicator		**Target for 2020**	**Actual by 31.12.2020**	**Status as of 31.12.2020**	**Additional information / explanation**
301.	Number of stakeholders managed via CRM.	4,000	19,444	Exceeded (+386%)	The tool was launched and in production, user teams were trained (including internal users).
302.	Number of budget processes mapped.	7	0	Not achieved (0%)	Planning tool still under discussion with stakeholders. Business case launched and is under review by management. Project was waiting for the new Head of Planning Sector to take up duties.
303.	Number of digital FTE planning processes.	3	0	Not achieved (0%)	Planning tool still under discussion with stakeholders. Business case launched and is under review by management. Project was waiting for the new Head of Planning Sector to take up duties.
304.	Number of available DWH data marts per subject area.	2	2	Achieved (100%)	Training Events and Training cockpit.
305.	Number of suitable corporate applications migrated to cloud.	4	9	Exceeded (+125%)	MedCOI, Project Server, Email, Landline telephony, LMS, Bizzdesign (Enterprise Architect), Skype for Business, ERDMS, ETNAT.
306.	Observation of SLA thresholds for service requests and incidents.	5/5 thresholds observed	5/5	Achieved (100%)	All priority thresholds were met or exceeded, monitoring ongoing (P1 92%, P2 85.5%, P3 81%, P4 91%, P5 95%).

307. Business continuity statistics.	97%	98%	Exceeded (+1%)	9 days of accumulated downtime of 365 days (Paperless maintenance cycle and other accumulated planned maintenances).
308. Number of audit observations/findings.	0	0	Achieved (100%)	ECA audit of the beginning of the year has not been reported back yet. No ECA findings on IT processes and procedures in 2020 report.
309. Number of additional organizational workflows managed via paperless.	10	10	Achieved (100%)	Assets hand-over, Appointment of opening board, Document management (Elimination of files), Evaluation and award, Exceptions and non-compliance events, Launch the Procurement Request, Circulation of files for ED signature, Launch of Recruitment Procedure, Reimbursement of COVID office expenses, Recruitment of Interims (3 types).
310. Number of contracts with automated monitoring.	100%	100%	Achieved (100%)	Tool is completed and it scopes all existing contracts in ABAC but lacks verification from procurement colleagues.
311. Number of HR workflows digitalized.	7	5	Not achieved (71%)	Onboarding and request to attend training workflows completed. Launch of Recruitment Procedure, Reimbursement of COVID office expenses, Recruitment of Interims (3 types).

6.5 Other horizontal activities

2 out of 5 targets were **exceeded** (40%)
1 out of 5 targets was **achieved** (20%)
1 out of 5 targets was **nearly achieved** (20%)
1 out of 5 targets was **not applicable** (20%)

Core business indicators	Forecast 2020	Actual by 31.12.2020	Status as of 31.12.2020	Additional information / explanation
312. % of managers that have followed regularly training on the internal control framework during the last two years.	>85% assessing 'satisfactory'	86%	Exceeded (+1%)	31 out of the 36 managers followed training on the Internal Control Framework.
313. % of timely implementation of corrective actions to address internal control deficiencies identified during	90%	86%	Nearly achieved (96%)	50 out of 58 corrective actions to address internal control deficiencies were timely implemented. 5 corrective actions were also implemented ahead of pre-agreed deadline.

Indicator	Target for 2020	Actual by 31.12.2020	Status as of 31.12.2020	Additional information / explanation
the internal control self-assessment exercise.				
314. % of timely implementation of agreed mitigating actions in the Agency's Risk Register.	80%	100%	Exceeded (+25%)	All mitigating measures against significant and critical risks identified during risk management exercise due in 2020 were implemented.
315. Assessment of the Agency processes requiring notification to DPO including DPIA (Data Protection Impact Assessment).	100%	100%	Achieved (100%)	All assessments were timely completed (6 in total: 3 new activities were notified by data controllers to the DPO, additional 3 activities were updated).

Objective 1 (39)	Implement preparatory measures for the eventual transition into the EUAA			
Indicator	**Target for 2020**	**Actual by 31.12.2020**	**Status as of 31.12.2020**	**Additional information / explanation**
316. Implementation of preparatory measures as planned in the EUAA Roadmap.	100%	N/A	N/A	In view of the recent developments in relation to the EUAA Proposal (the new Pact on Migration and Asylum presented in 2020), the Roadmap was substantially reviewed. Concept Notes on all of the Priority Areas were submitted to the MB as planned.

6.6 Human resources

1 out of 2 targets was **achieved** (50%)
1 out of 2 targets was **nearly achieved** (50%)

Objective 1 (40)	Implement the staff recruitment plan for 2020.			
Indicator	**Target for 2020**	**Actual by 31.12.2020**	**Status as of 31.12.2020**	**Additional information / explanation**
317. Implementation of the Establishment Plan.	>95%	84%	Nearly achieved (88%)	Establishment Plan (AD + AST): 289 filled + 17 offered/accepted = 306 out of 366 EP posts (83.6%). Overall recruitment plan (AD + AST + SNE + CA, without grant funded positions): 380 filled + 39 offered/accepted = 419 out of 500 posts (83.8%).
318. Staff turnover	<7%	6%	Achieved (86%)	19 departures (2 in January; 1 in February; 1 in March; 2 in April; 3 in May, 2 in June, 1 in July, 3 in August, 1 in September, 1 in November, 2 in December).

6.6.1 Executive Director's KPIs

2 out of 3 targets were **exceeded** (33%)
1 out of 3 targets was **achieved** (67%)

Core business indicators	Forecast 2020	Actual by 31.12.2020	Status as of 31.12.2020	Additional information / explanation
319. Timely preparation of the programming document (SPD 2021-2023) for the MB adoption.	100%	100%	Achieved (100%)	The SPD 2021-2023 was drafted and prepared for endorsement and adoption timely (adoption deadline 30.09/N-1, adopted 24.09.2019, amendment deadline 31.01/N, adopted 28.01.2020).
320. Implementation of planned activities, utilisation of planned financial and human resources.	≥80%	85%	Exceeded (+6%)	Work Programme 2020 implementation: 77% (cumulative progress: Q1 47% -> Q2 57% -> Q3 74% -> Q4 77%). Budget 2020 implementation: 95% (Commitment Appropriations of EU subsidy, C1 credits). Recruitment Plan 2020 implementation: 84% (419 filled out of 500 posts, incl. offer letters).
321. Timely implementation of audit and governance related (governance action plan, internal control self-assessment, risk assessment, ex post controls, etc.) recommendations.	≥80%	83%	Exceeded (+4%)	Timely implementation rates: • ICSA 86% • IAS (based on EASO self-assessment) 100% • ECA (closed in report on financial year 2019) 47% • risk register 100% Financial ex-post controls were not implemented on the financial year 2020. The governance action plan was discontinued as alternative measures were put in place.

PART II (a): MANAGEMENT

II.1 Management Board

II.1.1 Significant items approved or decided by the Management Board (MB)

In line with Article 29 of the EASO founding Regulation, the MB is the planning and monitoring body of the Agency and ensures that the Agency performs the duties assigned to it.

The MB is composed of one representative from each Member State and two members from the European Commission, and a non-voting representative of the United Nations High Commissioner for Refugees (UNHCR). Denmark is invited to attend MB meetings without the right to vote. Countries that concluded agreements with the EU and participate in the Agency's work, i.e. Iceland, Liechtenstein, Norway and Switzerland, participate as observers in the MB.

In 2020, the MB convened via video conference for its 35th, 36th and 37th meeting (18 June, 17 September and 10 November 2020). The MB Preparatory Group also met on 13-14 February (10th meeting, Brussels) and virtually on 27 May (11th meeting), 27 August (12th meeting) and 20 October 2020 (13th meeting).

According to Article 8 of Rules of procedure of the MB of EASO[7], decisions of the MB may be taken by written procedure, on a proposal from the Chairperson, provided one third of the Members with a right to vote do not object.

The MB adopted/endorsed the following documents and decisions by means of written procedure in 2020:

- adopted the minutes of the EASO 34th MB meeting (14 April 2020)
- appointed two reporting officers to conduct the annual appraisal of the Executive Director (22 April 2020)
- approved the new MB Preparatory Group configuration (30 April 2020)
- adopted the EASO Annual General Report 2019 (9 June 2020)
- endorsed the Draft Single Programming Document 2021 - 2023, including Draft Work Programme 2021 and Draft Budget 2021 (19 June 2020)
- adopted MB Decision no 61 on the EASO Anti-Fraud Strategy 2020 - 2022 (6 July 2020)
- adopted MB Decision no 64 on internal rules concerning restrictions of certain rights of data subjects in relation to the processing of personal data in the framework of the functioning of EASO (6 July 2020)
- adopted Amendment 1 of the EASO Budget 2020 and Revision 4 of the EASO Single Programming Document 2020-2022 including Work Programme 2020 (14 August 2020)
- adopted a new EASO Organogram (4 September 2020)
- endorsed two concept notes on the EU Agency for Asylum priority areas (11 September 2020)
- endorsed the EASO Country Guidance Note on Syria (18 September 2020)
- adopted the EASO Single Programming Document 2021 - 2023, including Work Programme 2021 and Budget 2021 (29 September 2020)

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[7]   Decision no 9 of the Management Board of the European Asylum Support Office of 19 June 2012 on the Rules of Procedure of the Management Board of EASO.

In addition to these, the MB adopted five restricted decisions by way of written procedure:

- Management Board Decision no 62 of 12 June 2020
- Management Board Decision no 66 of 28 July 2020
- Management Board Decision no 67 of 28 July 2020
- Management Board Decision no 69 of 25 September 2020
- Management Board Decision no 70 of 14 October 2020

In line with Article 8 of the MB Rules of procedure all the decisions were taken unanimously.

At its meetings, the MB took the following decisions:

- adopted EASO Final Accounts 2019 including the accompanying opinion of the Management Board (18 June 2020)
- adopted EASO Consolidated Annual Activity Report (CAAR) 2019 (18 June 2020)
- adopted the EASO Asylum Report 2020 (18 June 2020)
- Minutes of the 35th EASO Management Board meeting (17 September 2020)
- Minutes of the 36th EASO Management Board meeting (10 November 2020)

II.1.2 Significant risk and control issues signalled to and discussed with the Management Board

During 2020, the Executive Director, with the support of the Internal Control Coordinator put in place the following new policies and controls activities seeking to effectively oversee and report significant risks and internal control issues to Management and the Management Board, as well as ensuring the development and performance of internal control:

- In accordance with the Internal Control Framework of EASO[8], the Executive Director adopted a new methodology[9] for the assessment of internal control systems and defined internal control monitoring criteria for 2020-2021 to ascertain whether components of internal control are present and functioning, and that significant risk and control issues are signalled to and discussed with the Management and, when appropriate, with the MB;
- Regarding risk management, a new manual[10] was developed in 2020, based on lessons learnt, to ensure that the risk management exercise is better aligned with the planning and programming cycle, and that significant and critical risks, together with the appropriate risk responses, are reported to Management and, when appropriate, to the MB in a timely manner;
- A fraud risk management methodology was developed to provide an overview of the steps and benefits of the newly established fraud risk management processes[11], resulting in the adoption of the EASO Anti-Fraud Strategy 2020-22.[12]

More detailed information on the above processes and policies related to reporting and monitoring of significant and critical risk and control issues is presented in Part III and Part IV of this Report.

Appropriate working arrangements and communication channels, other than the Consolidated Annual Activity Report and the Single Programming Document, are in place to facilitate the monitoring of the Agency's significant and critical risk and control issues identified by the control activities described

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[8]   Management Board Decision no. 42 of 21 December 2018 adopting a new Internal Control Framework of EASO.
[9]   EASO/EDD/2020/142 of 26 October 2020.
[10] EASO/EDD/2020/117 of 16 December 2020.
[11] EASO/EDD/2020/078 of 8/04/2020.
[12] EASO/MB/2020/067 of 6/07/2020.

above by the MB. For each Preparatory Group and MB meeting, EASO prepares cover notes with relevant supporting documents on the state of play of internal control, with a particular focus on the follow up on implementation of corrective actions as regards to IAS and ECA's findings, state of play of the corrective actions of the internal control deficiency register and action plan and developments in risk management. Since Q4 2020, the state of play of the implementation of the Fraud Risk Register Action Plan is also a part of the cover notes to the MB.

Further information and details about the internal control action plans is available in Annex IX and Annex X.

II.2 Major developments

COVID-19 had a significant impact on the organisation. In the Human Resources domain, this resulted in an overhaul of recruitment procedures. Due to the high priority given on filling posts – over one hundred new posts were to be filled - some backlog from the past year had to be handled as well as the replacement of departing staff. EASO therefore swiftly and effectively moved its entire selection procedure on-line. This created a considerable additional workload for HR staff and delayed ongoing selections. Despite this, EASO increased its implementation rate (2019 80%, 2020 83.6%) and kept turnover levels at healthy levels.

Other impacts were felt on the way EASO train and induct staff and all procedures were immediately moved online.

In 2019, the legal function was re-established, and gradually reinforced throughout 2019 and 2020. In 2020 the Legal Affairs and Data Protection Sector (LDPS) was created within the Executive Office. The sector is responsible for matters related to Legal Affairs, Data Protection, EU Ombudsman, and Public Access to Documents. During 2020 the LDPS demonstrated its value by advising and supporting the Executive Director and management in implementing EASO's mandate. LDPS contributed to ensuring a sound legal environment for the overall functioning of the Agency, by providing legal advice on strategic matters and in all matters having legal implications. Additionally, LDPS handled litigation and pre-litigation, including representing the Agency in court proceedings, in particular before the European Court of Justice.

EASO continued to strive towards full compliance with all internal control principles, through regular assessments to measure their effectiveness and to improve the efficiency of its internal control system. Implementation of the internal control framework has been further reinforced with an ex-post controls' function, which contributes to the overall effectiveness of the internal control framework, by conducting self-assessments and annual reviews. EASO has also revised the risk management procedure for identification, assessment and response to potential issues that could affect the implementation of the Agency's activities and the achievement of its objectives. Additionally, EASO has implemented the Quality Management and Evaluation Sector and the Corporate Planning, Monitoring and Reporting Sector. Both sectors will strengthen the governance structure of EASO ensuring readiness for new challenges and enhancing the agency's robustness in the field of quality, evaluations, planning, monitoring and reporting.

II.3 Budgetary and financial management

The EASO estimates of revenues and expenditures (budget) and Single Programming Document (SPD) 2020-2022, including the Work Programme 2020 (WP) were adopted by the MB in September 2019. At the time, the envisaged budget of €138 million for 2020 was based on the Draft EU Budget 2020 proposed by the European Commission in July 2019. The final EU general budget 2020 adopted by the Budgetary Authority at the end of November 2019 was €114 million, (-€24.7 million).

To mitigate the impact of the significant reduction on planned operational activities (under budget Title 3 – Operational Expenditures), adjustments to the budget and WP were necessary. Consequently, EASO identified and reallocated funds for the amount of €6.54 million from Title 1 (Staff Expenditure) and Title 2 (Infrastructure and Operating Expenditure) to Title 3 (Operational Expenditures) of the budget. Moreover, Associate Countries' (AC) funds carried over to 2020 totalling €9.2 million were distributed across operational budget items in Title 3 and included in the WP.

The revised EASO budget 2020 and SPD 2020-2022, including the Work Programme 2020 were adopted by the MB on 28 January 2020.

II.3.1 Implementation of appropriations

Income in 2020

The main source of income of EASO in 2020 was as usual the EU contribution followed by the AC contributions, a grant from the EC and a Member States voluntary contribution. The below graph shows the composition of EASO revenues in 2020.

Budget execution of income appropriations per fund source (does not include the carried over amounts):

Income appropriations					
Budget title	Fund source	Description	Current budget (€)	Revenue received (€)	Remaining balance (€)
2	IC1	EU contribution (Commission subsidy - titles 1, 2 and 3)	124,073,000.00	124,073,000.00	0.00
3	IR1	Associate countries contributions	6,363,611.49	6,363,611.49	0.00
4	IC4	Miscellaneous income	0.00	0.00	0.00
	IR1	Other contributions	0.00	550,000.00	0.00
	IR11		0.00	0.00	0.00
5	IC1	Administrative operations	0.00	0.00	0.00
	IC1	Miscellaneous income	0.00	0.00	0.00
	IC4		0.00	74,597.57	0.00
		Total income	**130,436,611.49**	**131,061,209.06**	**0.00**

Notes:
- Miscellaneous income was not budgeted.
- All miscellaneous income relates to recovery of expenses.

Expenditure in 2020

Overall budget execution (all fund sources)

The following tables show the overall budget execution in 2020 per budget title and fund source for CA and PA, including:
- C1: funds from the EU general budget;
- C4: amounts recovered in 2020;
- C5: amounts recovered in previous years;
- C8: automatic carry-overs from previous year(s);
- R0: associate countries' contributions and grants.

Budget execution of commitment appropriations per fund source:

Budget Title	Fund Source	CA budgeted (€)	CA implemented (€)	CA %
Title 1 -Staff expenditure	C1	33,731,661.00	31,068,444.16	92.10%
	C4	15,291.24	13,526.50	88.46%
	C5	2,986.73		0.00%
	C8	1,950,030.02	1,253,972.46	64.31%
Total Title 1		35,699,968.99	32,335,943.12	90.58%
Title 2 – Infrastructure and operating expenditure	C1	14,514,869.00	13,442,931.63	92.61%
	C4	19,880.33		0.00%
	C8	4,193,989.34	3,729,866.49	88.93%
	R0	10,213.40	1,000.00	9.79%
Total Title 2		18,738,952.07	17,173,798.12	91.65%
Title 3 – Operational expenditure	C1	75,826,470.00	73,533,607.97	96.98%
	C4	39,426.00	20,168.00	51.15%
	C5	7,631.33	6,499.00	85.16%
	C8	17,143,871.66	14,676,419.45	85.61%
	R0	17,176,950.94	2,160,470.17	12.58%
Total Title 3		110,194,349.93	90,397,164.59	82.03%
Title 4 – Other external projects	R0	1,146,996.52	1,120,368.90	97.68%
Total Title 4		1,146,996.52	1,120,368.90	97.68%

Budget execution of payment appropriations per fund source:

Budget Title	Fund Source	PA budgeted (€)	PA implemented (€)	PA %
Title 1 -Staff expenditure	C1	33,731,661.00	29,881,136.19	88.58%
	C4	15,291.24	13,348.92	87.30%
	C5	2,986.73		0.00%
	C8	1,950,030.02	1,253,972.46	64.31%
Total Title 1		35,699,968.99	31,148,457.57	87.25%
Title 2 – Infrastructure and operating expenditure	C1	14,514,869.00	7,903,171.55	54.45%
	C4	19,880.33		0.00%
	C8	4,193,989.34	3,729,866.49	88.93%
	R0	10,213.40		0.00%
Total Title 2		18,738,952.07	11,633,038.04	62.08%
Title 3 – Operational expenditure	C1	75,826,470.00	62,602,122.17	82.56%
	C4	39,426.00	20,168.00	51.15%
	C5	7,631.33	7,599.00	99.58%
	C8	0.00		0.00%
	R0	17,176,950.94	860,287.74	5.01%

Total Title 3		93,050,478.27	63,490,176.91	68.23%
Title 4 – Other external projects	R0	1,146,996.52	479,464.45	41.80%
Total Title 4		1,146,996.52	479,464.45	41.80%

Contribution from the general budget of the European Union (EU subsidy)

The EU subsidy received by EASO increased from €96.68 million of CA and PA in 2019 to €124.07 million of CA and PA in 2020 (+ €27.39 million). EASO implemented 95.14 % of the CA and 80.91 % of the PA.

Budget title	CA budgeted (€)	CA executed (€)	CA (%)	PA budgeted (€)	PA executed (€)	PA (%)
Title 1	33,731,661.00	31,068,444.16	92.10%	33,731,661.00	29,881,136.19	88.58%
Title 2	14,514,869.00	13,442,931.63	92.61%	14,514,869.00	7,903,171.55	54.45%
Title 3	75,826,470.00	73,533,607.97	96.98%	75,826,470.00	62,602,122.17	82.56%
Total	**124,073,000.00**	**118,044,983.76**	**95.14%**	**124,073,000.00**	**100,386,429.91**	**80.91%**

Despite the complexity related to the COVID-19 outbreak in terms of budget management, the Agency managed to reach an overall implementation rate of commitment appropriations (CA) for the year of 95.14%, in line with expectations.

The execution rate of payment appropriations (PA) was of (81%). This rate is explained by the negative effect of the COVID-19 outbreak on the timing of the implementation of contracts (delayed), travel for missions and meetings (almost fully cancelled) as well as initial delays in recruitment and taking up duties for new staff (postponed to later in the year).

Execution of external assigned revenues - R0 credits

R0 credits of EASO for 2020 corresponded to contributions from:
- Associate Countries, namely the Kingdom of Norway, the Swiss Confederation and the Principality of Liechtenstein,
- The instalment carried over from 2019 for the ad hoc grant agreement signed by EASO as beneficiary with the European Commission,
- Direct voluntary contributions from Member States for the RDPP NA regional project.

1. Associate countries contributions

Following the signed political agreements with the Kingdom of Norway, the Swiss Confederation and the Principality of Liechtenstein for their participation in EASO's activities, their annual contribution (calculated in accordance with GDP as a percentage of the GDP of all participating States) was established as follows:
- €2,299,562.27 from the Kingdom of Norway
- €4,031,118.41 from the Swiss Confederation
- €32,930.81 from the Principality of Liechtenstein

The Arrangements do not earmark the funds for specific activities. EASO has allocated the funds on a separate item of expenditure of the budget 2020 (budget item B03601) to transparently show the funds necessary to cover other operational expenditure which may require quick mobilisation if unforeseen or urgent operational activities arise.

2. IPA grant - Phase II

On 20 December 2018 EASO signed a Grant Contract with the Commission for the implementation of the "Regional Support to protection-sensitive migration management system in the Western Balkans and Turkey – Phase II – Contract 3" and the first pre-financing amounting €742,040.50 was received on 24 January 2019. The amount of €596,997 was carried over from 2019 to 2020. Payment appropriations executed in 2020 amounted €318,913. The second instalment has been postponed to 2021.

3. Direct Member States contributions to EASO revenue and expenditures

EASO submitted under the umbrella of RDPP NA, a proposal for a regional pilot project with focus on fostering regional peer-to-peer exchanges for capacity development related to asylum and reception, with emphasis on the establishment of relevant national asylum-related legislation and systems in key countries in North Africa.

For this purpose, EASO signed already an agreement with the Czech Republic on the modalities for the voluntary financial contribution to the EASO – Third Country Support, Middle East and North Africa (MENA) Activities on the 03/09/2020 and received the contribution in one instalment of €550,000 which has been posted in Title 4. A similar agreement with Denmark has been signed in 2020 and contributions are to be paid and incorporated in the budget in 2021.

Execution of R0 credits per Title

The R0 credits allocated in Title 2 and 3 correspond to the contributions of the Kingdom of Norway, the Swiss Confederation and the Principality of Liechtenstein carried over from 2019 to the 2020. Those in Title 4 correspond to the instalments of the IPA II grant agreement carried over from 2019 to the 2020 and to the direct contribution received from Czech Republic.

Budget Title	CA budgeted	CA executed	CA %	PA budgeted	PA executed	PA %
Title 2	10,213.40	1,000.00	9.79%	10,213.40		
Title 3	17,176,950.94*	2,160,470.17	12.58%	17,176,950.94	860,287.74	5.01%
Title 4	1,146,996.52**	1,120,368.90	97.68%	1,146,996.52	479,464.45	41.80%
Total	18,334,160.86	3,281,839.07	17.90%	18,334,160.86	1,339,752.19	7.31%

II.3.2 C1 credits Commitments for actions extending for more than one financial year

The Financial Regulation provides, generally, that a budgetary commitment needs to be made for an amount covering the total amount foreseen in the respective legal commitment.

Non-differentiated C1 appropriations (Title 1 and Title 2) corresponding to obligations duly contracted at the close of the financial year and not yet paid, are carried over automatically to the following financial year, together with the payment appropriations. EUR 6,727,068.05 have been carried over from 2020 to 2021 in Title 1 and 2.

Differentiated C1 appropriations (Title 3) corresponding to obligations duly contracted at the end of the financial year and not paid yet, are carried over automatically to the following financial year and become C8 appropriations, without corresponding payment appropriations.

A total amount of € 25,606,805.25 was carried over from 2020 to 2021 in Title 3, out of which the amount of €771,754 corresponds to a carry-over from 2019 to cover payments for ongoing multi-annual contracts/legal obligations.

The main components of the automatic carry over were pre-recruitment medical expenses, staff training expenses, schooling expenses in Title 1, building and ICT related expenses in Title 2 and interim staff and interpretation expenses in Title 3.

II.3.3 Budget transfers

Seven transfers of appropriations were executed during 2020 by the ED in line with Article 26 of EASO's Financial Regulation. Five transfers were within budget titles (from one chapter to another and from one item to another) while two transfers were between titles (from one title to another up to a maximum of 10% of the appropriations for the year shown on the line from which the transfer is made). The MB was informed about all transfers done.

List of transfers adopted by the ED - summarised per Item, Chapter (Ch) or Title (T).

	Date of adoption	Main subject Description	Impact on Commitment appropriations (EUR)	Impact on Payment appropriations (EUR)
1	03/02/2020	Transfer within Title 3 (AC contributions) -Art.26.1.b to ensure continuity of operations after the €24 million budget reduction decided by the Budgetary Authority at the end of 2019 when adopting the EU budget	Ch 31 + 362,187 Ch 32 + 1,111,306 Ch 33 - 1,552,093 Ch 34 + 78,600	Ch 31 + 362,187 Ch 32 + 1,061,306 Ch 33 - 1,502,093 Ch 34 + 78,600
2	11/08/2020	Transfer between Chapters 22 and 23 - within Title 2 - Art.26.1.b to reallocate funds for ICT and telecommunication	Ch 22 + 324,560 Ch 23 - 324,560	Ch 22 + 324,560 Ch 23 - 324,560
3	20/08/2020	Transfer between and within Titles following Amendment 1 - Art.26.1.a, readjustments of funds across the budget further to the MYBPR20	T1 - 1,310,270 T2 + 921,669 T3 + 388,601	T1 - 1,310,270 T2 + 921,669 T3 + 388,601
4	31/08/2020	Transfer within Chapter 23, Title 2 - Art.26.1.b to cover newly arisen legal services	Item 2303 + 50,000 Item 2304 - 50,000	Item 2303 + 50,000 Item 2304 - 50,000
5	04/11/2020	Transfer between Titles following autumn budget review - Art.26.1.a, to compensate additional operational needs with savings in staff expenditures	T1 - 3,565,269 T2 - 338,500 T3 + 3,903,769	T1 - 3,565,269 T2 - 338,500 T3 + 3,903,769
6	04/11/2020	Transfer between Chapters, within Titles following autumn budget review - Art.26.1.b, final reallocations of appropriations at the end of the year	Ch 13 - 2,000 Ch 17 + 2,000 Ch 21 - 1,358,500 Ch 22 + 1,408,500 Ch 23 - 50,000 Ch 31 + 6,000 Ch 32 - 850,000 Ch 33 + 867,500 Ch 34 - 23,500	Ch 13 - 2,000 Ch 17 + 2,000 Ch 21 - 1,358,500 Ch 22 + 1,408,500 Ch 23 - 50,000 Ch 31 + 55,000 Ch 32 - 482,000 Ch 33 + 450,500 Ch 34 - 23,500

| 7 | 30/11/2020 | Transfer within Chapter 21, Title 2 - Art.26.1.b for fitting out of premises | Item 2101 | - 85,000 | Item 2101 | - 85,000 |
| | | | Item 2103 | + 85,000 | Item 2103 | + 85,000 |

II.3.4 Amending budget

On 14 August 2020 the MB adopted the budget Amendment 1 to incorporate the following changes:

- Additional EU subsidy

At the beginning of 2020, EASO continued working with the European Commission with a view to securing sufficient budget for the Agency to carry out its planned activities. In April 2020, the Budgetary Authority (European Parliament and the Council) approved the 2020 Amending Budget 1 whereby, amongst others, EASO was allocated an additional €10 million to address the migratory pressure in Greece.

- Third-country contributions

Following the signature of bilateral arrangements between the European Union and the Kingdom of Norway, the Swiss Confederation and the Principality of Liechtenstein for their respective participation in EASO's activities, their annual contribution (calculated in accordance with Gross Domestic Product [GDP] as a percentage of the GDP of all participating States to EASO activity) was established as follows:
- €2.3 million from the Kingdom of Norway
- €4.03 million from the Swiss Confederation
- €0.033 million from the Principality of Liechtenstein

- Mid-Year budget and planning review (MYBPR20)

During the month of June 2020, EASO conducted the MYBPR20. The exercise evaluated the budgetary impact of activities carried out in the first part of the year and reviewed the operational and administrative budgetary needs until the end of 2020. The resources were reallocated as appropriate addressing the impact of recent developments, in particular the COVID-19 outbreak.

Amendment 1 of EASO budget 2020 was adopted by the MB and formally incorporated the additional EU subsidy of €10 million granted in April 2020 by the Budgetary Authority, the €6.36 million corresponding to the AC contributions (as contingency funds in a new budget item) and the transfers within and between the titles resulted from the MYBPR.

- Direct Member States contributions to EASO revenue and expenditures

Additionally, the MB agreed to include a pro-memoria (pm) token in the revenue and expenditure of EASO budget to allow for the inclusion of contributions to be received from the Member States for the Regional Pilot Project under the umbrella of the regional development pilot project North Africa (RDPP NA). This regional development pilot project is planned over a period of three years, with a focus on fostering regional peer-to-peer exchanges for capacity development related to asylum and reception. Emphasis will be placed on the establishment of relevant national asylum related legislation and systems in key countries in North Africa.

List of amending budgets adopted by the Management Board:

	Date of adoption	Main subject Description	Impact on Commitment appropriations (EUR)	Impact on Payment appropriations (EUR
1	14/08/2020	Incorporate additional €10 million EU subsidy and the €6.36 million AC contributions	+16,363,611.49	+16,363,611.49

II.3.5 Appropriations carried forward from 2020 to 2021

Non-differentiated C1 appropriations carry-forward (C8) from 2020 to 2021

Non-differentiated C1 appropriations (Title 1 and Title 2) corresponding to obligations duly contracted at the close of the financial year and not paid are carried over automatically to the following financial year, together with the payment appropriations.

Budget Title	CA carried over (C1) (€)	PA carried over (C1) (€)
Title 1	1,187,307.97	1,187,307.97
Title 2	5,539,760.08	5,539,760.08

Differentiated C1 appropriations carry-forward from 2020 to 2021

Differentiated C1 appropriations (Title 3) corresponding to obligations duly contracted at the end of the financial year and not paid, are carried over automatically to the following financial year and become C8 appropriations, without corresponding payment appropriations.

Budget Title	CA carried over (€)	PA carried over (€)
Title 3	25,606,805.25	-

Out of the total amount of €25,606,805.25 carried over to 2021, the amount of €771,754 was carried over from 2019 to cover payments for ongoing multi-annual contracts/legal obligations.

II.3.6 Appropriations carried forward from 2019 to 2020

Automatic carry forwards are appropriations that were committed in the current or previous year(s) and not paid by 31 December. The total amount carried forward from 2019 to 2020 was €23.29 million in CA and €6.14 million in PA.

As commitments carried forward on Title 3 refer to differentiated appropriations, only the CA are automatically carried over whereas PA are cancelled. Payments under differentiated appropriations will consume fresh PA credits of the year. In 2020, 16% of the automatic carried forward commitment appropriations have been decommitted and cancelled.

In Title 1 and Title 2, out of €6.14 million carried over, €4.98 million have been paid (81.12%). The cancellations of carried over PA in 2020 amounted to €1.16 million (18.88%). These were mainly related to COVID-19 outbreak effects:
- cancelled face-to face recruitments and pre-medical check-ups, cancelled face-to face training courses and meetings, cancelled/postponed missions, delays in taking up duties for new staff;
- cancelled canteen services, partially cancelled cleaning and security services;
- provision of less services than contracted (i.e. interim agents).

In Title 3, out of € 17.14 million carried over CA, € 13,9 million were paid (with C1 PA credits). Decommitments on C8 reached 14%, with a total amount of €1.87 million decommitments allocated in budget line B03301 – Operational Support (52% of the total amount of C8 decommitments in 2020). Similarly, in Title 3 carried over appropriations were cancelled as services and payments due were lower than contracted and expected given the limitations in travel and meetings. Face-to-face meetings, training courses, events and the deployment of experts were for the largest part cancelled/postponed/remodulated (arranged remotely at lower costs than initially planned). Additionally, temporary workers' absenteeism and earlier resignations led to cancelled carried over appropriations.

Budget Title	CA budgeted	CA executed	CA cancelled	CA cancelled %	PA budgeted	PA executed	PA executed %
T1	1,950,030.02	1,253,972.46	696,057.56	35.69%	1,950,030.02	1,253,972.46	64.31%
T2	4,193,989.34	3,729,866.49	464,122.85	11.07%	4,193,989.34	3,729,866.49	88.93%
T3	17,143,871.66	14,676,419.45	2,467,452.21	14.39%			
TOTAL	23,287,891.02	19,660,258.40	3,627,632.62	15.58%	6,144,019.36	4,983,838.95	81.12%

II.3.7 Procurement types

In 2020, EASO launched the types of procurement procedures listed in the table below:

Type of procedure	Number	Percentage (%)
Open call	17	26.15
Negotiated with min 5 competitors	5	7.69
Negotiated with min 3 competitors	4	6.15
Negotiated with min 1 candidate	26	40.00
Competitive with negotiation (Point 12 of FR Annex I)	1	1.54
Negotiated without prior publication of a contract notice (Point 11 of FR Annex I)	12	18.46
Total	65	100.00

In addition, one call for expression of interest for remunerated experts in the sense of FR 237 (which is not considered as a procurement procedure) was launched in 2020.

II.3.8 Interest on late payments and payments performances

The majority of payments need to be processed within thirty calendar days (the legal time limit) from the receipt of invoice. Late payments may generate late interest to be paid to the recipient.

In 2020 EASO paid late payment interest amounting EUR 6,374.89.

In 2020, a total of 5,313 payments were executed out of which 334 were late. This corresponds to a late payment rate of 6.29%. The ratio of late payments is much lower than in 2019 (-7% compared to 2019: 6.29% vs 13,29%) and confirms the improvements started in September 2019, showing increased control. Efforts will continue to ensure further improvements through time until the ratio reaches below 5%.

It should be noted that the total number of payments in 2020 (5,313) is considerably lower than in 2019 (9,871) due to the Covid-19 outbreak side effects (4,558 less, -46%). However, the number of late payments is 978 less (1,312 late payments vs 334 late payments, -75%).

	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC
% of late payments 2018	29	14	7	13	14	13	8	21	29	8	10	6
% of late payments 2019	31	15	12	18	30	14	10	15	9	10	5	3
% of late payments 2020	11	5	6	12	11	3	8	3	5	6	5	2

% late payments comparison: 2018 6% vs 2019 3% vs 2020 2%
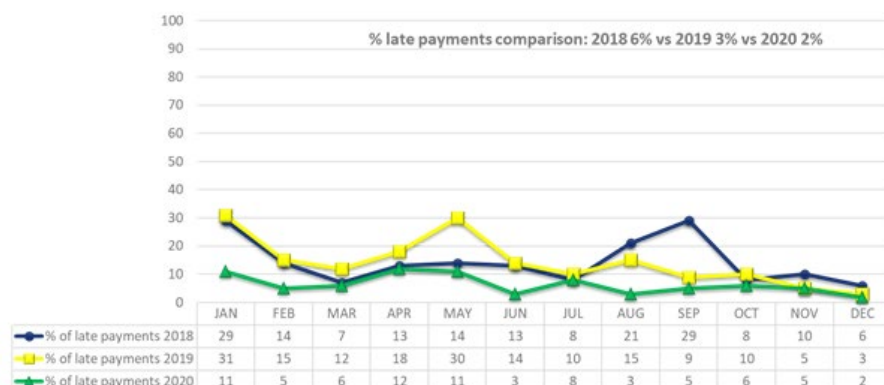
II.3.9 Budgetary operations in 2020

EASO's budgetary operations in 2020 are reported above.

II.3.10 Budget Management Controls

II.3.10.1 Ex-post controls coverage and results

During 2020 the scope of the ex-post controls was limited to an assessment of the efficiency and effectiveness of the internal controls' processes and procedures in accordance with Internal Control Principles 16[13] and 17[14].

Seeking to reinforce the implementation of ex-post controls, EASO established a new internal control and ex-post controls function within the Executive Office as part of the restructuring of the Agency in 2020. EASO reinforced this function at the beginning of 2021 to increase the coverage of its ex-post control by implementing financial ex-post verifications on the legality and regularity of procurement files and financial operations. The implementation of the first risk based financial ex-post controls strategy is expected to start by Q2 2021.

The results and coverage of the ex-post controls, including indicators on the legality and regularity are extensively documented and explained in detail in Part III and Annexes IX and X. These results contribute to the assessment of the achievement of the following internal controls objectives defined in Article 30.2 of EASO Financial Regulation:
- sound financial management (economy, efficiency, effectiveness and performance of processes and procedures);
- reliable reporting;
- prevention, detection, correction and follow-up of irregularities and fraud;
- safeguarding of assets and information;
- adequate management of risks relating to the legality and regularity of the underlying transactions.

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[13] Principle 16 'The Agency selects, develops, and performs ongoing and/or separate assessments to ascertain whether the components of internal control are present and functioning'.

[14] Principle 17 'The Agency assesses and communicates internal control deficiencies in a timely manner to those parties responsible for taking corrective action, including the Management Board and senior management, as appropriate'.

II.3.10.2 Exceptions and non-compliances coverage and results

Exceptions and non-compliance events cover deviations which are not initially foreseen by the procedures and therefore require individual follow-up. If such deviations are approved before action is taken (ex-ante), they are called 'exceptions.' If they are detected after action was taken (ex post), they are 'non-compliance events'.

Both exceptions and non-compliance events can consist of errors, flaws or even potential cases of fraud. EASO has therefore put control activities in place to ensure that: (i) all instances of overriding controls or deviations from established processes and procedures are documented in exception (ex-ante) or non-compliance (ex-post) reports; and (ii) all instances of ex-ante overriding controls or deviations are required to be justified and approved before action is taken, and logged centrally, and (iii) corrective actions are implemented in a timely manner.

Exceptions and non-compliance events are registered through a dedicated electronic workflow. Approved deviations are recorded in the register of exceptions and non-compliances. Seeking to ensure a close follow up and monitoring of the register, monthly reports are addressed to the Management on the number of exceptions and non-compliances, including an assessment per typology and a trend analysis compared to previous years. In addition, the implementation of the corrective actions is monitored on a quarterly basis.

During 2020, a total of 35 exceptions and 11 non-compliance events were recorded, an improvement compared to 55 exceptions and 15 non-compliances recorded during the same period in 2019.

Assessing the financial impact of overriding controls or deviations from the established processes and procedures (exceptions), the ED justified, approved and logged centrally exceptions for a total amount of 833,992.04 EUR over 2020. From a quantitative point of view, the financial impact constitutes 0.78% of the executed Payment Appropriations for the year. In addition, EASO has centrally registered non-compliance events for an amount of 56,175.12 EUR which constitutes 0.05% of the executed Payment Appropriations for the year. The total amount for exceptions and non-compliance events amounts to 890,167.16 EUR which constitutes 0,83% of EASO Payment Appropriations executed for the year, which is below the materiality threshold of 2% and therefore there is no reason to issue a reservation.

The exceptions and non-compliances are one of the main indicators of the efficiency and effectiveness of the Agency's internal control framework. It should be acknowledged that as a result of the improvement of the internal control system of EASO, the ratio[15] between the value of exceptions and non-compliances with regards to overall EASO budget has been decreasing since 2017 with significant reduction of the financial impact of 54% from 2019 (1.8%) to 2020 (0.83%) as showed in the following graph:

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[15] The ratio is calculated in the following way: total value of exceptions and non-compliances is divided by the payment appropriations executed in the particular financial year: 2017 = 11,458,803.95/75,390,655.13 EUR executed payment appropriations, 2018 = 1,481,220.07/85,666,273 EUR executed payment appropriations and 2019 = 1,721,998.44 / 95,740,025 EUR executed payment appropriations, 2020 = 89,0167.16 / 106,751,137 EUR executed payment appropriations.
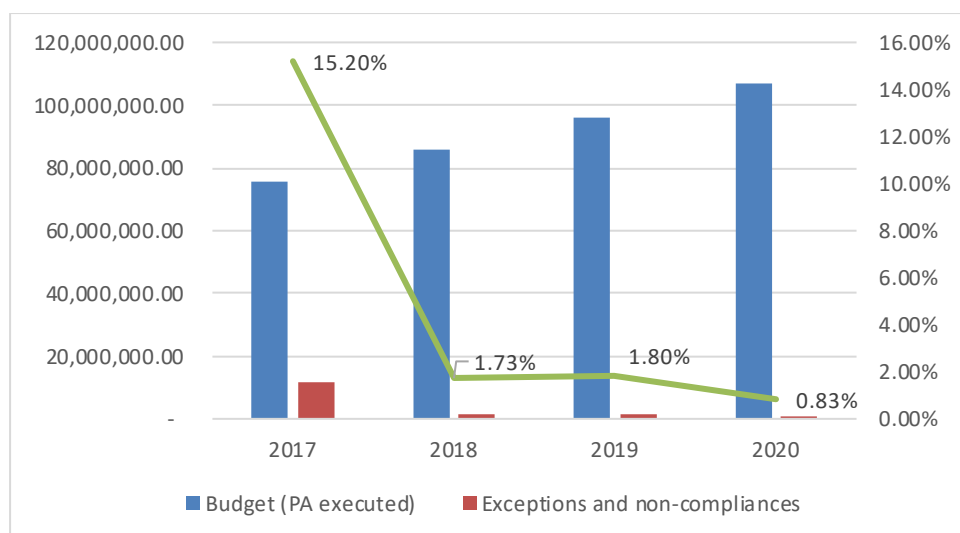
In 2020, EASO maintained the trend of reducing the number of exceptions and non-compliances per year since 2017 despite the increased budget.

The ED acknowledges the need to further reduce the number of exceptions and non-compliances.

II.3.11 Cost and benefits of controls (effectiveness, efficiency and economy of controls)

Following the entry into force of the new organogram in January 2020 and in accordance with the EASO Financial Regulation, EASO has started a revision of the control strategies for each main control activity in place, based on a risk approach and considering the cost effectiveness of controls. EASO has identified ex-ante financial verification, ex-post controls and evaluation as the main control activities present in EASO.

Cost and benefits of ex-ante financial controls

Completeness of the coverage of **ex-ante financial controls** implemented by the Finance and Procurement Unit (FPU):

- Coverage per kind of expenditure operation (financial and in number of transactions).
- Indicators of the 'legality and regularity' of the underlying transactions
- Corrective actions
- Late payment Analysis trend analysis (simplified/not simplified)

Ex-ante controls are various controls and checks put in place by the authorising officer to ensure that the implementation of revenue and expenditure of EASO is in accordance with the principle of sound financial management and in compliance with the regulatory framework. The ED is fully responsible for defining the organisational structure and the control systems of EASO on the basis of a risk analysis which takes into account their cost effectiveness and performance.

In line with the existing perception of risks, EASO currently performs comprehensive ex-ante controls in 100% of procurement files and budgetary commitments, and 83% of payment transactions corresponding to 99% of the paid budget. The remaining transactions, for which the ex-ante risk is deemed low, the verification and the authorisation functions are made by the same person.

	PAYMENTS 2020 PER TYPE	Total
a	Invoices	3,542
b	Reimbursements to experts (full workflow) (wfl)	197
c	**TOTAL PAYMENTS VERIFIED BY FVAs IN FINANCE**	**3,739**
d	Missions	567
e	**TOTAL PAYMENTS VERIFIED BY Mission Officers in FINANCE**	**567**
f	SNE	116
g	**PAYMENTS VERIFIED BY HR**	**116**
h	Reimbursement to experts simplified wfl*	434
i	Reimbursements to candidates simplified wfl	183
j	Others simplified wfl*	274
k	**PAYMENTS NOT VERIFIED EX ANTE (SIMPLIFIED WFL)**	**891 ***
m	**TOTAL PAYMENTS 2020**	**5,313**
n	**% PAYMENTS NOT VERIFIED (k/m)**	**17%**
	COMMITMENTS, DE-COMMITMENTS, AMENDMENTS 2020	**Total**
o	Verified full workflow	2,866
	Commitments simplified wfl	0

Cost and benefits of ex-post controls

Ex-post controls on the assessment of the efficiency and effectiveness of internal control systems. The results of the ex-ante controls lead to the proper processing of financial transactions thus the implementation of revenue and expenditure.

Any identified breaches of the internal control and/or decisions lead to the proper registration of exceptions and non-compliance events in the relevant register. A detailed analysis on exceptions and non-compliances is provided in the part II.3.10.2.

The coverage and results of **ex-post controls** are detailed in part II.3.10.1 of this Report. The cost and benefits of ex-post controls is measured by analysing the resources dedicated to their implementation (measured in full time equivalents) compared to the added value of the ex-post control results.

During 2019 and 2020 only 0.75 full time equivalent was dedicated to the implementation of ex-post controls. Nevertheless, during the Internal Controls Self-Assessments for the financial years 2019 and 2020, 112 and 88 corrective actions were identified, respectively. As an added value and benefit of these ex-post controls, EASO's internal control system was enhanced, which has been recognised by the control bodies (ECA and IAS). These improvements are detailed in part III of this report.

With regards to **financial ex-post controls,** as a first step, a risk-based strategy for financial ex-post controls was developed at the end of 2020. This was adopted by the ED on 7 May 2021 following discussion with management and communicated to all staff. This risk based ex-post control strategy will provide the framework for:

- A risk analysis per stratum for financial operations;
- Coverage and sampling;
- Financial ex-post control methodology;
- Extent of controls to be implemented;
- Reporting methodology including the process for the validation and monitoring of corrective actions and recommendations;
- Analysis and evaluation of the cost and benefits of the financial ex-post controls.

As the risk-based financial ex-post control strategy takes into account the cost and benefits of controls, the Internal Control Coordinator has designed a planning and monitoring tool for the resource allocation. The results will be reported quarterly to the Head of the Executive Office. In addition, the Internal Control Coordinator will evaluate and report to the ED biannually on the cost effectiveness and added value of financial ex-post controls based on a resource allocation analysis, the coverage of the controls and the lessons learnt.

II.4 Delegation and sub-delegation of the powers of budget implementation to EASO staff

In accordance with Article 41 of the EASO Financial Regulation the ED, as Authorising Officer, may delegate his/her powers of budget implementation to staff of the Agency. Those so empowered may act only within the limits of the powers expressly conferred upon them. The delegate may sub-delegate the powers received with the explicit agreement of the ED. In June 2019, a new ED took up duties. The ED confirmed all delegations and sub-delegations of powers of budgetary implementation to the staff granted by the former ED.

In January 2020, the organisational structure of EASO was changed and subsequently in 2020, all delegations and sub-delegations of financial authority were revised. According to the new organogram, EASO has five Authorising Officers by delegation who have powers of budgetary implementation up to the authorised appropriations on all budget items. They have sub-delegated their powers to 42 Authorising officers by sub-delegation.

The maximum limits and budget lines of the sub-delegates are indicated in each individual decision, in line with the standardised approach on delegations and sub-delegations put in place by EASO in 2019 and reported below.

By default in consideration of the role	Minimum Grade	Optional	Maximum Amount by default	Other limits	Remarks
ED	AD14		n.a	n.a.	**Budget lines to be assigned to all LMs (HoC, HoO, HoU, HoS) by default:** Budget Line A01301 Administrative mission expenses Budget Line A01501 Trainings and language courses for staff Budget Line A01601 Interim services **Budget lines to be assigned to Head of Office + Head of COU** Budget Line A01401 Restaurants and canteens

					Budget Chapter 21 Rental of building and associated costs Budget Chapter 22 Information and communication technology Budget Chapter 23 Current administrative expenditure
HoCentre/ HoEXO	AD11	Senior adviser to ED + Other officers with this grade	n.a.	n.a.	
HoU	AD10	Other officers with this grade	500,000	It does not include the power to carry out: - grants - sensitive public contracts	
HoOffice Greece and Italy	AD9	Other officers with this grade	400,000	It does not include the power to carry out: - grants - sensitive public contracts	
HoOffice Malta and Cyprus	AD8	Other officers with this grade	300,000	It does not include the power to carry out: - grants - sensitive public contracts	
HoS	AD8	Other officers with this grade	300,000	It does not include the power to carry out: - grants - sensitive public contracts	
	AD7	Senior Officers	150,000	It does not include the power to carry out: - grants - sensitive public contracts	

	AD6	Officers	150,000	It does not include the power to carry out: - grants - sensitive public contracts	
	AD5	Officers	150,000	It does not include the power to carry out: - grants - sensitive public contracts	
	FGIV	Officers	150,000	It does not include the power to carry out: - grants - sensitive public contracts	

II.4.1 Information on the controls carried out, any weaknesses identified, and the actions taken to remedy these

EASO has put in place several preventive and detective measures to ensure that the Agency's budget is implemented in accordance with an effective and efficient internal control system.

The following is a non-exhaustive list of the main control activities carried out per Internal Control Principle:

COMPONENT	EASO MITIGATING CONTROLS
1. Control Environment	1.1 Corporate governance structure (including communication arrangement with the MB) in accordance with EASO internal control framework and lines of defence. 1.2 EASO Internal Structure and Rules of Procedure[16] ('EISRoP') 1.3 Standard Operating Procedure on drafting, reviewing and approving governance and decision-making documents[17] 1.4 MB Decision No. 57 establishing EASO's Guidelines on Whistleblowing[18] 1.5 Guidelines for Applying Article 22 of the Staff Regulations (Financial Liability of Officials) 1.6 Practical Guide to Staff Ethics and Conduct (by analogy to the guide published by DG HR)

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[16]   EASO/ED/2020/135 of 16/10/2020.
[17]   EASO/ED/2020/136 of 16/10/2020.
[18]   EASO/MB/2019/172 of 20/09/2019.

COMPONENT	EASO MITIGATING CONTROLS
	1.7 MB Decision No.50 on EASO's policy on protecting the dignity of the person and preventing psychological harassment and sexual harassment [19]
	1.8 EASO Policy on Prevention and Management of Conflict of Interest [20]
	1.9 General implementing provisions on the conduct of administrative inquiries and disciplinary procedures
	1.10 Standard Operating Procedure on recruitment [21]
	1.11 Implementation of the Paperless System and Electronic Signatures [22]
	1.12 Identification and management of sensitive functions within EASO [23]
2. Risk Assessment	2.1 EASO compendium of all Units and sectors Mission, Overall Objectives, SMART Objectives, tasks/activities, KPIs, and targets
	2.2 Annual Risk Management Exercise based on the new Risk Management Manual [24] (EASO central risk register)
	2.3 Register of sensitive function in EASO
	2.4 Fraud Risk Management Exercise implemented in accordance with the Manual for fraud risk management [25] (Fraud Risk Register)
	2.5 EASO Anti-Fraud Strategy 2020-2022 [26]
	2.6 Assessment and guidance [27] on the main internal control and governance changes introduced by the EASO Financial Regulation (2019) and the General Financial Regulation (2018)
3. Control Activities	3.1 Partially decentralised financial circuits with decentralised authorisation and initiation of financial transaction and an independent counterweight by the implementation of Financial Verification within the Finance & Procurement Unit
	3.2 Delegation of Financial Authority and Nominations to carry out one or more specific tasks in preparation for/or ancillary to budget implementation [28]
	3.3 Exceptions and non-compliances procedure in accordance with the manual [29] for management of exceptions and non-compliance events
	3.4 Review of deputising arrangement and access rights in ABAC by a neutral verifier
	3.5 Charter of tasks and responsibilities of RAO (AO, AOD and AOSD)
	3.6 Code of professional conduct for ex-ante and ex-post Financial Verifying Agents
	3.7 Awareness raising actions (e.g. training) on ethical conduct, fraud prevention, conflict of interest

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[19]   EASO/MB/2019/169 of 16/07/2019.
[20]   Adopted on 29/11/2013.
[21]   EASO/EDD/2020/159 of 15/12/2020.
[22]   EASO/EDD/2020/102 of 16/10/2020.
[23]   EASO/EDD/2021/011 of 01/02/2021.
[24]   EASO/EDD/2020/117 of 15/12/2020.
[25]   EASO/ED/2019/254 of 24/09/2019.
[26]   EASO/MB/2020/067 of 06/07/2020.
[27]   Adopted on 25/09/2020.
[28]   EASO/ED/2017/308 of 06/11/2017.
[29]   EASO/ED/2019/417 of 02/10/2019.

COMPONENT	EASO MITIGATING CONTROLS	
	3.8	Establishment of the Business Continuity Governance Board[30] and a COVID-19 response team[31]
	3.9	EASO Security Governance Framework[32]
4. Information and Communication	4.1	MB Decision No. 06[33] Laying down practical arrangements regarding public access to the documents of the EASO
	4.2	Whistleblowing guidelines[34] and mechanisms and hotlines in place for reporting suspected fraudulent behaviour
	4.3	EASO Communication Strategy
	4.4	Social Media Guidelines for Staff
	4.5	Records Retention and Disposal Policy[35]
5. Monitoring Activities	5.1	Evaluations (Establishment of an Evaluation Advisory Group [36])
	5.2	Internal Control Framework Monitoring Criteria and Internal Control Self-Assessment Methodology for 2020 and 2021[37]
	5.3	Establishment on an ex-post control function[38] within the Internal Control and Risk Management Sector in EXO a. Internal Control processes and procedures self-assessment (on-going, ad-hoc and annual exercises) b. Risk based Financial ex-post controls strategy[39]
	5.4	Independent audit engagement by controlling bodies a. European Court of Auditors ('ECA') annual audit b. ECA performance audits c. Framework Contract for annual account validation (support to ECA) d. Internal Audit Services ('IAS') audit and consultancy engagements e. IAS follow up audit engagement of previous years recommendations
	5.5	Implementation of annual staff satisfaction survey and staff well-being surveys.

Based on the results of the controls above, and as part of 2020 Internal Control Self-Assessment exercise, the weaknesses identified were discussed and corrective action endorsed by the Management. This is documented in Annex IX.

II.4.2 Major developments

From 2019 to 2020 the approved staff (TA, CA and SNE) grew from 379 to 500 posts. On 31.12.2020, 83.6% of those posts were filled or offered. EASO had a net increase of more than 100 staff compared to the end of 2019 (from 315 to 419 filled and offered posts). This was made possible through a

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[30]   EASO/ED/2019/219 of 16/04/2019.
[31]   EASO/EDD/2020/096 of 12/06/2020.
[32]   EASO/EDD/2021/061.
[33]   Adopted on 20/09/2011.
[34]   EASO/MB/2019/172 of 20/09/2019.
[35]   EASO/EDD/105 of 01/10/2020.
[36]   EASO/EDD/2020/034 of 18/02/2021.
[37]   EASO/ED/2020/142 of 26/10/2020.
[38]   EASO/EDD/2020/001 of 03/02/2020.
[39]   At the moment of drafting this Report, the Strategy is at the final validation stage.

sustained additional effort in the Recruitment Sector, challenged by the COVID-19 situation, yet supported by a low turnover and the launch of the e-Recruitment system.

In addition, 58 new contract agent posts were created for short term contracts in the Italian and Cypriot Operations, for which the selection procedures started in Q4 2020.

II.4.3 Implementing Rules

In the course of 2020, the Human Resources (HR) and Security Unit, in cooperation with the Executive Office, focused on auditing the legal HR framework and its compliance with the European Commission's implementing rules. As an outcome of this audit, 15 decisions were identified (10 model decisions and 5 decisions applied by analogy) and will be presented for adoption to the EASO's MB during the second quarter 2021. This ensures a full compliance of the HR legal framework with the rules adopted and implemented by the European Commission.

Model Decisions:
1. Middle management C(2018) 2524
2. Adviser function C(2018) 2209
3. Types of posts and posts titles C(2018) 8800
4. Temporary occupation management post C(2017) 7332
5. Establishment of the Staff Committee C(2016) 3323
6. Learning and Development C(2017) 6772
7. CCP - unpaid leave C(2015) 5320
8. 7 years rule C(2016) 2421
9. Non-implementation of the Commission Decision on the maximum duration for the recourse to non-permanent staff in the Commission service, known as "7 years rule" C(2019) 6929
10. Conditions of employment of contract staff employed under Article 3a, C(2019) 3016

Adoption by analogy:
1. Outside activities C(2018) 4048
2. Part-time Art 55a C(2015) 9720
3. Amending decision on leave C(2020) 1559
4. Transfer of pension rights C(2020) 4818
5. Professional incompetence C(2019) 6855

EASO has adopted in December 2020 a new Standard Operating Procedure (SoP) on Recruitment.

II.4.4 Screening/benchmarking exercise

The sustained efforts by EASO to increase the proportion of staff in operational functions is paying off. By the end of 2020 almost 70% of staff is working in Operational roles, due to a relative decrease of both Administrative and Neutral roles. Further decrease of the latter would not be advised to safeguard appropriate (administrative) support for the operations, regularity and legality of EASO's processes.

Job type (sub) category	2019 (%)	2020 (%)
Administrative support and coordination	**17.03**	**15.92**
Administrative support	14.35	12.89
Coordination	2.66	3.03
Operational	**62.78**	**68.68**
Top level operational coordination	47.16	51.58
Programme management and implementation	6.62	8.82

Job type (sub)category	2019 (%)	2020 (%)
Evaluation and impact assessment	5.36	6.05
General operational	3.63	2.24
Neutral	**20.19**	**15.39**
Finance/control	20.19	15.39
Linguistics	-	-

II.5 Strategy for efficiency gains

In terms of efficiency gains, the Agency continues to identify and implement improvements to its systems and procedures to further increase efficiency in its operations and administrative activities. In 2020, the Agency fully digitalised its financial and procurement processes, by using a reliable tool shared across other EU agencies. Moreover, a large part of HR and logistic processes were also digitalised and automatised, notably through the implementation of an e-recruitment system, the switch of learning activities to virtual sessions, interviewing, testing and induction to on-line processes. In addition, an increasing number of HR procedures were moved from paper-based processes to electronic ones. Furthermore, the Agency also concluded the full transposition of its operational training support programmes for Member States into high performing on-line tools, together with the setup of a dedicated electronic system for the deployment/management of experts in Member States. Thus, allowing the Agency to enhance its operational support during the challenging COVID times. In addition, an internal re-organisation of EASO was concluded to simplify structures and processes as much as possible.

The Agency will focus its efforts towards identifying further efficiencies in the following areas:

-   The Agency is developing and continuously improving the quality management system and the internal control processes to enhance organisational performance and achieve further efficiency gains. The Agency's work on internal processes and procedures, identifying improvement opportunities and applying process re-engineering and optimisation will further enhance the effectiveness and efficiency of the Agency's administrative and operational activities;
-   Less time is spent on repetitive and labour-intensive tasks; thus, more time will be available to work on tasks that have higher added value;
-   The proportion of staff working in horizontal tasks will continue to be reduced insofar as possible compared to staff working in core operations, without jeopardising the essential deliverables of the Agency.

II.6 Assessment of audit and ex post evaluation results during 2020

II.6.1 Internal Audit Service (IAS)

The IAS is the internal auditor of EASO, assisting the Agency in accomplishing its objectives by bringing a systematic, disciplined approach to evaluating and improving the effectiveness of risk management, internal control and governance processes. The IAS tasks include assessing and making appropriate recommendations on the accomplishment of the following objectives: promoting appropriate ethics and values within the organisation, ensuring effective organisational performance management and accountability and effectively communicating risk and control information to appropriate sectors of the organisation. It thereby promotes a culture of efficient and effective management within EASO and its Centres.

During 2020, the IAS implemented the following audit engagements:

- Audit on Human Resources Management and Ethics: The fieldwork was carried out in Malta from 3 to 14 February 2020. The audit focused mainly on ethics and integrity processes, on temporary agency workers in Malta, Italy, Greece and Cyprus, and on HR processes, more specifically on recruitment, planning (within the HR context and including staff allocation) and performance appraisal. The final report was issued on 1st December 2020 and included six agreed recommendations;
- A follow-up audit on significantly delayed Very Important and Important IAS recommendations from previous years. As a result of this audit all outstanding recommendations from previous years were closed by the IAS.

II.6.2 European Court of Auditors (ECA)

ECA is the external auditor of EASO, focusing its work on the financial reporting and the implementation of EU's budget and policies. ECA's audit reports set out its findings, conclusions, and recommendations clearly and concisely, together with the replies of the audited bodies making an important contribution to the EU accountability chain through ensuring the transparency of the audit process.

These audit reports are used by the European Parliament and Council within the annual discharge process, to hold those responsible for managing the EU budget accountable. In line with other supreme audit institutions, ECA carries out three different types of audit: financial, compliance and performance. Each audit type has different objectives and addresses different questions. Individual audits can involve one or a combination of audit types.

The **Annual report on EU agencies** for the **financial year 2019** was adopted by Chamber IV of the ECA on 22 September 2020. According to ECA's opinion, the accounts of EASO for that year presented fairly, in all material respects, the financial position of EASO on 31 December 2019, the results of its operations, its cash-flows, and the changes in net assets for the year then ended, in accordance with its Financial Regulation and with the accounting rules adopted by the Commission's accounting officer. These rules are based on internationally accepted accounting standards for the public sector. Also, in ECA's opinion, the revenue underlying the accounts for 2019 was legal and regular in all material respects. However, the Court concluded that number of payments stemming from procurement procedures concluded in previous years and declared as irregular by the Courts in previous audit reports, were irregular and issued a qualified opinion accordingly. These payments related, in particular, to contracts for interim workers in Italy, interim workers in Greece and rented premises in Lesbos as well as to a call for external experts.

A detailed analysis of this issue and the corrective actions already implemented by EASO is documented in section II.7.2 'Follow-up of recommendation from ECA' and section III.4.3 'Assessment of significant weaknesses joint combined impact on the declaration of assurance'.

The special report on the **Future of EU agencies –Potential for more flexibility and cooperation** was also concluded in 2020. The Court issued four principal recommendations addressed both to the European Commission and to all EU agencies (not individually) as follows:
- Ensure the relevance, coherence and flexibility of the set-up of agencies.
- Allocate resources to agencies in a more flexible manner.
- Improve governance and reporting on performance.
- Strengthen the role of agencies as centres for sharing expertise and for networking.

ECA implemented two audit missions for the **financial year 2020** (the first audit mission took place 23 to 27 November 2020 and the second - 1 to 5 March 2021). During both missions ECA assessed the legality and regularity of EASO operations as well as the state of play of EASO's internal control systems. ECA mainly analysed finance and procurement samples, relevant payments, and the state of play of EASO corrective actions regarding internal control deficiencies. In addition to the regular checks, the auditors focused on the actions taken by EASO in response to the COVID-19 pandemic. At

the time of the drafting of this report, EASO received ECA's preliminary observations for these two missions. At this stage, all observations are still preliminary so there is a possibility that these are reassessed following a formal adversarial procedure.

II.7 (a) Follow-up of recommendations and action plans for audits and evaluations

II.7.1 Follow-up of recommendations from IAS

The ED continuously monitors and regularly reports to the MB and the Internal Audit Service on the state of play of corrective measures to address *very important and important* IAS recommendations.

As a result of the implementation of a number of corrective actions in 2020 to address internal control deficiencies, the *important* and *very important* recommendations from IAS delayed from previous years were formally re-assessed as implemented by the auditors[40] in Q1 2021.

At the time of the drafting of this report, the only outstanding corrective actions were the ones stemming from the IAS Report on "Human Resources management & ethics in EASO" issued in December 2020. EASO has proposed a corrective action plan by foreseeing 19 corrective actions that were agreed by IAS to address 6 *important and very important* recommendations. EASO assessed that 7 corrective actions had already been implemented during the course of Q1 2021 and submitted supporting documents for IAS reassessment accordingly.

Seeking efficiency gains, the IAS follow up action plan was incorporated in the overall EASO Register of Deficiencies and Action Plan, (Annex IX to the Report). In cases when EASO assesses that corrective actions have already been implemented, they remain marked as "in progress" until they are formally closed by IAS.

Considering the fact that ICSA is a continuous exercise, the Register of Deficiencies and the Corrective action plan will be updated as soon as new control body recommendations or observations are issued or closed.

II.7.2 Follow-up of recommendations from ECA

The ED continuously monitors and reports on the state of play of corrective measures implemented following outstanding ECA observations to the MB. The number of pending observations from previous ECA audits was halved between 2020 and 2019[41].

Seeking efficiency gains, the ECA follow up action plan is incorporated in the overall EASO Register of Deficiencies and Action Plan[42] (Annex IX to the Report). In cases when EASO assesses that corrective actions have already been implemented, they remain marked as "in progress" until they are formally closed by ECA.

Considering that the ICSA represents a continuous exercise, the Register of Deficiencies and the Corrective action plan will be updated as soon as new control body re-commendations or observations are issued or closed.

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[40] IAS Note on Audit conclusions ARES (2021)1584731 02/03/2021.
[41] based on ECA Report for the FY 2019.
[42] For the deficiencies listed in the EASO Register of Deficiencies and Action Plan which are stemming from pending ECA observations from the previous years, please refer to deficiencies 25, 27, 35, 37, 38, 42, 44 and 47.

II.8 (b) Follow-up of recommendations issued following investigations by the European Anti-Fraud Office

Following receipt of the OLAF report at the end of 2018, EASO has initiated three disciplinary procedures, which are currently ongoing.

II.9 Follow-up of observations from the Discharge Authority

The Discharge Authority relies on their recommendations and discharge decision on observations related to findings issued by ECA.

EASO has been closely following up on the discharge process during 2020. In preparation for the discharge for the financial year 2019, EASO activity participated in the meetings of the responsible committees at the European Parliament (CONT, LIBE) and the Council (Budget committee). EASO has provided requested information to the CONT committee and, in particular: replies to the horizontal questionnaire addressed to all the agencies via the EUAN network, a report on the implementation of the EP recommendations in their report on the discharge of 2018, replies to individual questionnaire (addressed to EASO specifically).

The communication with the discharge authority has been centralised to EASO's EU Affairs Sector in order to ensure timely reporting and consistency in the follow up. EASO's efforts and the progress made towards a fully effective and efficient internal control system have been acknowledged in the CONT report for the discharge 2019.

Given the progress made by EASO in addressing ECA findings and in following up on the discharge observations, the European Parliament has voted on 27 April 2021 in the plenary session in favour of adopting the discharge decision in respect of the implementation of EASO's budget for the financial year 2019.

II.10 Environment Management

EASO recognises its responsibility to reduce its impact on the environment and the need for implementation of measures to engage in more environmentally friendly activities, focusing on selected areas and identifying more areas of improvement. EASO has introduced awareness raising sessions for all staff organised by the 'EASO Green Team' to promote environmental considerations and moving towards sustainability.

During the course of 2020:

- EASO's contribution to global CO_2 emissions from travel have been considerably reduced due to the cancellation of missions as of Q1 2020, for EASO staff as well as travel for participants attending EASO meetings and training sessions, as a result of the COVID-19 pandemic. Videoconferencing has replaced face-to-face meetings and is seen as a way of limiting the need for travel and thus, the environmental impact of EASO activities.
- The physical presence of candidates participating in staff selection procedures and sitting for written assessments has been replaced by remotely managed means (videoconferencing and monitored online assessment), which has further reduced CO_2 emissions from travel.
- EASO has continued to operate a shuttle bus service from EASO premises to the central public bus depot to encourage its staff to use public transport as a more sustainable way of commuting and to reduce the environmental impact of private means of transport.
- EASO's paper consumption resulting from printing of documents saw a reduction due to the transition to teleworking for most of EASO staff and the shift to working on and exchanging electronic documents. Moreover, EASO broadened the scope of its electronic paperless

workflows by extending them to the approval of governance documents, thus further reducing the number of pages printed.

- A reduction in electricity consumption in EASO buildings, compared with that of previous years, was noticed as another result of the COVID-19 pandemic.
- Environmental considerations in procurement procedures have also contributed to the progress towards introducing eco-friendly activities. EASO requests its suppliers to provide environmentally friendly documentation, through e-invoicing, e-tendering, and e-submission.
- EASO has also introduced a recycling system for non-organic materials, with separation of waste and the availability of recycling boxes located in all common areas.

II.11 Assessment by EASO Management

The results of the ex-post controls on the efficiency and effectiveness of the internal control system of 2020 show improvements in the performance of the system in place compared to previous years. Nevertheless, it identified a number of new corrective actions to be continuously built into the business processes of EASO in order to increase the assurance provided to the Management and the ED.

Particularly, the Management welcomes:

- The reorganisation of the Agency proposed by the ED and endorsed by the MB (in force from 1 January 2020), which has substantially reinforced the internal control and governance structure of EASO;

- The effective and efficient business continuity measures adopted by the ED and the COVID Response Team (CRT) as a reaction to the COVID 19 pandemic crisis;

- The fact that, despite the circumstances related to the COVID-19 pandemic, EASO demonstrated a continuous commitment to attract, develop, and retain competent individuals in 2020. In terms of AD and AST positions filled, 83.6% of the Establishment Plan (EP) was implemented by Q4 2020 (289 posts filled + 17 offered/accepted = 306 out of 366 posts in the Establishment Plan);

- The supervision tools in place, allowing the effective monitoring of late payments. At the end of 2020 and during the first quarter of 2021, the percentage of late payment decreased and was below the target of 5% agreed by the Management during Q1 2021.

- The considerable efforts of the ED and the Management to improve the internal control tone at the top culture, demonstrating its commitment towards continuous progress and, in particular, the Agency's expectations on integrity and ethical values set out by analogy to those standards of conduct of the European Commission. This was supported by substantial contribution of the EASO Management to the internal control and risk management processes;

- The adoption of a number of important policies and procedures contributing towards re-enforcing the control environment and in particular the ED Decision (EDD) on EASO Internal Structure and Rules of Procedure;

- The effective cooperation between EASO and the control bodies, in particular, IAS and ECA. During 2020 and Q1 2021, EASO implemented all pending and delayed Very Important recommendations from the previous years' IAS audits. It should also be highlighted that the

number of pending observations from the previous ECA's audits was halved between 2020 and 2019[43];

- The fact that the perception of staff towards the accountability for their responsibilities has improved and demonstrates positive trend when comparing the results of the Staff Engagement Surveys in 2017, 2019 and 2020;

- The continuous improvements made by EASO regarding its ability to identify, prioritise and manage risks, including the risk of fraud. During 2020, the Agency identified and documented objectives across the organisation in accordance with strategic planning priorities, quarterly risk management reports were issued and shared with all staff, MB adopted an EASO Anti-Fraud Strategy 2020-22 including a fraud prevention action plan and the ED documented a central register of sensitive functions;

- The full implementation of the Electronic Records and Document Management System (ERDMS) to record, manage and safeguard relevant data and information captured from internal and external sources and to obtain the required and expected quality information, in compliance with applicable document management rules;

- The new EASO Communication Strategy covering internal and external communication;

- The continuous and specific assessment tools used by EASO's ED to ascertain whether each of the five components of internal control are present and functioning. The assessments are built into the business processes at different levels of the Agency and provide information of any governance, internal control, and risk management deficiencies.

Overall, the Management is of the opinion that Agency's internal control system continues to improve compared to the previous years, that it is effective and efficient and works as intended but that some improvements are needed.

Therefore, the Management is committed to maintaining the same efforts and commitment towards the improvement of the Internal Control System as during 2020. Management will continue to work on establishing adequate and cost-effective measures to increase assurance regarding the effectiveness, efficiency and economy of operations, the reliability of reporting, the safeguarding of assets and information, the prevention and detection and correction of fraud and irregularities and their follow-up, and the adequate management of the risks relating to the legality and regularity of underlying transactions.

To this end, Management will prioritise the following areas of the EASO Internal Control Framework during 2021:

- Timely implementation of the corrective actions to address delayed responses to deficiencies and to anticipate further findings from the control bodies.

- Continuously improving the efficiency and effectiveness of EASO's internal control systems by ensuring that the number of exceptions and non-compliances is systematically reduced to reach the target of below 0.5% of the appropriations approved for the financial year 2021.

- Developing and performing risk-based continuous and/or separate financial ex-post controls of processes and financial operations (including procurement files) to ascertain that financial internal controls are present and functioning.

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[43] Based on ECA Report for the FY 2019.

- Despite the progress made in the control environment during 2020, a policy for the management and prevention of conflict of interest should be adopted by the MB and shared with the staff with the aim of enhancing the organisational culture across the Agency.

- Finalisation of a strategy for efficiency gains and synergies for operational and financial activities.

- Adoption of a competence framework model for all the functions while continuing with the progress on HR processes, as this will increase assurance that EASO is recruiting the correct combination of staff members with the required skills and hiring other service providers to effectively achieve Agency's objectives. The Agency should also integrate the results of the competency framework analysis into its HR strategy.

- Business continuity measures and controls were promptly adopted during 2020 by the ED in consultation with the CRT to ensure an effective and efficient management of the COVID 19 crisis, and EASO is at the very last stage of adoption of the Business Continuity Plan (BCP) in line with the internal control principle 10.

- While considering that EASO is moving strongly towards digitalisation of the majority of its internal processes and procedures, there is room for improvement on some ICT governance and project management aspects. To this end, the Management intends to assess the current project governance and project management methodologies in use by EASO Centres over 2021 and decide on changes and improvements that may be required to improve project planning, delivery, control and cost effectiveness. Based on the result of such an assessment, the management may consider the possibility of developing a single framework procedure for implementing a Project Governance and Project Management Methodology, defining roles and responsibilities for the management of the portfolio of Information and Technology (IT) and business projects.

A detailed list of corrective actions proposed by the ICC and endorsed by the Management are available in Annex IX of this report.

PART II (b): EXTERNAL EVALUATIONS

External evaluations

During the first half of 2020, three independent external evaluations of EASO's Operating Plans (OP) 2019 for Italy, Greece and Cyprus were completed (started at the end of 2019). These were accompanied by an additional cross-country analytical report and strategic recommendations. The evaluations provided recommendations to support EASO internal decision-making and to improve operations in Member States and future interventions.

The recommendations for follow up stemming from the evaluation of the **Greece OP 2019** were as follows.

Recommendation	Status at end 2020
Make internal inquiries on the use and usefulness of the information and documentation system (IDS) operational platform for Greece.	Under implementation
Assess and address – together with national authorities – data protection issues regarding work performed by personnel deployed by the EASO intervention at appeals.	Under implementation
Ensure that caseworkers and team leaders are consulted and/or informed sufficiently in advance when new approaches are being tested.	Implementation concluded
Create ways for team leaders to respond/discuss feedback received and/or to review feedback before it is shared, to strengthen the Quality Assurance Tool.	Under implementation
Consider – in agreement with national authorities – providing support to the offices of local prosecutors.	Implementation concluded
Enhance the recording of the results of multidisciplinary teams in Reception and Identification Centres (RICs).	Under implementation.

The **Italy OP 2019** evaluation made the following recommendations.

Recommendation	Status at end 2020
Reflect any changes in the OP following transition of government into a formal document, agreed by EASO and national authorities (e.g. addendum). Review priorities accordingly (all measures).	Implementation concluded
Follow up on a gap analysis on the two documents already approved by DPS, such as (1) the information provision system in the framework of the registration procedure of the international applications; and (2) an action plan related to the identification and referral pathways for international protection applicants and beneficiaries with special needs related to mental health. (Measure 1)	Implementation concluded
EASO deployment of temporary workers for registration at Questure is considered indispensable by authorities' representatives. EASO might revisit and better plan its phasing out. (Measure 2)	Under implementation
EASO should follow up the inclusion of C3 annexes in SUA to guarantee the improved quality of registration. (Measure 2)	Under implementation
Improve data collection and reporting practices: ensure one set of validated data on training activities. (Measure 3)	Implementation concluded

EASO's efforts in the reception system would be more impactful under a multi-year plan, given the complexity and multi-layer approach of the Italian reception system. (Measure 4)	Under implementation
Further enhance coherence with international stakeholders. EASO could consider if future participation of the UNHCR during coordination meeting might further enhance coherence. (Measure 5)	Implementation concluded
Consider how the IDS operational platform could be used more effectively and consistently. Despite the high quality of the IDS platform, it did not seem to be frequently used in the field.	Implementation concluded

The **Cyprus OP 2019** evaluation recommended the following.

Recommendation	Status at end 2020
Further embed vulnerability assessments in workflows on registration via additional capacity building on registration and vulnerabilities (for AISP officers)	Under Implementation
Explore synergies across measures 1 and 3: registration templates could be improved to capture more information on the applicant at registration stage. While variations in how registrations are carried out exist from one police district office to another, doing so could improve time efficiencies for EASO caseworkers when checking basic information on the applicant during an interview.	Under implementation
Enhance coordination mechanisms in Pournara by advocating for a permanent CAS manager in Pournara, dedicate EASO resources to ensure follow-up and coordination of activities and develop SOPs with other stakeholders to ensure effectiveness of referrals.	Under implementation
Organise capacity-building activities targeting non-permanent staff contracted by CAS in reception and vulnerability assessments to enhance implementation of CEAS standards in Cyprus	Under implementation
Enhance the practical part of content of EASO's module on vulnerability (e.g. case studies used).	Under implementation
Assess further the type of concrete support EASO could bring to the implementation of databases and to increase ownership by national authorities of the process. The type of support could be more tailored to the needs of national authorities given the emergency context and capacity constraints (e.g. capacity building activities).	Under implementation

The evaluation strategic recommendations made in the **Cross-country analytical report** and their follow-up are summarised below.

Recommendation	Status at end 2020
SR1: Consider different modus operandi to strengthen the continuity and stability of resources (including human resources) for the intervention.	Under implementation
SR2: Align and enhance the contents and structure of strategic planning documents (multi-annual roadmap, OP, etc.).	Under implementation
SR3: Advance the level of maturity of results-based planning, implementation and monitoring.	Under implementation

SR4: Harmonise the implementation of quality management in operations with those of national authorities and investigate how productivity and efficiency considerations can be better embedded as quality requirements.	Under implementation
SR5: Improve the intervention logic where it isn't sufficiently clear.	Under implementation
SR 6: Further enhance the sustainability and impact of capacity-building.	Under implementation

In December 2020, EASO started the external evaluations of the Operating Plans 2020 focusing on interventions in Greece, Italy, Malta and Cyprus, as well as on the pilot project of EASO's Resettlement Support Facility (RSF) located in Turkey. As with previous exercises, this evaluation exercise includes a horizontal report that tackles cross-country findings and strategic recommendations. The six reports are expected to be completed by May 2021 and will be reported in the CAAR 2021.

Internal evaluations

In addition to the above-mentioned external evaluations, EASO concluded a number of internal evaluations, including mid-term and ex post. A total of five internal operational evaluations were completed in 2020. These include:

- Ex post evaluation of the 2017-2019 Serbia Roadmap;
- Ex post evaluation of the 2017-2019 North Macedonia Roadmap;
- Mid-term evaluation of the Resettlement Support Facility (RSF) Pilot Project for the period April 2019 to January 2020;
- Mid-term evaluation of the Turkey Roadmap between EASO and the Directorate General for Migration Management (DGMM) for the period September 2019 to August 2020. The latter followed an innovative approach as the evaluation was jointly implemented by DGMM and EASO staff.
- Mid-term evaluation of the Malta Operating Plan covering the OP 2019 and the first half of the OP 2020.

EASO also started work on the evaluation of the Preparatory Group of the MB in October 2020. This was completed in early 2021 and will be reported in the CAAR 2021.

EASO Evaluation Governance

In line with EASO's commitment to reinforce and further pursue improvements in its organisational performance, a Quality Management and Evaluation Sector was created within the Executive Office in 2020. The aim of this sector is to implement and coordinate horizontal evaluations. At the end of 2020, EASO began preparations for the creation of an Evaluation Advisory Group, which amongst others aims at providing advice to the EASO ED on evaluation matters, as well as ensuring the Agency has a harmonised approach and framework to evaluations.

PART III: ASSESSMENT OF THE EFFECTIVENESS OF INTERNAL CONTROL SYSTEMS

III.1 Effectiveness of the internal control systems

Decision No 42 of the Management Board[44] of EASO of 21 December 2018 introduced a new Internal Control Framework. The current Internal Control Framework consists of five internal control components which are built on 17 principles, based on the COSO 2013 Internal Control-Integrated Framework, and further supported by a number of characteristics.

III.1.1 Methodology and control activities applied for the assessment of effectiveness

Following the Decision of the ED on the establishment of an internal control and ex-post controls function in EASO[45] and, in particular, in accordance with Article 2, the ex-post controls assess the state of play of EASO's internal control systems and focus on its compliance with the internal control objectives. The results of ex-post control activities are therefore one of the main sources for the advice and recommendations the ICC provides to the ED on the overall state of the internal control systems.

The methodology for the annual assessment is documented in a Decision of the Director of EASO on the Internal Control Framework Monitoring Criteria and Internal Control Self-Assessment Methodology for 2020 and 2021[46].

Based on the Internal Control Self-Assessment methodology the main steps followed for the implementation of the Internal Control Annual Assessment are summarised in the following graph:
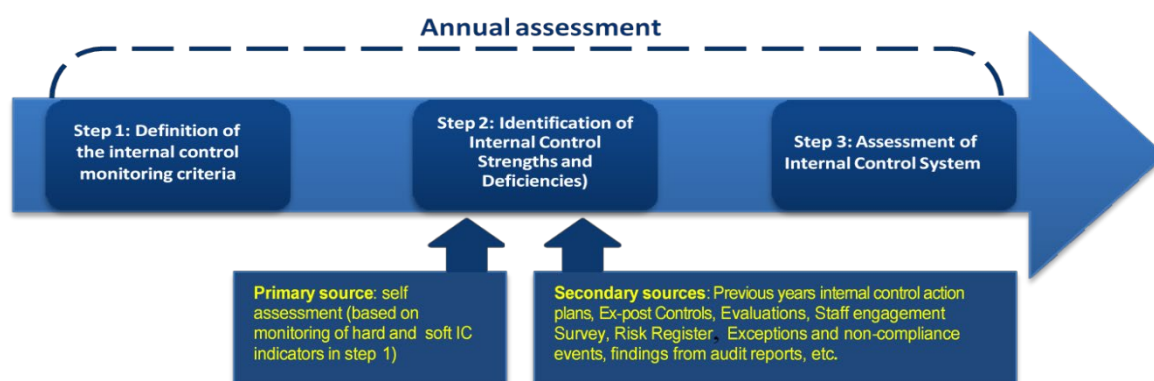
In line with the requirements for the ICSA Methodology, multiple sources of information were consulted and analysed to identify internal control strengths and deficiencies:

- Qualitative and quantitative internal control indicators (Annex XI);
- The state of play of previous years ICSA action plans;

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[44] EASO/MB/2018/159 of 21/12/2018.
[45] EASO/EDD/2020/001 of 03/02/2020.
[46] EASO/EDD/2020/142 of 26/10/2020.

- Internal ex-post controls based on desk reviews;
- The register of exceptions and non-compliance events;
- The EASO Risk Register;
- The results of the Staff Engagement Survey[47];
- Meetings with process owners
- IAS audit reports[48];
- ECA audit reports[49].

The severity of internal control deficiencies is classified based on a judgmental risk assessment by the Management in the following way:

- <u>Minor deficiency</u> - it has a minor impact on the presence and/or functioning of the principle. The principle is in place and functions well, only minor improvements are needed.
- <u>Moderate deficiency</u> – it has a moderate impact on the presence and/or functioning of the principle.
- <u>Major deficiency</u> – it has a significant impact on the presence and/or functioning of the principle, but the principle is partially effective.
- <u>Critical deficiency</u> - it has a fundamental impact on the presence and/or functioning of the principle and the principle is not effective.

The severity of deficiencies was in some cases re-assessed and documented based on the following (residual risk):

- mitigation of the identified risk of deficiencies by other control/s in place;
- implementation of a corrective action during Q1 2021;
- the state of play of the new corrective action agreed by the Management (to be implemented during the year in which the assessment takes place);
- the risk tolerance reassessment by the management from previous years.

Following the assessment and/or re-assessment of the deficiencies and considering its final severity, the principles and characteristics were classified in four categories as follows:

- Category 1 "Fully effective" - The principle is effective: present and functioning well, only minor improvements needed. Only minor deficiencies remain.
- Category 2 "Effective" - The principle is effective: present and functioning, but some improvements are needed. No more than one moderate deficiency remains.
- Category 3 "Partially Effective" - The principle is not effective: it is partially present and functioning, major improvements are needed. No more than one major deficiency or combination of several moderate deficiencies.
- Category 4 "Not Effective" - The principle is not present and functioning. There are several major deficiencies or a critical one.

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[47] Results of the Staff Engagement Survey are based on the initial report (8 March 2021) on the results of the Survey implemented in the beginning of 2021. As initially it was meant to organise the survey at the end of 2020, the reference is made to "2021 Staff Engagement Survey for 2020 period".

[48] IAS: for the internal control self-assessment 2020, EASO is following upon the recommendations stemming from the IAS Audit on EASO Human resources management and Ethics (2020). There are no pending recommendations from the previous years' audits.

[49] ECA: for the internal control self-assessment 2020, EASO is following on ECA Report for the Financial year 2019 including delayed observations from previous years.

After concluding on the efficiency and effectiveness of each internal control principle based on the categories shown above, the five components[50] and the overall internal control system was assessed using the same rationale by attributing categories at the level of each component and the Internal Control System as whole.

III.1.1.1 Control environment

Principles
1. The Agency demonstrates a commitment to integrity and ethical values. 2. The Management Board demonstrates independence from management and exercises oversight of the development and performance of internal control. 3. The Management establishes, with political oversight, structures, reporting lines, and appropriate authorities and responsibilities in the pursuit of objectives. 4. The Agency demonstrates a commitment to attract, develop, and retain competent individuals in alignment with objectives. 5. The Agency holds individuals accountable for their internal control responsibilities in the pursuit of objectives.

The following effective controls were identified:

- During 2020 and the first months of 2021, the Agency's ED has made considerable efforts to improve the **tone at the top**[51] regarding internal control, demonstrating commitment towards continuous progress. This is evidenced by 72% of staff replying to the SES question that at EASO "we take decisions and undertake necessary actions with integrity". The result is above the targeted value of 55% for the IC Monitoring criteria 1.1.1 and shows a positive trend compared with the result of 2019 – 58%. The reasons for the improvement of the tone of the top may be the result of several measures implemented during 2020 (non-exhaustive list):

  - Staff members are provided with a summary of Management meeting minutes;

  - Internal communication tools facilitating communication between the Management and the staff both in HQ and geographical locations have been made available;

  - Enhanced communication between the management and the Staff Committee in relevant matters (including COVID19 matters).

  - A Staff Engagement Survey was run two years in a row to gather feedback from staff on the tone at the top perception among other issues.

  - Several workshops and info sessions were held at the level of both management and staff to increase awareness of governance, risk management, internal control and decision-making processes in the Agency.

  - Staff turnover was reduced in 2020 – fewer staff left the Agency before completing half of their contract (3.3% compared with 4.93% in 2019).

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[50] EASO's Internal Control Framework consists of five internal control components (Control Environment, Risk Assessment, Control Activities, Information and Communication and Monitoring of Activities) which are built on 17 principles, based on the COSO 2013 Internal Control-Integrated Framework, and further supported by a number of characteristics.

[51] Tone at the top refers to the ethical behaviour and internal control atmosphere that is created in the workplace by the organisation's leadership. If the tone set by the managers upholds the Internal Control Principles, employees will be more inclined to uphold the same values.

The Agency's expectations on **Integrity and Ethical** values are set out by analogy to those standards of conduct of the European Commission and are understood at all levels of the organisation. Raised awareness was ensured through management meetings, COVID response team meetings, all staff meetings, MB briefings, brown bag lunches, etc. This was confirmed by the comprehensive audit on human resources management & ethics implemented by the Internal Audit Service[52] in 2020. IAS noted that: *"the Agency's ethical framework, incorporating policies that ensure staff and other workers associated with or representing the Agency always act in compliance with the law and the Agency's code of ethics, is an important internal control in the effective management of the Agency's human resources".* No recommendations were addressed towards the improvement of ethics related policies.

Ex-post controls gathered evidence of the measures in place ensuring an effective and efficient **Organisational Structure** of EASO. In particular, the EASO reorganisation commenced at the end of 2019 and effectively implemented in January 2020 contributed towards the reinforcement of certain horizontal functions in EASO:

- o The Legal Affairs and Data Protection Sector (LDPS) established in the Executive Office is fully resourced.

- o The ICRMS was established in 2020 which includes a new internal control and ex-post controls function together with guidance for the implementation of ex-post controls, to assess the efficiency and effectiveness of EASO's internal controls systems. EASO reinforced this function in 2021 with the adoption of a risk-based strategy for specific ex-post control of financial operations on 7 May 2021.

- o Governance reporting and quality assurance have also been reinforced through the establishment of two new sectors (Corporate Planning, Monitoring & Reporting Sector and Quality Management & Evaluation Sector).

    Regarding **Corporate Governance**, controls in place ensure that the MB oversees governance, risk management and internal control practices and takes overall political responsibility for management carried out by the ED. This is implemented by using the below listed working arrangements and communication channels:

    - In 2020 EASO continued reporting quarterly to the MB on the Governance Monitoring Indicators in the following areas: work programme, HR, staff engagement, internal control, procurement, budget, and finance.
    - There are also quarterly progress reports on the implementation of the Work Programme submitted to the MB.
    - In addition to the quarterly reporting on a fixed number of the indicators, provides updates at each Preparatory Group and MB Meeting on the state of play of internal control Management, with a particular focus on the follow up on the implementation of corrective actions as regards to IAS and ECA findings, the state of play of the internal control action plan and developments in risk management.

- o The Internal Control Coordinator supports the ED in the preparation of the CAAR information related to internal control and risk management, as well as provides a declaration and recommendations on the state of play of the EASO internal control system. The ED ensures that the annual ICSA report and the corrective action plan on internal control are reported in the CAAR and communicated to the MB.

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[52] Ref. Ares(2020)7244708 – 01/12/2020

In 2020 EASO continued establishing better structures, reporting lines and appropriate authorities and responsibilities in the pursuit of the Agency's objectives. A number of important policies and procedures were adopted contributing towards **re-enforcing the control environment**, in particular the new EASO organogram, the EASO Internal Structure and Rules of Procedure, a Standard Operating Procedure (SOP) on drafting, reviewing and approving governance and decision-making documents, a procedure on the use of the Paperless System and Electronic Signatures, a new Standard Operating procedure on Staff Recruitment, guidance on the new EASO Financial Regulation provisions on governance and roles and responsibilities of financial actors regarding governance and internal control as well as a procedure for the dentification and management of sensitive functions within EASO seeking to address any potential risk of the jobholders deliberately using their decision-making power or influence with a view to gaining some personal advantage (financial or otherwise).

In addition, and despite the circumstances related to the COVID-19 pandemic, EASO demonstrated a **continuous commitment to attract, develop, and retain competent individuals** in 2020.

Regarding staff **development**, the results of the Staff Engagement Survey 2020 showed improvements in the responses to a number of the questions used for the assessment of this principle:

- 86.12% of staff believes that learning activities and training are promoted actively by the Agency. The result is above the target value of 80% established by the internal control monitoring criteria 4.1.2. The corresponding value for 2019 was 81%.

- 71.6% of staff replied that they agree that the learning opportunities they get help them in keeping their technical knowledge and skills updated (Q42). The result is above the target value of 70% established by the internal control monitoring criteria 4.2.2. The corresponding value for 2019 was 71%.

For example, during 2020 EASO demonstrated dedication to increasing the competencies of all staff involved in the implementation of financial operations by providing finance, procurement and internal control trainings. As an example, only staff enrolled on compulsory control standards training[53] can be nominated and/or delegated for budget implementation tasks. As a result of this measure, the majority of staff involved in the financial circuits have been trained on internal control and fraud prevention through multiple training sessions in 2018, 2019 and 2020.

Regarding **staff retention**, staff turnover in 2020 was 5.7% which is below the Agency's agreed target of 7%. This correlates with the results for internal control monitoring criteria 4.2.1: the rate of statutory staff leaving the Agency before completing half of their contract is 3.3% for 2020 which is below the established target value of <5%. The corresponding value for 2019 was 4.93%.

In addition, during 2020 several measures were implemented to attract new staff in EASO, such as:

- implementing all selection procedures using on-line means;

- an E-Recruitment tool has been available for candidates to apply for vacancies as well as for HR to manage the procedure in an automated way.

As for the assessment of the **accountability of staff towards the pursuit of governance and internal control objectives,** it is important to highlight that the result obtained from the SES measured in 2020 to assess the percentage *of staff that feel responsible for their actions and output within EASO* has significantly increased from 61% measured in 2019 to 96.3%. This is much above the established target of 70%. Another internal control indicator (5.1.2) also confirms the improving trend in this area:

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[53] Article 74.7 of the General Financial Regulation: "(….) the authorising officer by delegation shall ensure … that the authorising officers by sub delegation and their staff receive regularly updated and appropriate information and training concerning the control standards…… (b) that measures are taken, where needed, to ensure the effective and efficient functioning of the control systems". To the end EASO has instituted compulsory training on control standards for all the actors involved on the financial circuits.

78.39% o*f staff stated that they are proud to work for EASO*. The target value of the indicator is 80%. The result shows an improvement compared with the result of 2019 – 77%.

The improvement of **staff accountability towards the governance and internal controls** may be due to the implementation of following recommendations from previous years Internal Control Self Assessments:

- Twelve training modules on internal control and fraud prevention were provided to staff during the year. Although this training is compulsory for staff nominated and/or delegated in the financial circuits, participants' feedback is quite positive - 8.2 rate of overall satisfaction out of 10;
- A dedicated intranet section on governance and internal control was made available to all staff, including guidance and updates on the key internal control and governance policies and new developments;
- Following the update of the Risk Management Manual, a more active role was given to the Risk Management Correspondents (RMCs) in all Units/Sectors, with the implementation of four workshops during the year. The network of RMCs is actively involved in the consultation process on different internal control related matters and their role is not limited to specific risk management activities. RMCs form a solid network supporting the Agency in the implementation of the internal control system, which promotes increasing accountability of staff towards internal control;
- Work programme progress reports were made available to staff on ERDMS;
- Missions, overall objectives, SMART[54] objectives linked to each Unit/Sector tasks, and/or activities, targets and performance indicators for all Units/Sectors were documented and endorsed by the MT. The Compendium was made available to all staff on EASO's intranet;
- The Staff committee was consulted on a number of important policies/procedures before their adoption. The consultation was especially intense during the COVID-19 period.

Last but not least, the **appraisal exercise** in 2020 was run via an automated tool in e-HR and info sessions on reclassification were organised for staff and managers. The reclassification process is also well presented on the intranet, together with lists of staff proposed for reclassification and the ED decision on staff to be reclassified. Before the launch of the performance appraisal exercise for 2021, the electronic performance appraisal system was revamped. Apart from technical improvements it will now include a new element - the Job Description. This ensures that the Job Descriptions are updated at least once a year if necessary.

III.1.1.2 *Risk assessment, including risks of fraud*

Principles
6. The Agency specifies objectives with sufficient clarity to enable the identification and assessment of risks relating to objectives.
7. The Agency identifies risks to the achievement of its objectives across the organisation and analyses risks as a basis for determining how the risks should be managed.
8. The Agency considers the potential for fraud in assessing risks to the achievement of objectives.
9. The Agency identifies and assesses changes that could significantly impact the internal control system.

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[54] Specific, Measurable, Attainable, Relevant and Time-based

Regarding the **annual risk management process** the Agency is continuously improving its ability to identify, prioritise and manage risks. Based on the lessons learned from the 2020 risk assessment exercise, the Risk Management Manual was again revised and adopted by the ED on 15 December 2020[55]. This evidences the Agency's commitment to ensuring that the risk management exercise is performed year after year in a more comprehensive and thorough way, fully integrated in the organisational culture of all EASO's activities.

In July 2020, an **objective setting exercise** was launched and coordinated by the Executive Office to ensure a discussion in all Units. During this exercise, every Unit Mission, all Overall Objectives, SMART Objectives, Tasks/Activities, Specific Targets and Key Performance Indicators relevant to their activities, processes and procedures were discussed and updated seeking to ensure that the Agency, its centres and units/sectors mission statements and objectives are clearly set, agreed and understood.

The output of this exercise was documented by the Executive Office in a compendium that has been endorsed by the EASO Management and the ED. The compendium was consistently filtered down from the top to the various levels of the organisation by making it available on the EASO intranet, so that it is communicated and understood by the Management as well as staff.

In addition to the above, the objectives and indicators covering EASO's most significant activities contributing to the delivery of the Agency's priorities related to the core business as well as operational management, are established in the Multi-annual and Annual work programmes.

EASO is monitoring on a regular basis the implementation of objectives through the Key Performance Indicators (KPIs) available in the Compendium of objectives, the Internal Control Monitoring Criteria (Annex XI) and in the Work Programme. The Agency also periodically reports to the MB and the Management on a number of governance and management indicators.

Based on the objectives, targets and performance indicators set by all Units, an **identification of new risks and a monitoring exercise** of the risk previously identified is performed quarterly by a combination of the bottom-up and top-down approaches. The identified risks are assessed based on their likelihood of occurrence and the significance of the potential impact at a residual level, taking into consideration the existing controls. Central monitoring and reporting of the identified critical and significant risks is coordinated by EXO (Executive Office), and updates on the risk responses and/or the need for further actions, are reported quarterly to the MB.

As a result of all actions described above, the EASO central risk register includes the significant and critical risks validated by the Management as well as the action plans, including risk responses, for addressing these risks. All new Significant and Critical risks identified during the quarterly reviews are documented in quarterly reports, approved by the ED and made available to all staff on the intranet.

By the end December 2020, 20 measures were defined to mitigate significant and critical risks identified during the risk management exercise, out of which 11 actions have been implemented and 9 are in progress. Out of the 11 actions implemented, 7 were implemented by the indicated deadline and 4 actions were implemented ahead of the deadline, as indicated in a graph below:

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[55] EASO/EDD/2020/117 of 15/12/2020

Status of the mitigating measures by Q4 2020

IN PROGRESS — In progress, 9

IMPLEMENTED AHEAD A DEADLINE — Implemented ahead of the deadline, 4

IMPLEMENTED BY THE DEADLINE — Implemented by the deadline, 7

TOTAL NUMBER OF CORRECTIVE MEASURES — Total number of corrective measures, 20
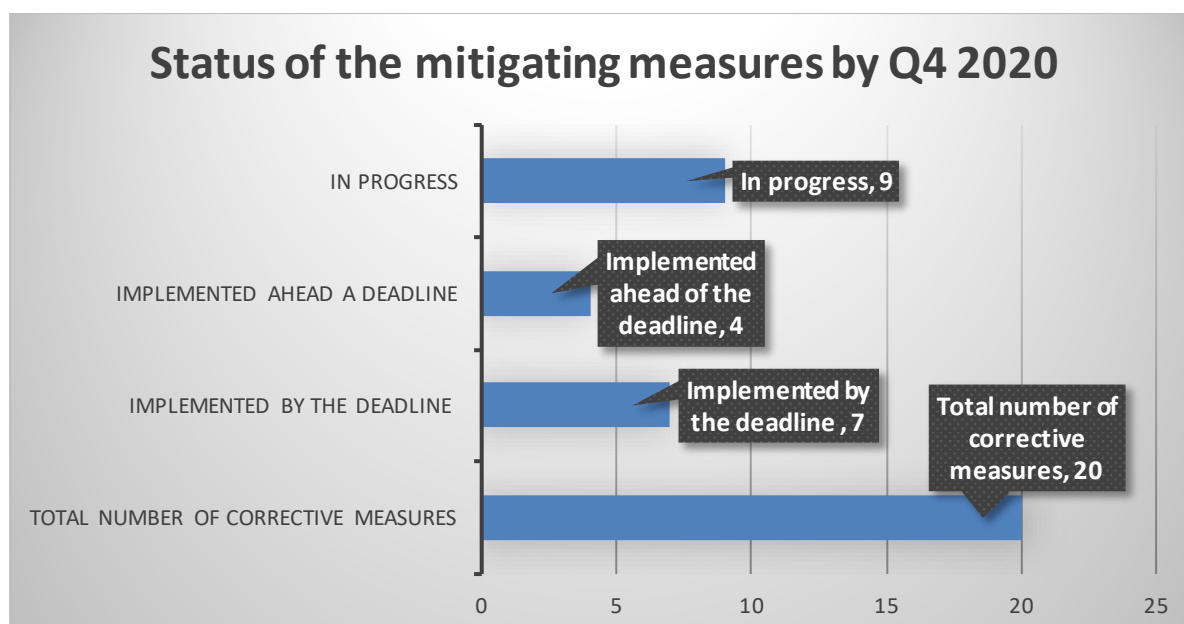
EASO is actively **reinforcing a culture of awareness of the Risk Management** process with a bottom-up approach where both staff and Management are involved.

As part of this process, four dedicated info/training sessions for EASO Risk Management Correspondents (RMC) were held during 2020 (a Fraud Risk Management Workshop, two workshops for the Annual Risk Assessment Exercise, and an Info Session on the Anti-Fraud Strategy and Sensitive Functions). All the material shared with the RMCs is made publicly available to EASO staff on the EASO intranet.

To **identify and mitigate the risk of fraud** several control measures were implemented during 2020:

- The Fraud Risk Register Action Plan was implemented and as a result the Anti-Fraud Strategy 2020-2020 was adopted by EASO MB (described in detail in II.1.3);
- A register of sensitive functions within EASO was adopted by the ED, based on the risk assessment carried out by the Management. This is an important measure seeking to address any potential risk of the jobholders deliberately using their decision-making power or influence with a view to gaining some personal advantage (financial or otherwise);
- An internal control and ex-post controls' function was established to detect and prevent the risk of management overriding controls.

EASO considered and **managed changes in the internal and external environment, in policies and operational priorities** during 2020. For example (non-exhaustive list):

- One of the major internal organisational changes EASO went through 2020 was the Agency's re-organisation. The revised EASO organogram, implementing further necessary improvements, was implemented during 2020. Consequently, a new Internal Structure and Rules of Procedure were adopted in October 2020. The change of organisational structure triggered certain changes in a number of internal processes and procedures. Importantly, it affected the financial delegation/sub-delegation process, and, consequently, a number of delegations/sub delegations were signed in April and December 2020. Moreover, the new organisational structure affected the reporting lines for a number of EASO staff and this was reflected in numerous ED decisions.

- To address changes in policies and in particular those introduced by the new EASO Financial Regulation adopted by the MB in August 2019, guidance on the main internal control and governance changes introduced by the EASO Financial Regulation 2019 and the General Financial Regulation 2018) was prepared in 2020, shared with staff by email as well as made available on the

intranet. It contributed to EASO's commitment to keep its staff, and in particular RAOs, updated with the regulatory requirements in order to respond to them in an effective and efficient way.

- EASO has been anticipating a new mandate as European Union Agency for Asylum (EUAA) by establishing an internal EUAA Implementation Task Force and preparing an EUAA Roadmap. The document is regularly updated and presents activities and steps foreseen in the operationalisation of the priority areas selected by the EASO MB in the anticipation of the new mandate. Consequently, the concept notes for the identified priorities were prepared and endorsed by the MB. The EUAA Transition Concept Note was prepared providing with a high-level overview of the programme and its objectives as well as an EUAA transition mapping document presenting the main outputs and associated tasks as per the EUAA regulation.

As regards the **EASO Management's attitude towards the internal control system**, it should be noted that the Management is contributing extensively to the reinforcement of the EASO internal control system. During 2020, various aspects of the internal control system were discussed continuously in Management meetings, with the support of the ICC, in particular (non-exhaustive list): ex-post controls, internal control self-assessment methodology, results, recommendations and corrective actions, internal control monitoring criteria, Audit findings (IAS and ECA), Central Risk Registers, Anti-Fraud Strategy, Register of Sensitive Function, Register of exceptions and non-compliances and Risk Management Methodology. In addition, by Q4 2020, the vast majority of EASO managers (86%) had participated in training on internal control, fraud prevention and Risk Management.

III.1.1.3   Control activities

Principles
10. The Agency selects and develops control activities that contribute to the mitigation of risks to the achievement of objectives to acceptable levels.
11. The Agency selects and develops general control activities over technology to support the achievement of objectives.
12. The Agency deploys control activities through corporate policies that establish what is expected and in procedures that put policies into action.

During 2020, EASO implemented several **control activities to ensure the mitigation of risks** related to the achievement of policy, operational and internal control objectives. These control activities were performed at all levels of the organisation, at various stages of business processes and across the technology environment. The Agency is committed to deploy control activities through corporate policies and the Management periodically reassesses them to ensure that they remain relevant. New control measures were identified by the Management to further improve control activities during 2021. These measures are documented in the Register of Deficiencies and Corrective Action Plan (Annex IX).

EASO proved that it was able to react effectively and efficiently and ensure **business continuity** in a real crisis situation in 2020, despite the absence of a formally approved BCP. The Agency's immediate response to the outbreak of the COVID 19 outbreak[56] was establishing precautionary measures based on risk assessments issued by the European Centre for Disease Prevention and Control to guide EU response activities. These measures were continuously updated as the pandemic evolved, and scientific and public health guidance was revised. The factual situation proved that Agency's response was efficient and effective and that EASO was, and continues to be, able to control the situation using

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[56]   in the form of the EDD/EASO/2020/009 of 28 February 2020 on establishing precautionary measures in relation to the recent outbreak of the Novel Coronavirus (COVID-19).

the appropriate measures and with the right decisions taken by the COVID-19 Response Team[57], which was composed of top management and key staff.

A strategy for the return of staff to the office was established in June 2020 with a phased approach, allowing controlled escalation or de-escalation from one phase to another depending on prevailing circumstances. With the actions and measures taken, EASO has demonstrated resilience and continued to carry out its activities within the constraints imposed by the prolonged pandemic.
EASO has, in parallel, been implementing a Business Continuity framework, including conducting and documenting a business impact analysis and preparing **Business Continuity plans** for critical processes. While the project has been on-going throughout 2019 and 2020, progress has been affected by a number of challenges, amongst others the adoption of a new EASO organogram and COVID-19 related circumstances. In effect, 9 critical processes have been mapped into a Business Continuity Plan for triggering in the first 24 hours in case of a critical event. The Agency has initiated the development of Business Continuity Plans for processes with significant impact (recovery time within 1 week).

Regarding **EASO IT governance and control over technology**, EASO Information and Communications Technology (ICT) projects are governed within the established practices already in force in the Agency for a number of years. All new initiatives that meet the established criteria to become projects follow the procedure and are sponsored at Management level. Software development practices are in line with current technological trends but are not formalised in a working instruction. A roadmap for the formalisation was agreed at an organisational level in September 2020 and one of the deliverables of this roadmap is the establishment of a Software Development Life Cycle code of practice. This is a deliverable for 2021 and a first draft is ready at the time of the writing of this report. Furthermore, EASO ICT ensured a successful and smooth transition to full teleworking mode due to COVID-19 outbreak related circumstances by:

- provisioning ICT equipment for staff and interims to ensure remote work;
- increasing the bandwidth capacity to support seamless functioning of applications/tools;
- implementing the technical solution for electronic signatures for all staff;
- supporting an increased number of videoconferences;
- implementing three MB meetings via remote means, including translation and voting;
- implementation of an e-recruitment process including interviews;
- assuring operational business continuity by sustaining the throughput of asylum claim interviews via remote means.

The active role of ICT including daily interaction with staff led to positive feedback in a survey on ICT's client-driven service desk.

In addition, in line with the established work plan, ICT continued to enable the automation of processes and increase efficiency in the workplace in 2020. The indicator measuring this KPI exceeded the target established in the work programme. ICT continued the communication practice of reporting ongoing changes and improvements to all staff and has engaged, when necessary, in training the organisation to have proficiency in the new tools.

Regarding **ICT security**, in 2020, ICT continued to strengthen EASO's cyber security. EASO ICT has ensured an effective response towards cyber incidents (45% of which are handled by machine learning and automated playbook practices). It also established the response actions needed to minimise cyber-attacks. The EASO Cybersecurity Incident Response Plan is now formalised and constitutes part of the overall BCP documentation package. Furthermore, ICT security controls are ensured by the

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[57] The COVID response team was established by EDD/EASO/2020/020 of 11 March 2020.

Information Security Officer and security assistants participating in the Change Advisory Board meetings for all changes, and by assessing security aspects of all ongoing deployments. Training sessions and cyber awareness campaigns to increase competences on the ICT security aspects was organised for all staff in 2019, continued in 2020 and will progress in 2021.

As the Agency is committed to further developing control activities related to technology to support the achievement of the objectives, additional control activities to be implemented during 2021 were identified by the Management. These are documented in Annex IX.

III.1.1.4 Information and communication

Principles
13. The Agency obtains or generates and uses relevant quality information to support the functioning of internal control. 14. The Agency internally communicates information, including objectives and responsibilities for internal control, necessary to support the functioning of internal control. 15. The Agency communicates with external parties about matters affecting the functioning of internal control.

Information and document management is an important tool for the organisation to carry out internal control and support the achievement of objectives. To this end, during 2020 EASO has fully implemented ERDMS – "the Electronic Records and Document management system" in compliance with applicable internal document management rules. All units/sectors have migrated to the SharePoint based system leaving no alternative solutions in the Agency for document storage – eliminating shared drives, etc.

The final implementation of ERDMS was preconditioned to the adoption of key governance documents in the field of document management. The Record Retention and Disposal Policy[58] established the retention periods and disposal rules for different types of EASO official records in the form of a records retention schedule. It also established the roles and responsibilities of staff in the field. The Business Classification Scheme[59] provides an overview of the Agency's business functions and activities, ensures the consistency and coherence of the Agency's filing systems across all sectors , makes it easier to find EASO documents and official records by means of the metadata used for the classification plan headings and supports the use of an approved retention policy for all EASO official records.

As a result of the new control activities implemented in the area of information and document management, the important recommendation from IAS related to the full implementation of a document management system, that has been pending since 2017, was formally assessed as implemented and thus closed by the auditors[60] in Q1 2021.

Data protection matters are coordinated by EASO's Data Protection Officer (DPO) within the Legal and Data Protection Sector (LDPS) in EXO. Since 2018 compliance with data protection rules is ensured by implementing a Standard Operating Procedure of Data Protection Compliance Support[61].

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[58] EASO/EDD/2020/105 of 02/10/2020.
[59] administrative circular on the Business Classification Scheme (BCS) (EASO/AC/2020/007 of 15/10/2020).
[60] IAS Note on Audit conclusions ARES (2021)1584731 02/03/2021.
[61] 2018, SOP 09_M.

Internal rules [62] concerning restrictions of certain rights of data subjects in relation to the processing of personal data in the framework of the functioning of EASO were adopted by the MB in line with Art. 25 of the new Data Protection regulation (2018/1725). This decision foresees instances when restrictions of certain rights of data subjects can be put in place by the Agency. A dedicated intranet site for Data protection is available for staff, which provides detailed information about the data protection legal framework, the roles and responsibilities of staff and of the DPO, as well as the Data Breach Notification Form. During 2020 the DPO has implemented data protection impact assessments for several projects.

The **access to public documents** procedure is also coordinated by the Legal and Data Protection Sector (LDPS) within the Executive Office. The internal framework for public access to documents in place at EASO is set by an MB Decision [63] laying down practical arrangements regarding public access to the documents of EASO as well as a Standard Operating Procedure for public access to documents [64].

In 2020 the internal process for Public Access to Documents was re-structured and streamlined to meet the legal deadline for replies by ensuring better coordination of the involved actors and establishing proper communication channels internally for enquiries received from the EASO website. A revision of the internal documentation governing this process is planned for 2021.

The **EASO Security Governance Framework** [65] was adopted by the ED in April 2021. This framework defines the priorities and objectives to be pursued in the implementation of security mechanisms in EASO, including those for **security information**. Security and safety in EASO, as defined in the EASO Security Governance Framework, is based on several security pillars, one of which is "Security measures regarding information".

Pursuant to Article 43(1) of the EASO Regulation, the Agency shall apply the security principles contained in Commission Decision (EU, Euratom) 2015/444 of 13 March 2015 which lays down basic principles and minimum standards for protecting EU classified information. To facilitate its application in EASO, Appendix 2 of the EASO Security Governance Framework contains a Table of Equivalence setting out how certain terms established in Commission Decision 2015/444 should be understood within the Agency.

Regarding **Internal Communication**, the ED communicates internally about objectives, actions taken, and results achieved in the implementation of internal control activities. During 2020 the following strengths and improvements of internal communication systems were identified:

- The new EASO Communication Strategy covering internal and external communication was endorsed by EASO's Management in 2020 and was shared with the MB.
- New Visual Identity guidelines were developed to ensure consistency of EASO's visual identity as well as to prepare the move towards a more reinforced mandate.
- Internal control communication provided staff with the information needed to carry out day-to-day controls and achieve internal control objectives. For example, in 2020 a new Internal Control Information and Communication tool was made available in EASO's intranet allowing staff to explore the Agency's Internal Control System as well as providing a description by component, principle and characteristic.
- Despite the challenges related to the COVID-19 pandemic, the Agency continued to effectively communicate internally with EASO staff. The Communications and Public Relations Unit continued to promote transparency in terms of decision-making from senior management and the EASO COVID-19 Response Team to staff. For example, daily situational updates were

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[62] MB Decision 64 on internal rules concerning restrictions of certain rights of data subjects in relation to the processing of personal data in the framework of the functioning of the EASO of 06/07/2020.
[63] MB Decision 6 laying down practical arrangement regarding public access to the documents of 20 September 2011.
[64] SOP 11_M.
[65] EASO/EDD/2021/061.

provided, and a dedicated section set up on the EASO intranet for information related to COVID-19, which included contact numbers for national authorities, COVID-19 data, minutes of the COVID-19 Response Team meetings, all the relevant EDDs and various other documentation of relevance to staff including regular information on the latest national measures and relevant travel restrictions In addition, a dedicated EASO COVID-19 Info mailbox was set up to which staff could send specific COVD-19 related questions. Updates were also provided on any COVID-19 cases among staff, while ensuring that personal data was never disclosed (all information – including gender – was completely anonymous).

Furthermore, the EASO Staff Committee was consulted extensively by management on a range of proposed developments. This included initiatives relating to COVID-19 such as the teleworking strategy and the reimbursement scheme for the purchasing of office equipment at the homes of staff.

In addition to the above, all internal news was published in the 'EASO Insider' internal newsletter, on the intranet, on internal information screens, through Core Business Briefing (CBB) events and info sessions, videos, etc. Staff was also informed about the main developments relating to the core business of EASO by receiving daily press reviews and all EASO Press Releases, as well as through continuous updates of the intranet and various web pages. Summary reports of all Management meetings were published on the intranet and made available to all staff. All internal and governance documents were published on the intranet, archived in ERDMS and staff informed accordingly.

The result of the assessment of the monitoring criteria agreed by the Management showed that 76.86% of staff replied that the information provided by their line manager allowed them to understand the reasons for what they have to do. The target of 70% for IC indicator 14.1.1 was thus reached and the percentage has slightly increased compared with the results of 2019 (74%).

Since the adoption of the EASO Guidelines on Whistleblowing in 2019, EASO is increasing its efforts to raise staff awareness on the procedure and the dedicated **whistleblowing channels**. Information is clearly presented in ICRMS intranet page (whistleblowing hotlines, including fraud allegation online forms) with links to additional information and guidance from OLAF.

Moreover, the procedure is well explained, and awareness is raised during training sessions (4 training sessions in 2020 attended by 67 participants) and Ethics and Integrity training sessions (3 events in 2020 attended by 70 participants). The total number of participants to the aforementioned sessions (137) constitutes 36% of the staff employed at the end of 2020. Considering the number of events where the whistleblowing procedure is presented, it was concluded that the Internal Control indicator 14.2.1 (Y/N) "*EASO organised events to raise awareness on whistleblowing procedure at least annually*" was achieved.

The Agency also put in place new measures, policies and processes during 2020 to ascertain that **external communication** is consistent and relevant to the audience that is targeted:

- A new Communication Strategy was approved by Management, as well as presented to the MB. The Communication Strategy was presented to staff in Q1 2020 during a dedicated info session.
- The Agency monitors and evaluates its communication activities based on pre-defined objectives and KPI. Starting from the Single Programming Document 2021 the indicators have been streamlined/updated to make them more relevant for measuring the effect of communication activities, notably including the reach of our communication activities.
- Over the past three years EASO's online media reach increased by 636% (doubling annually for 3 consecutive years) and EASO's social media reach increased by well over 1000% in the same period, currently making it one of the most followed EU Agencies. Specifically, in 2020 EASO reached an online media audience of 16.2 billion in 2020 (compared with 2.2 billion in 2017).

- To ensure consistency in its external communication, EASO developed internal processes for the review and approval of public products.
- The Agency duly communicates and reports relevant information on the state of play of its Internal Control Systems with external parties by means of the CAAR. In addition to this, EASO provides regular updates to ECA and IAS during the year.
- Moreover, EASO has established a solid communication line with the Budgetary Authority. The Agency regularly provides feedback on the internal controls in the context of the discharge procedure.
- EASO continued to maintain and strengthen its relations with its stakeholders, both at the political and technical level, formally and informally. In 2020 EASO participated in over 100 external meetings and around 150 bilateral meetings were held with stakeholders at a political or technical level.
- EASO also continued to engage closely with other EU Agencies, actively participating in the EU Agencies Network and the Justice and Home Affairs Agencies Network meetings and sub-networks, in addition to bilateral engagements in line with Working Arrangements/Cooperation Plans or ad hoc initiatives.

The results of the last Staff Engagement Survey 2020 allow EASO to presume that the majority of its staff positively perceives EASO's external communication activities. Indeed, 71.61% of EASO staff answered positively (16.67% fully agree and 54.94% agree) to question 67 – "*EASO provides consistent and regular information on the Agency's core business in line with all applicable rules to external stakeholders and the press*".

III.1.1.5 Monitoring activities

Principles
16. The Agency selects, develops, and performs ongoing and/or separate assessments to ascertain whether the components of internal control are present and functioning.
17. The Agency assesses and communicates internal control deficiencies in a timely manner to those parties responsible for taking corrective action, including the Management Board and senior management, as appropriate.

Continuous and specific assessment tools are used by EASO's ED to ascertain whether each of the five components of internal control are present and functioning. The assessments are built into the business processes at different levels throughout the Agency and provide information of any governance, internal control and risk management deficiencies. Findings are assessed centrally by the ICC, re-assessed by the Management and recommendations and corrective actions are proposed by the ICC, documented, communicated, agreed with Management and regularly monitored.

During 2020 the following control measures and policies were implemented to enhance the efficiency and effectiveness of EASO's Internal Control assessment tools:

- The ICSA methodology is documented and revised bi-annually based on lessons learnt and discussions with the Management. The ICSA methodology for 2020 and 2021 was approved by Executive Director Decision EASO/ED/2020/142 of 26/10/2020. The methodology takes into consideration multiple sources of information for the ICSA. The methodology is available to all staff on the EASO intranet page.

- The ex-post controls and internal controls' function was established and formalised by Executive Director Decision 01 of 03/02/2020. Within this decision an ex-post controls guide

was adopted, as well as a professional code of conduct for the Ex-post Control Verifying Agents.

- Ex-post controls on the efficiency and effectiveness of EASO's internal control systems are implemented within the target deadlines agreed with the Head of EXO and the ED, and the results are made available to feed the Declaration of the ED and the ICC on the CAAR.

- EASO seeks to ensure that the managers involved in separate Internal Control assessments have sufficient knowledge of EASO's ICF. Therefore, trainings on internal control are organised on a regular basis. As a result of this, by Q4 2020 86% of managers (Heads of Sector, Unit and Centres) have followed training on the ICF and this result exceeds the target of 85% for the Internal Control Monitoring Criteria 16.2.1.

- All deficiencies, irrespective of the source, are documented in the Register of Deficiencies and Corrective Action Plan, together with corrective actions that is endorsed by the Management and monitored quarterly by the MB.

During 2020, the list of deficiencies was compiled using the following sources:
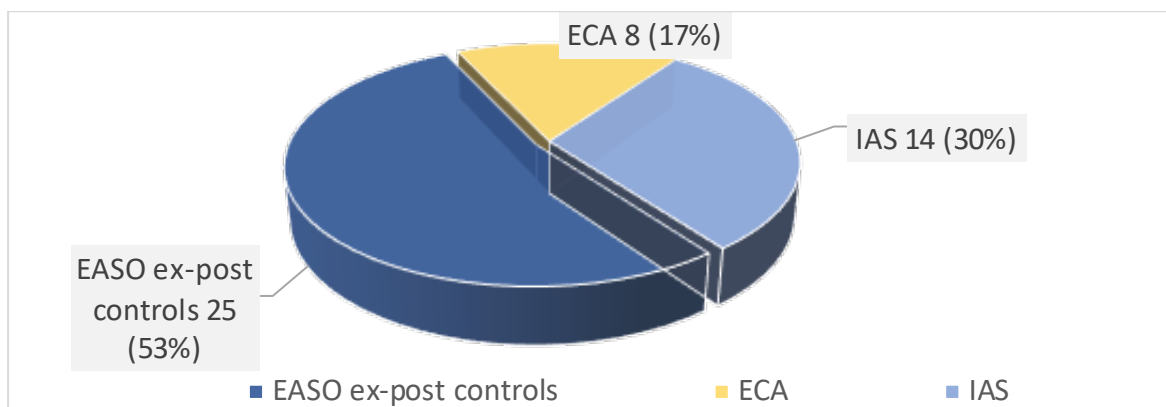
The primary source of information for this ICSA are 46 **internal control monitoring criteria indicators (ICMC)** [66] adopted by the Management for the financial year 2020 (Detailed results compared to the baselines and agreed target by Management are available in Annex XI).

Following the analysis of the Internal Control Monitoring Criteria, it was concluded that 98% of indicators were either achieved (81%) or partially achieved (17%) as shown in the graph below:

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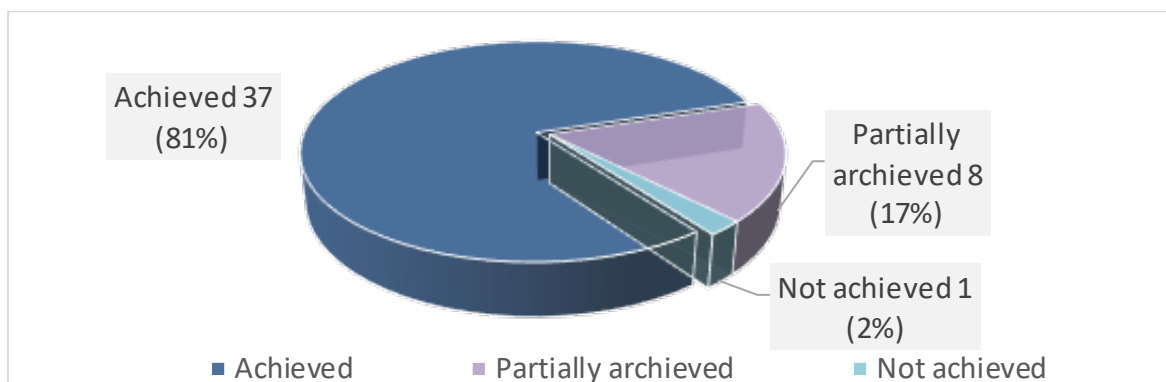
[66] ICMC are indicators of performance and compliance with Internal Control Principles defined by Management for a given period of time. For each indicator the Management defines the baseline value at the beginning of the period as well as the expected target to be achieve at the end of the period under assessment.

The achievement of EASO targets for the ICMC for 2020 also shows an outstanding improvement compared to the results of 2019:

- 81% achieved in 2020, compared to 56% in 2019
- 17% partially achieved in 2020, compared to 32% in 2019
- 2% not achieved in 2020, compared to 12% in 2019

The overall status of the internal control system shows continuous improvement as reflected in the following graphs:
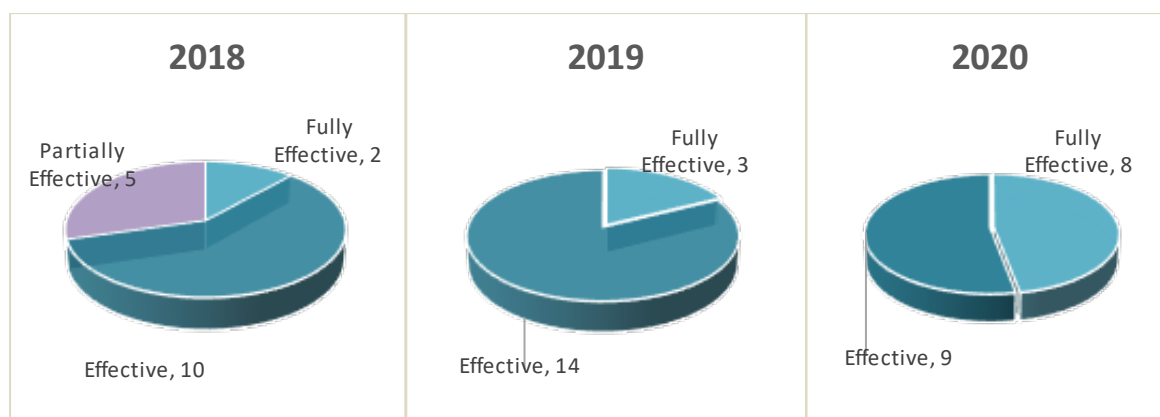
New corrective actions identified as a result of the ex-post controls are continuously built into the business processes of EASO in order to increase the performance and assurance provided by the control system in place to the Management and the ED.

III.1.2 Information on how effectively the internal control principles are implemented

During the internal control self-assessment, it was identified that 8 internal control principles are fully effective and 9 are effective. This means that certain principles require some improvements, but controls in place are overall working as intended. Detailed information on how effectively the internal control principles are implemented is presented in the part III.1.1. together with the key controls in place for each internal control principle.

Component	No.	Principles Description	Assessment & Category 2019	Assessment & Category 2020
Control environment "Effective"	1	Demonstrates commitment to integrity and ethical values	Category 2 "Effective"	Category 2 "Effective"
	2	Exercises oversight responsibility	Category 2 "Effective"	Category 2 "Effective"
	3	Establishes structure, authority and responsibility	Category 2 "Effective"	Category 1 "Fully Effective
	4	Demonstrates commitment to competence	Category 2 "Effective"	Category 2 "Effective"
	5	Enforces accountability	Category 2 "Effective"	Category 1 "Fully Effective"
Risk assessment	6	Specifies suitable objectives	Category 2 "Effective"	Category 1

Component	No.	Principles Description	Assessment & Category 2019	Assessment & Category 2020
"Fully Effective"				"Fully Effective"
	7	Identifies and analyses risk	Category 1 "Fully Effective"	Category 1 "Fully Effective"
	8	Assesses fraud risk	Category 2 "Effective"	Category 1 "Fully Effective"
	9	Identifies and analyses significant change	Category 1 "Fully Effective"	Category 1 "Fully Effective"
Control activities "Effective"	10	Selects and develops control activities	Category 2 "Effective"	Category 2 "Effective"
	11	Selects and develops general control over technology	Category 2 "Effective"	Category 2 "Effective"
	12	Deploys through policies and procedures	Category 2 "Effective"	Category 2 "Effective"
Information and communication "Effective"	13	Uses relevant information	Category 2 "Effective"	Category 2 "Effective"
	14	Communicates internally	Category 2 "Effective"	Category 1 "Fully Effective"
	15	Communicates externally	Category 1 "Fully Effective"	Category 1 "Fully Effective"
Monitoring activities "Effective"	16	Conducting ongoing and /or separate assessments	Category 2 "Effective"	Category 2 "Effective"
	17	Assessing and communicating internal control deficiencies	Category 2 "Effective"	Category 2 "Effective"

III.1.3 Information on the principles with which the Agency does not comply yet

The Management, with the support of the ICC, identified 88 corrective actions (in comparison with 112 corrective actions in 2019) to immediately address 47 documented deficiencies of the internal control system of EASO.

It is important to note that for the majority of these deficiencies, as shown in the following graph, the assigned corrective actions are being implemented and that several correctives of these actions have been already implemented in the first quarter of 2021:
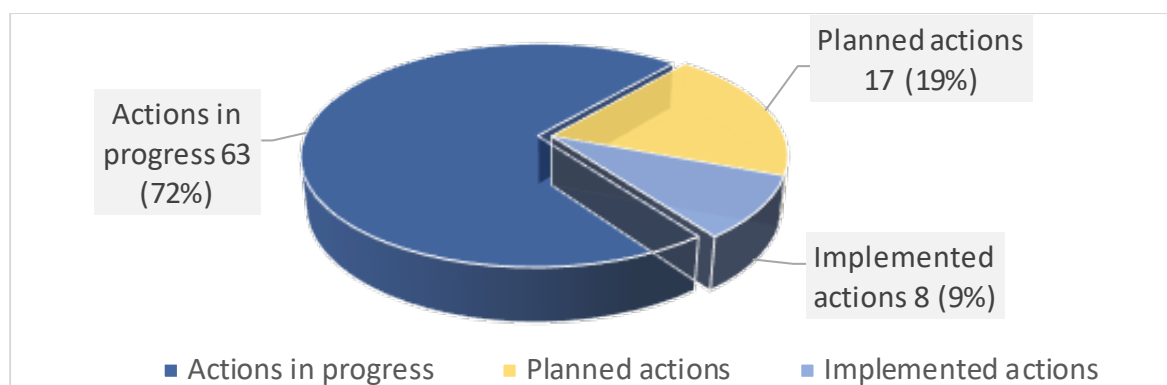
Only 17 corrective actions (19%) identified during the 2020 ICSA are still in the planning stage.

The improvements needed in the Agency's internal control system are listed in detail in the Register of Deficiencies and Corrective action plan available in Annex IX.

III.1.4 Prevention, detection and correction of fraud

EASO applies a zero-tolerance policy regarding fraud. However, at the same time EASO recognises that preventing all cases of fraud is virtually impossible. Thus, the fraud prevention objectives, priority measures and controls are set out in the EASO **Anti-Fraud Strategy 2020-22**[67] aiming to maximise the likelihood that fraud will be prevented or detected in a timely manner, and thereby creating a strong fraud-deterrence effect. The strategy has been developed in light of the results of a fraud risk assessment exercise implemented in April 2020 for the 2020-22 period.

III.1.4.1 Implementation of the EASO Anti-Fraud Strategy

EASO has identified **five fraud prevention risk management objectives** to enable the identification and assessment of incentives, pressures, opportunities and attitudes which may lead to any type of fraud. These five fraud risk management objectives fully support, are entirely consistent with, and correspond to the EASO Internal control Framework's seventeen internal control principles and five components. Based on the pre-defined fraud prevention risk management objectives, EASO's Management, with the support of the ICC, has adopted **priority measures** for 2020-2022 to address possible incentives, pressures, opportunities and attitudes which may lead to any type of fraud, notably fraudulent reporting, loss of assets, disclosure of sensitive information and corruption.

For each priority measure, the Management has documented the **control activities**[68] defined or planned in EASO to provide reasonable assurance to the ED on the achievement of the fraud prevention objectives and priority measures. The control activities linked to the priority measures and fraud prevention objectives are documented in Annex X.

III.1.4.2 Mechanisms put in place for EASO Anti-Fraud Strategy monitoring

The proposed fraud control activities and fraud risks identified were introduced into the EASO Anti-Fraud Strategy for 2020-22 and were the object of a re-assessment carried out by the MT, based on a pre-defined methodology approved by the ED [69]. Following this, the Management re-assessed and endorsed the Fraud Risk Register Action Plan proposed by the EASO ICC that was elaborated in agreement and following discussions with all RMCs.

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[67] EASO/MB/2020/067 of 06/07/2020.

[68] This overview entails a 'snapshot' of the situation at the time of adoption of this present MB Decision. As such, the most up to date overview is subject to regular change over time.

[69] EASO/EDD/2020/078 of 08/04/2020.

The implementation status of control activities in the Agency's Anti-Fraud Risk Register by the end of Q4 2020 and Q1 2021 is presented in the graphs below:
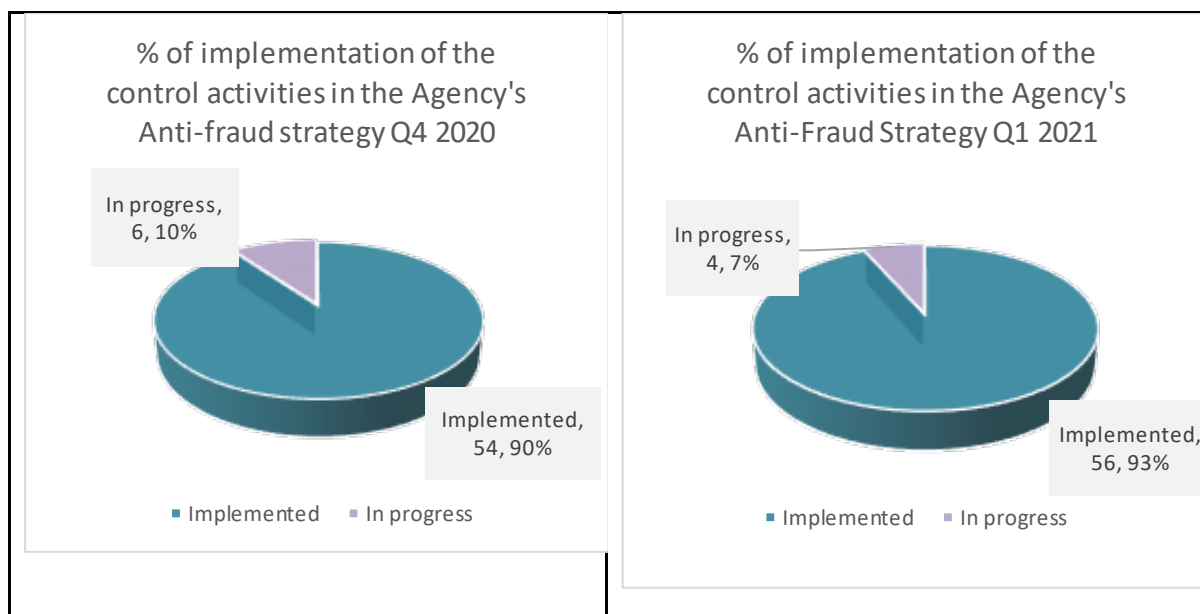
The graphs above show that EASO has continuously progressed in the implementation of EASO controls activities defined by EASO Management on the Anti-Fraud Strategy 2020-22, increasing the number of control activities implemented. By Q1 2021, 56 of the 60 initially established activities were implemented. The pending activities are foreseen to be implemented as soon as EASO's Risk based ex-post financial control strategy is adopted.

Detailed analysis on the status of the implementation of these Anti-Fraud Strategy 2020-22 control activities is available in Annex X.

III.1.4.3 Implementation and monitoring of EASO's policies for the prevention and management of conflicts of interest

The Common Approach on EU decentralised Agencies endorsed in July 2012 by the European Parliament, the Council of the EU and the European Commission and the roadmap thereof adopted in December 2012, mention the need to address the issue on prevention and management of conflict of interest to enhance the EU Agencies accountability, transparency and good management.

Based on the guidelines drafted by the European Commission, EASO adopted a policy which sets out a number of principles, procedures and tools aimed at preventing, identifying and managing situations of conflict of interest. The comprehensive audit on human resources management & ethics implemented by the Internal Audit Service in 2020 confirmed that: "the Agency's ethical framework, incorporating policies that ensure staff and other workers associated with or representing the Agency always act in compliance with the law and the Agency's code of ethics, is an important internal control in the effective management of the Agency's human resources".

The present policy is now under revision and re-assessment to ascertain that it is up to date and complete in accordance with EASO's new regulatory provisions and to adapt it to the new organisational structure adopted in January 2020.

The revised policy will be applicable to:

- All EASO staff and other personnel delivering services at EASO (officials, temporary agents, contract agents, SNE, trainees, and interims);
- Members of the MB, including alternate members, observers and national experts;
- EASO working parties or networks members and experts.

III.2 Conclusions of assessment of internal control systems

III.2.1 The overall result of the management assessment of the effectiveness of internal control systems

The assessment of the Internal Control System was carried out by the Management in coordination with the ICC. At the level of the principles, it was concluded that 8 principles are fully effective and 9 are effective (please refer to table in part III.1.2).

At the level of the components (based on an analysis of the results at principle level), it was concluded that all the components are effective, whilst improvements are needed as shown in the table below.

Overall Assessment Form[70]

Internal control Component	Categorisation 2019	Categorisation 2020	Explanation/Conclusion
CONTROL ENVIRONMENT	**Effective (Category 2)**	**Effective (Category 2)**	All five principles are effective but need some improvements (2 principles category 1 and 3 principles category 2), the Management concludes that the component is present and functioning and that the system of internal control is effective, but some improvements are needed.
RISK ASSESSMENT	**Effective (Category 2)**	**Fully Effective (Category 1)**	All four principles are fully effective, only minor improvements are needed (category 1), the Management concludes that the component is present and functioning and that the system of internal control is fully effective, but minor improvements are needed.
CONTROL ACTIVITIES	**Effective (Category 2)**	**Effective (Category 2)**	All three principles are effective, but need improvements (category 2), the Management concludes that the component is present and functioning and that the system of internal control is effective, but some improvements are needed.
INFORMATION AND COMMUNICATION	**Effective (Category 2)**	**Effective (Category 2)**	All three principles are effective, but two of them require some improvements (category 2), the Management concludes that the component is present and functioning and that the system of internal control is effective, but some improvements are needed.
MONITORING ACTIVITIES	**Effective (Category 2)**	**Effective (Category 2)**	Both principles are effective, but need improvements (category 2), the Management concludes that the component is present and functioning and that the system of internal control is effective, but some improvements are needed.

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[70] Category 1 "Fully effective" - The component is effective: present and functioning well, only minor improvements needed. Only minor deficiencies remain.
Category 2 "Effective" - The component is effective: present and functioning, but some improvements are needed. No more than one moderate deficiency remains.
Category 3 "Partially Effective" - The component is not effective: it is partially present and functioning, major improvements are needed. No more than one major deficiency or combination of several moderate deficiencies.   Category 4 "Not Effective" - The component is not present and functioning. There are several major deficiencies or a critical one.

OVERALL ASSESSMENT (1/2/3 or 4)	Effective (Category 2)	Effective (Category 2)	
Is the overall internal control system effective?	Because all five components are effective and all the principles are fully effective (category 1 – 8 principles) and effective (category 2 – 9 principles), after considering the residual risk after the approval of the Management of the corrective action plan, the **Management concludes that the internal control systems of EASO are present and functioning (effective)** while improvement are needed.		

III.3 Statement of the Manager in charge of risk management and internal control

I, the undersigned,

Manager in charge of risk management and internal control within the European Asylum Support Office,

In my capacity as manager in charge of risk management and internal control in EASO, I declare that, in accordance with Decision No. 42 of the Management Board of EASO of 21 December 2018 on the Internal Control Framework, I have reported my advice and recommendations on the overall state of internal control to the ED.

I hereby certify that the information provided in Part II 'Management' and 'External Evaluation', Part III 'Assessment of effectiveness of the internal control systems and Part IV 'Management Assurance' of the present Consolidated Annual Activity Report and in its annexes is, to the best of my knowledge, accurate, reliable and complete.

Malta, 17th May 2021

(original signed)

Gerardo KNOUSE RAMIREZ
Internal Control Coordinator [71]

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[71] Internal Control Coordinator took up duties in January 2019 and is the Head of the Internal Control and Risk Management Sector in the Executive Office.

PART IV: MANAGEMENT ASSURANCE

IV.1 Review of the elements supporting assurance

IV.1.1 Brief description of the building blocks of assurance

The Agency's corporate governance framework (the way reliable information and assurance is provided to the MB to effectively monitor the activities implemented by the ED towards the achievement of EASO's objectives) is ensured through the following three main building blocks of assurance:
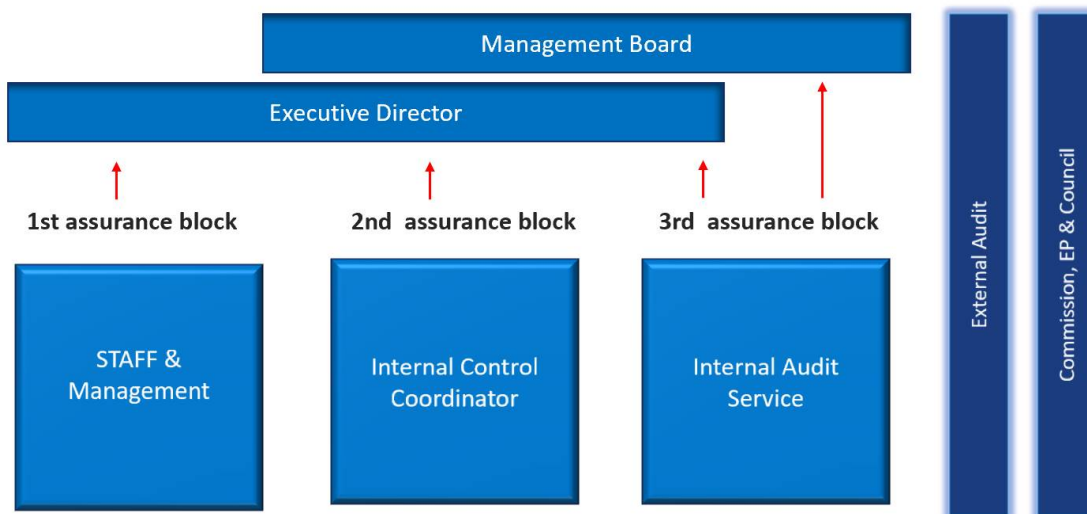
The Agency applies the COSO internal control framework endorsed by the Commission especially through the Internal Control components and principles.

The Management (in particular the Authorizing Officers by Delegation and Sub-Delegation), in their role as the first building block of assurance, provided for the first time a signed declaration for the preparation of the CAAR 2020 assuming responsibility for the completeness and reliability of management reporting on the results and achievements of objectives.

The Agency ex-post controls' function is coordinated by the ICC within the ICRMS in the Executive Office. The ICC is, among other duties, responsible for the assessment of the efficiency and effectiveness of the Agency's internal control systems. The ICC role, as a second building block of assurance, is key to ascertain the performance of the systems in place, to build business processes adapted to EASO's changing conditions, to increase the assurance and to identify recommendations and corrective actions addressed to the Management and the ED.

The following is a summary of some EASO's key steps towards implementing effective and efficient second block of assurance since 2018 as well as those planned for 2021 (non-exhaustive list):
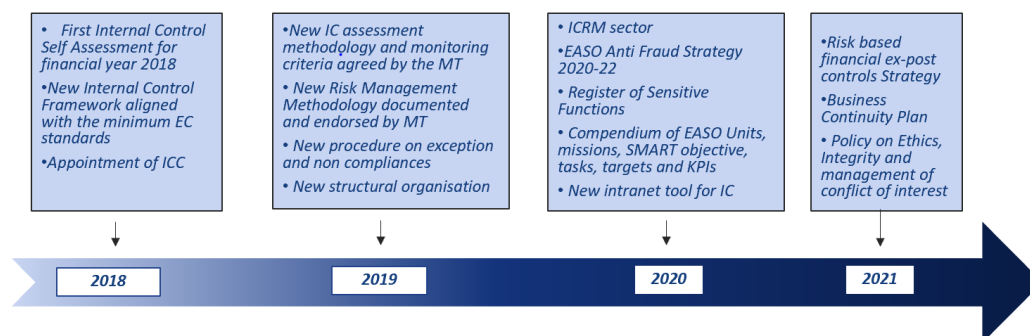
The assurance received from the Internal Audit Service (as the third building block of assurance) is explained in part II.7.1. In addition, the European Court of Auditors has provided additional level of assurance by implementing an exhaustive audit on the functioning of the Agency's internal control systems as described in part II.7.2.

Last but not least, the role of the budget authority in the discharge process is described in part II.9.

IV.1.2 Summary analysis of the conclusions of any significant weaknesses reported in Part II and Part III

The analysis and assessment by the ED of the efficiency and effectiveness of the building blocks of assurance defined in Part IV and of any significant weaknesses reported in Part II and Part III are the basis for the Authorising Officer's final Declaration of Assurance as well as the Declarations of Assurance provided by the Authorising Officers by Delegation to the ED.

The summary of all the weaknesses is available in Annex IX, which includes all deficiencies addressed and assessed by EASO Management together with approved corrective actions. The Register of Deficiencies and the Corrective action plan takes into account weaknesses identified by control bodies during their last audit engagements for which the observation and/or recommendations are in "on-going" status and therefore not closed by the auditors. However, the Internal Control Self-Assessment for the financial year 2020 does not include findings/recommendations (if any) from the control bodies as they are not final at the time of the drafting of this report. Nevertheless, the Internal Control Self-Assessment consideration any findings from IAS and ECA from previous years if the corrective actions are not implemented or if the finding is not yet closed by these institutions.

The inherent risk level at the end of 2020 of these weakness, for the functioning of the building blocks of assurance was initially assessed as "Major/Moderate" by the Management. However, the final Management conclusion and assessment of significant weaknesses based on the acceptance of the new corrective actions planned, together with the actions already in progress and implemented since January 2021 by EASO, allowed the Management to reassess the risk as "Moderate/Minor" and to conclude that all the building blocks of assurance as well as the overall internal control system is effective whilst improvements are needed.

The implementation of the recommendations and corrective actions suggested by the ICC and endorsed by the Management available in Annex IX are designed to further reduce the risk to "Minor" and thus reach a fully effective and efficient Internal Control System.

IV.1.3 Assessment of significant weaknesses joint combined impact on the declaration of assurance

At the time of drafting this Report, EASO has not yet received the final audit report[72] from ECA for the financial year 2020[73]. According to ECA's preliminary observations there are no material irregular payments for the underlying accounts for the year ended 31 December 2020 except for payments carried out in relation to procurement procedures which ECA had declared as irregular in previous years. Therefore, these payments may still be considered as irregular by ECA in the final report for the financial year 2020 but are not expected to exceed the materiality threshold.

The ED has taken initiatives to address deficiencies identified by ECA and, in particular, implemented during 2019-2020 a number of the corrective actions related to the procurement procedures declared as irregular in previous years. Moreover, diligent attention was dedicated to the follow up on pending observations from the previous audits, seeking to streamline the Agency's processes and procedures

In addition, the ED has made considerable efforts to further improve the Agency's governance, internal control systems and risk management processes. On 26 November 2019, the ED presented a new organogram for the Agency that was adopted by the MB and entered into force in January 2020 and amended on 4 September 2020 with the principal aim to further strengthen the Agency's governance structure.

The Agency has established seamless communication channels with key stakeholders. EASO continues working closely with the Commission (in particular with DG HOME, DG BUDG, IAS, OLAF and DG HR) for the effective and efficient implementation of its governance and internal control processes. In addition, since June 2019, the ED provides quarterly reports to the MB in the key areas of governance to assess the level of progress towards the predefined objectives.

Therefore, despite the risk mentioned above related to previous years procurement procedures, the ED is of the opinion that during 2020 she was provided with reasonable assurance that suitable internal controls were in place and working as intended and that significant deficiencies were identified and that corrective actions to mitigate their impact were implemented in a timely manner.

At the same time, the ED is committed to continuing with improvements and reinforcement measures to correct the weaknesses reported in Part II and Part III. Taking into account the state of play of the corrective actions (agreed by the Management in April 2021 and summarised in Annex IX) at the date of this report, including those planned, in progress and implemented during 2021, the ED has re-assessed the severity of the deficiencies.

Moreover, based on the significant improvements made by the Agency, the budgetary authority decided to grant its discharge to EASO in respect to implementation of the budget for the financial year of 2018. On the 27 April 2021 the EP has also granted EASO discharge for the financial year 2019.

IV.2 Reservations

Based on the information provided in sections IV.1.1, IV.1.2 and IV.1.3, the ED has decided not to introduce any reservations in her declaration of assurance in the CAAR 2020, as the control procedures put in place during 2020 gave her the necessary guarantees concerning the legality and regularity of

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[72] At the moment of drafting this report, the ECA's final opinion had not been issued, the observations are still preliminary, therefore, there is still the possibility that they are revised based on the reaction on these preliminary observations by EASO.

[73] In audit report 2019, ECA issued a qualified opinion mainly related to several irregular procurement payments reported in previous years reports. The total amount paid out irregularly represented 14.6 % of all payments made by EASO in 2019.

the underlying transactions for this period, due to the presence of an overall effective and efficient internal control systems.

Declaration of Assurance

I, the undersigned, Executive Director of the European Asylum Support Office,

In my capacity as Authorising Officer,

Declare that the information contained in this report gives a true and fair view.

State that I have reasonable assurance that the resources assigned to the activities described in this report have been used for their intended purpose and in accordance with the principles of sound financial management, and that the control procedures put in place give the necessary guarantees concerning the legality and regularity of the underlying transactions.

This reasonable assurance is based on my own judgement and on the information at my disposal, such as the results of the self-assessment, ex-post controls, the work of the Internal Audit Service, and the lessons learnt from the reports of the Court of Auditors for years prior to the year of this declaration.

Confirm that I am not aware of anything not reported here which could harm the interests of the Agency.

Valletta Harbour, 17th May 2021

(original signed)

Nina Gregori
Executive Director

ANNEXES

Annex I: Core Business Statistics

**Implementation of Work Programme 2020
(achievement of annual targets)**
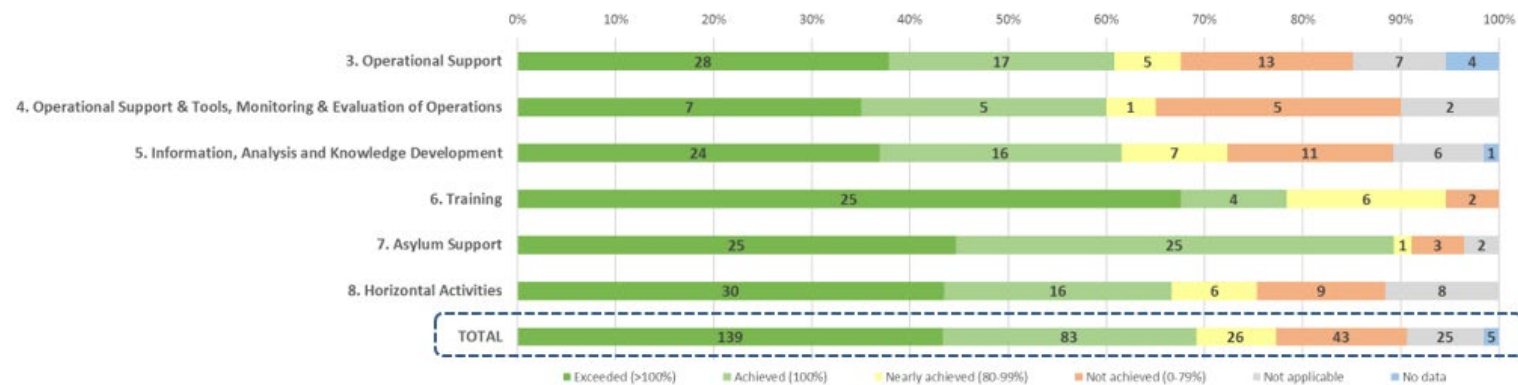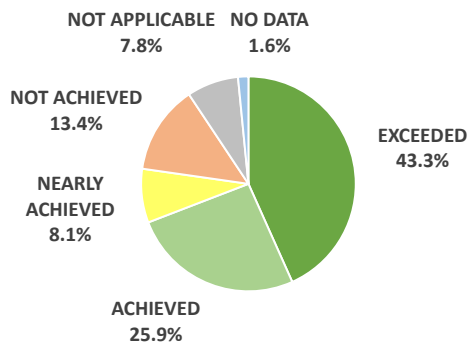
In 2020 the total number of indicators was reduced from 367 to 321. 77% of the targets (248 out of 321) were achieved, whilst 13% were not achieved, 8% were not applicable and for 2% of the indicators no data could be reported.

Annex II: Statistics on financial management

Calculation budget outturn

Budget outturn	2018	2019	2020
Reserve from the previous years' surplus (+)			
Revenue actually received (+)	97,733,010	102,820,564	131,061,209
Payments made (-)	-82,266,980	-90,853,249	-101,767,298
Carryover of appropriations (-)	-14,802,701	-17,575,187	-23,762,557
Cancellation of appropriations carried over (+)	313,139	643,599	1,160,180
Adjustment for carryover of assigned revenue appropriations from previous year (+)	4,772,319	9,272,326	11,431,167
Exchange rate differences (+/-)	-3,206	-4,433	-3,906
Adjustment for negative balance from previous year (-)			
TOTAL	5,745,581	4,303,620	18,118,795

Commitments are entered in the accounts on the basis of the legal commitments entered into up to 31 December and payments on the basis of the payments made by the Accounting Officer by 31 December of that year, at the latest. The Agency has non-differentiated appropriations for titles 1 and 2 (commitment and payment appropriations are equal and linked) and differentiated appropriations for title 3 and title 4.

The automatic carry-over of commitment appropriations is intended to cover expenditure for the goods/services delivered during the year and not yet paid at the end of the year (several invoices and debit notes from contractors and EU institutions/agencies were pending to be received) or for goods/services to be delivered during the following year as per contract conditions.

Non-differentiated C1 appropriations (Title 1 and Title 2) corresponding to obligations duly contracted at the close of the financial year are carried over automatically to the following financial year only, together with the payment appropriations.

Differentiated C8 appropriations (Title 3), from previous years, are carried over automatically to the following financial year(s), under C8 appropriations, without the payment appropriations.

Commitment appropriations amounting €6,028,016.24 were cancelled in in 2020, which represents 4.86% of the budgeted (C1) CA.

Payment appropriations amounting €16,959,502.04 were cancelled in in 2020, which represents 13.67% of the budgeted (C1) PA.

Out of the €6,144,019.36 Payment Appropriations carried over in 2020, €1,160,180.41 (18.88%) were cancelled.

The total amount of appropriations carried over from 2019 to 2020 was €23.29 million in CA and €6.14 million in PA.

Out of the €23.29 million carried over in CA, €17.14 million correspond to T3 differentiated C1 appropriations corresponding to obligations duly contracted at the end of the financial year. In Title 3, out of the total amount of €17.14 million carried over to 2020, the amount of €0.75 million was still carried over from 2018.

Commitment appropriations were cancelled mainly due to continued disruptions due to COVID-19 (delays in taking-up duties, moving to online recruitment, and meetings, cancelled missions, cancelled events and services etc.).

Payment appropriations were cancelled mainly due to delayed provision of services or partial delivery of the services in COVID-19 circumstances.

The cancellations of carried over Payment Appropriations in 2020 amounted €1,160,180.41 (18.88%). In Title 1 and 2 cancellations were mainly due to COVID-19 related cancellations at the beginning of 2020 (cancelled face-to face recruitment and pre-medical check-ups, cancelled face-to face trainings and meetings, partially cancelled canteen, cleaning and security services) but also provision of less services than contracted (interim agents). Similarly, in Title 3 were cancelled services and payments due were lower than expected given the limitations in travel and meetings.

Detailed budget execution per fund source and budget item

1. Funds from the EU general budget (C1)

Title 1

Budget Line	Commit. Approp. budgeted (1)	Executed Commitment Approp. (2)	% Committed (3=2/1)	Credit not used (4=1-2)	Paym.Approp. budgeted (5)	Executed Payments (6)	% Paid (7=6/5)	R A L (8=2-6)
A-1101	22,816,890.00	21,700,348.54	95.11 %	1,116,541.46	22,816,890.00	21,700,348.54	95.11 %	0.00
A-1102	4,369,050.00	3,812,077.66	87.25 %	556,972.34	4,369,050.00	3,812,077.66	87.25 %	0.00
A-1103	540,000.00	512,483.80	94.90 %	27,516.20	540,000.00	512,483.80	94.90 %	0.00
Total	**27,725,940.00**	**26,024,910.00**	**93.86 %**	**1,701,030.00**	**27,725,940.00**	**26,024,910.00**	**93.86 %**	**0.00**
A-1201	265,529.00	214,029.58	80.60 %	51,499.42	265,529.00	160,483.58	60.44 %	53,546.00
Total	**265,529.00**	**214,029.58**	**80.60 %**	**51,499.42**	**265,529.00**	**160,483.58**	**60.44 %**	**53,546.00**
A-1301	475,000.00	109,612.93	23.08 %	365,387.07	475,000.00	86,612.93	18.23 %	23,000.00
Total	**475,000.00**	**109,612.93**	**23.08 %**	**365,387.07**	**475,000.00**	**86,612.93**	**18.23 %**	**23,000.00**
A-1401	127,137.00	62,724.42	49.34 %	64,412.58	127,137.00	31,402.03	24.70 %	31,322.39
A-1402	50,000.00	50,000.00	100.00 %	0.00	50,000.00	35,186.63	70.37 %	14,813.37
A-1403	1,530,879.00	1,495,872.80	97.71 %	35,006.20	1,530,879.00	1,436,041.64	93.81 %	59,831.16
Total	**1,708,016.00**	**1,608,597.22**	**94.18 %**	**99,418.78**	**1,708,016.00**	**1,502,630.30**	**87.98 %**	**105,966.92**
A-1501	762,863.00	645,974.49	84.68 %	116,888.51	762,863.00	297,226.55	38.96 %	348,747.94
Total	**762,863.00**	**645,974.49**	**84.68 %**	**116,888.51**	**762,863.00**	**297,226.55**	**38.96 %**	**348,747.94**
A-1601	2,529,963.00	2,296,756.62	90.78 %	233,206.38	2,529,963.00	1,698,474.51	67.13 %	598,282.11
A-1602	189,000.00	146,228.22	77.37 %	42,771.78	189,000.00	96,228.22	50.91 %	50,000.00
A-1603	65,350.00	16,950.00	25.94 %	48,400.00	65,350.00	9,185.00	14.06 %	7,765.00
Total	**2,784,313.00**	**2,459,934.84**	**88.35 %**	**324,378.16**	**2,784,313.00**	**1,803,887.73**	**64.79 %**	**656,047.11**
A-1701	10,000.00	5,385.10	53.85 %	4,614.90	10,000.00	5,385.10	53.85 %	0.00
Total	**10,000.00**	**5,385.10**	**53.85 %**	**4,614.90**	**10,000.00**	**5,385.10**	**53.85 %**	**0.00**
Total T1:	**33,731,661.00**	**31,068,444.16**	**92.10 %**	**2,663,216.84**	**33,731,661.00**	**29,881,136.19**	**88.58 %**	**1,187,307.97**

Title 2

Budget Line	Commit. Approp. budgeted (1)	Executed Commitment Approp. (2)	% Committed (3=2/1)	Credit not used (4=1-2)	Paym.Approp. budgeted (5)	Executed Payments (6)	% Paid (7=6/5)	R A L (8=2-6)
A-2101	3,831,363.00	3,635,884.28	94.90 %	195,478.72	3,831,363.00	2,794,146.96	72.93 %	841,737.32
A-2102	1,030,430.00	856,020.64	83.07 %	174,409.36	1,030,430.00	764,699.80	74.21 %	91,320.84
A-2103	968,342.00	957,784.92	98.91 %	10,557.08	968,342.00	438,575.78	45.29 %	519,209.14
A-2104	317,791.00	292,547.38	92.06 %	25,243.62	317,791.00	61,790.84	19.44 %	230,756.54
Total	**6,147,926.00**	**5,742,237.22**	**93.40 %**	**405,688.78**	**6,147,926.00**	**4,059,213.38**	**66.03 %**	**1,683,023.84**
A-2201	2,051,152.00	2,042,765.97	99.59 %	8,386.03	2,051,152.00	993,395.36	48.43 %	1,049,370.61
A-2202	764,148.00	694,224.33	90.85 %	69,923.67	764,148.00	557,183.08	72.92 %	137,041.25
A-2203	2,792,399.00	2,746,600.96	98.36 %	45,798.04	2,792,399.00	814,414.82	29.17 %	1,932,186.14
A-2204	639,642.00	622,316.02	97.29 %	17,325.98	639,642.00	336,993.93	52.68 %	285,322.09
A-2205	50,671.00	45,937.82	90.66 %	4,733.18	50,671.00	13,354.59	26.36 %	32,583.23
Total	**6,298,012.00**	**6,151,845.10**	**97.68 %**	**146,166.90**	**6,298,012.00**	**2,715,341.78**	**43.11 %**	**3,436,503.32**
A-2301	184,547.00	137,284.75	74.39 %	47,262.25	184,547.00	119,485.18	64.75 %	17,799.57
A-2302	5,500.00	4,500.00	81.82 %	1,000.00	5,500.00	725.50	13.19 %	3,774.50
A-2303	109,935.00	91,635.00	83.35 %	18,300.00	109,935.00	39,518.75	35.95 %	52,116.25
A-2304	165,789.00	41,804.43	25.22 %	123,984.57	165,789.00	41,178.51	24.84 %	625.92
A-2305	74,103.00	44,918.32	60.62 %	29,184.68	74,103.00	34,709.39	46.84 %	10,208.93
A-2306	80,000.00	79,980.00	99.98 %	20.00	80,000.00	13,500.00	16.88 %	66,480.00
A-2307	850,000.00	715,000.00	84.12 %	135,000.00	850,000.00	696,211.00	81.91 %	18,789.00
A-2308	199,375.00	77,517.20	38.88 %	121,857.80	199,375.00	37,200.46	18.66 %	40,316.74
A-2309	309,243.00	297,987.45	96.36 %	11,255.55	309,243.00	112,883.07	36.50 %	185,104.38
A-2310	20,000.00	12,491.88	62.46 %	7,508.12	20,000.00	12,491.88	62.46 %	0.00
A-2311	70,439.00	45,730.28	64.92 %	24,708.72	70,439.00	20,712.65	29.41 %	25,017.63
Total	**2,068,931.00**	**1,548,849.31**	**74.86 %**	**520,081.69**	**2,068,931.00**	**1,128,616.39**	**54.55 %**	**420,232.92**
Total T2:	**14,514,869.00**	**13,442,931.63**	**92.61 %**	**1,071,937.37**	**14,514,869.00**	**7,903,171.55**	**54.45 %**	**5,539,760.08**

Title 3

Budget Line	Commit. Approp. budgeted (1)	Executed Commitment Approp. (2)	% Committed (3=2/1)	Credit not used (4=1-2)	Paym.Approp. budgeted (5)	Executed Payments (6)	% Paid (7=6/5)	R A L (8=2-6)
B3-101	245,709.00	178,913.68	72.82 %	66,795.32	271,216.00	188,584.60	69.53 %	0.00
B3-102	220,737.00	203,631.93	92.25 %	17,105.07	357,903.00	282,576.87	78.95 %	9,687.15
B3-103	1,386,941.00	933,983.63	67.34 %	452,957.37	874,392.00	841,012.43	96.18 %	373,899.03
Total	**1,853,387.00**	**1,316,529.24**	**71.03 %**	**536,857.76**	**1,503,511.00**	**1,312,173.90**	**87.27 %**	**383,586.18**
B3-201	1,856,176.00	1,846,453.20	99.48 %	9,722.80	1,656,053.00	1,577,140.57	95.23 %	1,023,147.63
B3-202	1,563,662.00	1,468,381.27	93.91 %	95,280.73	1,782,972.00	1,688,684.78	94.71 %	840,346.93
B3-203	1,132,468.00	1,127,588.18	99.57 %	4,879.82	1,234,784.00	1,023,462.38	82.89 %	390,380.31
Total	**4,552,306.00**	**4,442,422.65**	**97.59 %**	**109,883.35**	**4,673,809.00**	**4,289,287.73**	**91.77 %**	**2,253,874.87**
B3-301	69,176,277.00	67,556,144.87	97.66 %	1,620,132.13	69,404,650.00	56,901,845.42	81.99 %	22,062,728.35
Total	**69,176,277.00**	**67,556,144.87**	**97.66 %**	**1,620,132.13**	**69,404,650.00**	**56,901,845.42**	**81.99 %**	**22,062,728.35**
B3-401	21,500.00	15,849.99	73.72 %	5,650.01	21,500.00	14,749.99	68.60 %	0.00
B3-402	223,000.00	202,661.22	90.88 %	20,338.78	223,000.00	84,065.13	37.70 %	134,861.19
Total	**244,500.00**	**218,511.21**	**89.37 %**	**25,988.79**	**244,500.00**	**98,815.12**	**40.42 %**	**134,861.19**
Total T3:	**75,826,470.00**	**73,533,607.97**	**96.98 %**	**2,292,862.03**	**75,826,470.00**	**62,602,122.17**	**82.56 %**	**24,835,050.59**

2. Amounts recovered in 2020 (C4)

Budget Line	Commit. Approp. budgeted (1)	Executed Commitment Approp. (2)	% Committed (3=2/1)	Credit not used (4=1-2)	Paym.Approp. budgeted (5)	Executed Payments (6)	% Paid (7=6/5)	R A L (8=2-6)
A-1201	465.63		0.00 %	465.63	465.63			
Total	**465.63**		**0.00 %**	**465.63**	**465.63**			
A-1403	13,526.50	13,526.50	100.00 %	0.00	13,526.50	13,348.92	98.69 %	177.58
Total	**13,526.50**	**13,526.50**	**100.00 %**	**0.00**	**13,526.50**	**13,348.92**	**98.69 %**	**177.58**
A-1501	1,299.11		0.00 %	1,299.11	1,299.11			
Total	**1,299.11**		**0.00 %**	**1,299.11**	**1,299.11**			
A-2101	17,064.75		0.00 %	17,064.75	17,064.75			
Total	**17,064.75**		**0.00 %**	**17,064.75**	**17,064.75**			
A-2204	291.87		0.00 %	291.87	291.87			
Total	**291.87**		**0.00 %**	**291.87**	**291.87**			
A-2305	2,523.71		0.00 %	2,523.71	2,523.71			
Total	**2,523.71**		**0.00 %**	**2,523.71**	**2,523.71**			
B3-301	39,426.00	20,168.00	51.15 %	19,258.00	39,426.00	20,168.00	51.15 %	0.00
Total	**39,426.00**	**20,168.00**	**51.15 %**	**19,258.00**	**39,426.00**	**20,168.00**	**51.15 %**	**0.00**
	74,597.57	33,694.50	45.17 %	40,903.07	74,597.57	33,516.92	44.93 %	177.58

3. Amounts recovered in previous years (C5)

Budget Line	Commit. Approp. budgeted (1)	Executed Commitment Approp. (2)	% Committed (3=2/1)	Credit not used (4=1-2)	Paym.Approp. budgeted (5)	Executed Payments (6)	% Paid (7=6/5)	R A L (8=2-6)
A-1101	1,594.52		0.00 %	1,594.52	1,594.52			
Total	**1,594.52**		**0.00 %**	**1,594.52**	**1,594.52**			
A-1201	716.00		0.00 %	716.00	716.00			
Total	**716.00**		**0.00 %**	**716.00**	**716.00**			
A-1501	676.21		0.00 %	676.21	676.21			
Total	**676.21**		**0.00 %**	**676.21**	**676.21**			
B3-301	6,499.00	6,499.00	100.00 %	0.00	6,499.00	6,499.00	100.00 %	0.00
Total	**6,499.00**	**6,499.00**	**100.00 %**	**0.00**	**6,499.00**	**6,499.00**	**100.00 %**	**0.00**
B3-401	1,132.33	0.00	0.00 %	1,132.33	1,132.33	1,100.00	97.14 %	0.00
Total	**1,132.33**	**0.00**	**0.00 %**	**1,132.33**	**1,132.33**	**1,100.00**	**97.14 %**	**0.00**
	10,618.06	6,499.00	61.21 %	4,119.06	10,618.06	7,599.00	71.57 %	0.00

4. Automatic carry-overs from previous year(s) C8

Title 1

Budget Line	Commit. Approp. budgeted (1)	Executed Commitment Approp. (2)	% Committed (3=2/1)	Credit not used (4=1-2)	Paym.Approp. budgeted (5)	Executed Payments (6)	% Paid (7=6/5)	R A L (8=2-6)
A-1201	140,472.84	29,470.00	20.98 %	111,002.84	140,472.84	29,470.00	20.98 %	0.00
Total	**140,472.84**	**29,470.00**	**20.98 %**	**111,002.84**	**140,472.84**	**29,470.00**	**20.98 %**	**0.00**
A-1301	90,207.65	51,697.05	57.31 %	38,510.60	90,207.65	51,697.05	57.31 %	0.00
Total	**90,207.65**	**51,697.05**	**57.31 %**	**38,510.60**	**90,207.65**	**51,697.05**	**57.31 %**	**0.00**
A-1401	41,935.20	29,511.49	70.37 %	12,423.71	41,935.20	29,511.49	70.37 %	0.00
A-1402	12,136.00	12,136.00	100.00 %	0.00	12,136.00	12,136.00	100.00 %	0.00
A-1403	205,136.84	113,418.67	55.29 %	91,718.17	205,136.84	113,418.67	55.29 %	0.00
Total	**259,208.04**	**155,066.16**	**59.82 %**	**104,141.88**	**259,208.04**	**155,066.16**	**59.82 %**	**0.00**
A-1501	254,000.46	206,104.99	81.14 %	47,895.47	254,000.46	206,104.99	81.14 %	0.00
Total	**254,000.46**	**206,104.99**	**81.14 %**	**47,895.47**	**254,000.46**	**206,104.99**	**81.14 %**	**0.00**
A-1601	1,072,783.64	784,856.76	73.16 %	287,926.88	1,072,783.64	784,856.76	73.16 %	0.00
A-1602	95,027.89	0.00	0.00 %	95,027.89	95,027.89			0.00
A-1603	38,329.50	26,777.50	69.86 %	11,552.00	38,329.50	26,777.50	69.86 %	0.00
Total	**1,206,141.03**	**811,634.26**	**67.29 %**	**394,506.77**	**1,206,141.03**	**811,634.26**	**67.29 %**	**0.00**
	1,950,030.02	1,253,972.46	64.31 %	696,057.56	1,950,030.02	1,253,972.46	64.31 %	0.00

Title 2

Budget Line	Commit. Approp. budgeted (1)	Executed Commitment Approp. (2)	% Committed (3=2/1)	Credit not used (4=1-2)	Paym.Approp. budgeted (5)	Executed Payments (6)	% Paid (7=6/5)	R A L (8=2-6)
A-2101	602,000.81	513,452.33	85.29 %	88,548.48	602,000.81	513,452.33	85.29 %	0.00
A-2102	137,352.11	105,374.15	76.72 %	31,977.96	137,352.11	105,374.15	76.72 %	0.00
A-2103	511,020.97	390,607.59	76.44 %	120,413.38	511,020.97	390,607.59	76.44 %	0.00
Total	1,250,373.89	1,009,434.07	80.73 %	240,939.82	1,250,373.89	1,009,434.07	80.73 %	0.00
A-2201	901,416.28	889,356.66	98.66 %	12,059.62	901,416.28	889,356.66	98.66 %	0.00
A-2202	180,641.33	168,660.25	93.37 %	11,981.08	180,641.33	168,660.25	93.37 %	0.00
A-2203	1,027,045.64	983,994.71	95.81 %	43,050.93	1,027,045.64	983,994.71	95.81 %	0.00
A-2204	211,794.92	183,213.98	86.51 %	28,580.94	211,794.92	183,213.98	86.51 %	0.00
A-2205	41,429.78	41,340.57	99.78 %	89.21	41,429.78	41,340.57	99.78 %	0.00
Total	2,362,327.95	2,266,566.17	95.95 %	95,761.78	2,362,327.95	2,266,566.17	95.95 %	0.00
A-2301	5,723.98	1,671.62	29.20 %	4,052.36	5,723.98	1,671.62	29.20 %	0.00
A-2302	6,749.95	1,727.83	25.60 %	5,022.12	6,749.95	1,727.83	25.60 %	0.00
A-2303	78,485.25	61,586.91	78.47 %	16,898.34	78,485.25	61,586.91	78.47 %	0.00
A-2304	14,556.25	9,741.10	66.92 %	4,815.15	14,556.25	9,741.10	66.92 %	0.00
A-2305	15,628.03	5,245.94	33.57 %	10,382.09	15,628.03	5,245.94	33.57 %	0.00
A-2306	145,030.00	111,680.00	77.00 %	33,350.00	145,030.00	111,680.00	77.00 %	0.00
A-2307	42,175.12	18,559.50	44.01 %	23,615.62	42,175.12	18,559.50	44.01 %	0.00
A-2308	60,000.17	46,029.98	76.72 %	13,970.19	60,000.17	46,029.98	76.72 %	0.00
A-2309	187,697.84	187,041.16	99.65 %	656.68	187,697.84	187,041.16	99.65 %	0.00
A-2310	3,244.17	0.00	0.00 %	3,244.17	3,244.17			0.00
A-2311	21,996.74	10,582.21	48.11 %	11,414.53	21,996.74	10,582.21	48.11 %	0.00
Total	581,287.50	453,866.25	78.08 %	127,421.25	581,287.50	453,866.25	78.08 %	0.00
	4,193,989.34	3,729,866.49	88.93 %	464,122.85	4,193,989.34	3,729,866.49	88.93 %	0.00

Title 3

Budget Line	Commit. Approp. budgeted (1)	Executed Commitment Approp. (2)	% Committed (3=2/1)	Credit not used (4=1-2)	Paym.Approp. budgeted (5)	Executed Payments (6)	% Paid (7=6/5)	R A L (8=2-6)
B3-101	18,566.86	11,416.92	61.49 %	7,149.94	0.00			1,746.00
B3-102	394,463.18	393,839.63	99.84 %	623.55	0.00			305,207.54
B3-103	338,201.81	280,927.83	83.07 %	57,273.98	0.00			0.00
Total	**751,231.85**	**686,184.38**	**91.34 %**	**65,047.47**	**0.00**			**306,953.54**
B3-201	906,238.89	777,487.68	85.79 %	128,751.21	0.00			23,652.68
B3-202	1,389,698.61	1,174,847.11	84.54 %	214,851.50	0.00			114,196.67
B3-203	461,164.41	300,404.10	65.14 %	160,760.31	0.00			14,149.59
Total	**2,757,101.91**	**2,252,738.89**	**81.71 %**	**504,363.02**	**0.00**			**151,998.94**
B3-301	13,588,632.04	11,715,631.08	86.22 %	1,873,000.96	0.00			307,202.18
Total	**13,588,632.04**	**11,715,631.08**	**86.22 %**	**1,873,000.96**	**0.00**			**307,202.18**
B3-401	7,000.00	0.00	0.00 %	7,000.00	0.00			0.00
B3-402	39,905.86	21,865.10	54.79 %	18,040.76	0.00			5,600.00
Total	**46,905.86**	**21,865.10**	**46.61 %**	**25,040.76**	**0.00**			**5,600.00**
	17,143,871.66	14,676,419.45	85.61%	2,467,452.21	0.00	0.00	0.00	771,754.66

5. Associate countries contributions and grants (R0)

Budget Line	Commit. Approp. budgeted (1)	Executed Commitment Approp. (2)	% Committed (3=2/1)	Credit not used (4=1-2)	Paym. Approp. budgeted (5)	Executed Payments (6)	% Paid (7=6/5)	R A L (8=2-6)
A-2203	4,100.00		0.00 %	4,100.00	4,100.00			
A-2204	6,039.08	1,000.00	16.56 %	5,039.08	6,039.08			1,000.00
Total	10,139.08	1,000.00	9.86 %	9,139.08	10,139.08			1,000.00
A-2311	74.32		0.00 %	74.32	74.32			
Total	74.32		0.00 %	74.32	74.32			
B3-101	46,509.00		0.00 %	46,509.00	46,509.00			
B3-102	104,063.00		0.00 %	104,063.00	104,063.00			
B3-103	211,615.00		0.00 %	211,615.00	211,615.00			
Total	362,187.00		0.00 %	362,187.00	362,187.00			
B3-201	366,095.00	34,000.00	9.29 %	332,095.00	366,095.00			34,000.00
B3-202	575,483.00	0.00	0.00 %	575,483.00	525,483.00			0.00
B3-203	389,511.00		0.00 %	389,511.00	439,511.00			
Total	1,331,089.00	34,000.00	2.55 %	1,297,089.00	1,331,089.00			34,000.00
B3-301	9,041,463.45	2,126,470.17	23.52 %	6,914,993.28	9,041,463.45	860,287.74	9.51 %	1,266,182.43
Total	9,041,463.45	2,126,470.17	23.52 %	6,914,993.28	9,041,463.45	860,287.74	9.51 %	1,266,182.43
B3-401	18,604.00	0.00	0.00 %	18,604.00	18,604.00			0.00
B3-402	59,996.00		0.00 %	59,996.00	59,996.00			
Total	78,600.00	0.00	0.00 %	78,600.00	78,600.00			0.00
B3-601	6,363,611.49		0.00 %	6,363,611.49	6,363,611.49			
Total	6,363,611.49		0.00 %	6,363,611.49	6,363,611.49			
B4-101	550,000.00	550,000.00	100.00 %	0.00	550,000.00			550,000.00
B4-102	596,996.52	570,368.90	95.54 %	26,627.62	596,996.52	479,464.45	80.31 %	90,904.45
Total	1,146,996.52	1,120,368.90	97.68 %	26,627.62	1,146,996.52	479,464.45	41.80 %	640,904.45
	18,334,160.86	3,281,839.07	17.90 %	15,052,321.79	18,334,160.86	1,339,752.19	7.31 %	1,942,086.88

Budget transfers list per quarter

Quarter 1

Date	Budget Item Description	Budget Item	Commitment Appropriation	Payment Appropriation
03/02/2020 R0	Information and Documentation System and Annual Report	B03101	46,509.00	46,509.00
	Data Analysis and Research	B03102	104,063.00	104,063.00
	Country of Origin Information	B03103	211,615.00	211,615.00
	EASO training	B03201	216,312.00	146,312.00
	Asylum Processes	B03202	505,483.00	525,483.00
	External Dimension and Resettlement	B03203	389,511.00	389,511.00
	Operational support	B03301	-1,552,093.00	-1,502,093.00
	Cooperation with Civil Society	B03401	18,604.00	18,604.00
	Cooperation with stakeholders	B03402	59,996.00	59,996.00

Quarter 3

Date	Budget Item Description	Budget Item	Commitment Appropriation	Payment Appropriation
11/08/2020 C1	ICT Maintenance	A02202	1,148.00	1,148.00
	ICT Support services	A02203	210,099.00	210,099.00
	Telecommunication charges	A02204	113,442.00	113,442.00
	Record management expenditure	A02205	-129.00	-129.00
	Bank and other financial charges	A02302	-3,803.00	-3,803.00
	Business Consultancy	A02306	-220,000.00	-220,000.00
	Communication	A02309	-100,757.00	-100,757.00
20/08/2020 C1	Temporary Agents' basic salaries & allowances	A01101	-850,000.00	-850,000.00
	Contract Agents	A01102	-500,000.00	-500,000.00
	Recruitment	A01201	-602,568.00	-602,568.00
	Administrative Mission expenses	A01301	-120,000.00	-120,000.00
	Restaurants and canteens	A01401	-12,863.00	-12,863.00
	Medical service	A01402	-100,000.00	-100,000.00

Date	Budget Item Description	Budget Item	Commitment Appropriation	Payment Appropriation
	Other social allowances	A01403	-369,121.00	-369,121.00
	Trainings and language courses for staff	A01501	32,863.00	32,863.00
	Interim services	A01601	1,363,069.00	1,363,069.00
	Other external services	A01602	-95,000.00	-95,000.00
	Legal services related to HR	A01603	-54,650.00	-54,650.00
	Representation expenses	A01701	-2,000.00	-2,000.00
	Building rental utilities cleaning maintenance and	A02101	141,363.00	141,363.00
	Security and surveillance of the building	A02102	270,430.00	270,430.00
	Fitting out of premises	A02103	560,342.00	560,342.00
	Office equipment & furniture	A02104	132,791.00	132,791.00
	ICT Equipment	A02201	3,252.00	3,252.00
	Stationery and office supplies (incl. consumable)	A02301	44,547.00	44,547.00
	Bank and other financial charges	A02302	-697.00	-697.00
	Legal expenses	A02303	9,935.00	9,935.00
	Administrative Internal and External meetings expenses	A02304	-159,211.00	-159,211.00
	Transportation and removal services (incl. vehicle	A02305	14,103.00	14,103.00
	Publication	A02308	-25,625.00	-25,625.00
	Postage on correspondence and delivery charges	A02311	-69,561.00	-69,561.00
	Information and Documentation System and Annual Report	B03101	-3,229.00	-17,722.00
	Data Analysis and Research	B03102	-536,511.00	-408,345.00
	Country of Origin Information	B03103	-18,725.00	-531,274.00
	EASO training	B03201	-279,786.00	-259,909.00
	Asylum Processes	B03202	-1,047,811.00	-1,416,501.00
	External Dimension and Resettlement	B03203	-1,554,883.00	-1,452,567.00
	Operational support	B03301	4,083,650.00	4,729,023.00

Date	Budget Item Description	Budget Item	Commitment Appropriation	Payment Appropriation
	Cooperation with Civil Society	B03401	-118,575.00	-118,575.00
	Cooperation with stakeholders	B03402	-135,529.00	-135,529.00
31/08/2020 C1	Legal expenses	A02303	50,000.00	50,000.00
	Administrative Internal and External meetings expenses	A02304	-50,000.00	-50,000.00

Quarter 4

Date	Budget Item Description	Budget Item	Commitment Appropriation	Payment Appropriation
04/11/2020 C1	Temporary Agents' basic salaries & allowances	A01101	-2,535,210.00	-2,535,210.00
	Contract Agents	A01102	-485,450.00	-485,450.00
	Seconded National Experts	A01103	-60,000.00	-60,000.00
	Recruitment	A01201	-29,503.00	-29,503.00
	Administrative Mission expenses	A01301	-53,000.00	-53,000.00
	Other social allowances	A01403	-100,000.00	-100,000.00
	Interim services	A01601	-281,106.00	-281,106.00
	Other external services	A01602	-21,000.00	-21,000.00
	Building rental utilities cleaning maintenance and	A02101	-180,000.00	-180,000.00
	Fitting out of premises	A02103	-158,500.00	-158,500.00
	Operational support	B03301	3,903,769.00	3,903,769.00
04/11/2020 C1	Administrative Mission expenses	A01301	-2,000.00	-2,000.00
	Representation expenses	A01701	2,000.00	2,000.00
	Fitting out of premises	A02103	-1,358,500.00	-1,358,500.00
	ICT Equipment	A02201	928,000.00	928,000.00
	ICT Maintenance	A02202	-57,000.00	-57,000.00
	ICT Support services	A02203	517,000.00	517,000.00
	Telecommunication charges	A02204	17,000.00	17,000.00
	Record management expenditure	A02205	3,500.00	3,500.00
	Administrative Internal and External meetings expenses	A02304	-50,000.00	-50,000.00
	Information and Documentation System and Annual Report	B03101	-60,000.00	-20,000.00

	Data Analysis and Research	B03102	66,000.00	75,000.00
	EASO training	B03201	-70,000.00	-290,000.00
	Asylum Processes	B03202	-880,000.00	-292,000.00
	External Dimension and Resettlement	B03203	100,000.00	100,000.00
	Operational support	B03301	867,500.00	450,500.00
	Cooperation with Civil Society	B03401	16,500.00	16,500.00
	Cooperation with stakeholders	B03402	-40,000.00	-40,000.00
30/11/2020 **C1**	Building rental utilities cleaning maintenance and	A02101	-85,000.00	-85,000.00
	Fitting out of premises	A02103	85,000.00	85,000.00

Interest paid by EASO for late payments to Suppliers in 2020

	Number of payments	Interest for late payments (Eur)
EASO	17	6,374.89
Total	**17**	**6,374.89**

Annex III: Organisational Chart

Management Board

Accountant

Executive Director

Senior Adviser to the ED

Management Board Secretariat

Executive Office
- Corporate Planning, Monitoring & Reporting Sector
- Legal Affairs & Data Protection Sector
- Quality Management & Evaluation Sector
- Internal Control & Risk Management Sector

Communications & Public Relations Unit
- Communications & PR sector
- Events & Protocol Sector

European & International Cooperation Unit
- EU Affairs Sector
- International Cooperation Sector
- Frontex Liason Office EU institutions Liason Office

Operational Support Centre (C1)
- Programming, Monitoring & Evaluation Sector
- Country Operations Unit
  - Operational Office Greece
  - Operational Office Italy
  - Operational Office Cyprus
  - Operational Office Malta
  - Operational Tools Sector
- External Dimension Unit
  - Third Country Support Sector
  - Resettlement Sector

Training & Professional Development Centre (C2)
- Training Development Unit
  - Training Curriculum Design Sector
  - Training Standards & Research Sector
- Training Implementation Unit
  - Training Delivery Sector
  - e-Learning & Client Relations Management Sector

Asylum Knowledge Centre (C3)
- Situational Awareness Unit
  - Information & Analysis Sector
  - Data Analysis & Reasearch Sector
- Asylum Cooperation & Guidance Unit
  - Asylum Processes Sector
  - Asylum Thematic Cooperation Sector
  - Courts & Tribunals
- Third Country Research Unit
  - COI Sector
  - Med COI Sector
  - Country Guidance Sector

Administration Centre (C4)
- Facility Management Sector
- Human Resources & Security Unit
  - Recruitment, Career & Development Sector
  - Payroll & Entitlements Sector
  - Security Sector
- Finance & Procurement Unit
  - Finance Sector
  - Procurement Sector
- ICT Unit
  - Projects & Applications Sector
  - Infrastructure & Operations Sector
  - Service Sector

Annex IV: Establishment Plan and additional information on Human Resources management

Information on recruitment grade/function group for each type of post

Key functions (examples – terminology should be adjusted to each agency's job titles)	Type of contract (official, TA or CA)	Function group, grade of recruitment*	Indication whether the function is dedicated to administrative support or operations [subject to definitions used in screening methodology]
Head of Centre, Deputy Director etc. (please identify which level in the structure it corresponds to taking the Director as level 1)	TA	Executive Director (AD 14) Deputy Director (AD 13) Head of Centre (AD 12	Both operations and administrative support, depending on the content area.
e.g. Head of Unit, Head of Business Area (please identify which level in the structure it corresponds to taking the Director as level 1)	TA	Head of Unit (AD 10)	Id.
e.g. Head of Sector (please identify which level in the structure it corresponds to taking the Director as level 1)	TA	AD 8	Id.
E.g. Senior Officer, Senior Specialist etc.	TA	AD 7	Id.
e.g. Officer, Specialist	TA	AD 5 -6 / FG IV	Id.
e.g. Junior Officer	N/A		Id.
e.g. Senior Assistant	TA	AST 5 - 12	Id.
e.g. Junior Assistant	TA/CA	AST 1 - 4	Id.
e.g. Head of Administration	TA	AD 12	Administrative Support
e.g. Head of Human Resources	TA	AD 10	Administrative Support
e.g. Head of Finance	TA	AD 10	Administrative Support
e.g. Head of IT	TA	AD 10	Administrative Support
e.g. Secretary	TA/CA	AST 1- 4/FG II and FG III	Both operations and administrative support, depending on the content area.
e.g. Mail Clerk	N/A		
e.g. Webmaster -Editor	CA	FG IV (Editor) FG III (Webmaster	Operations
e.g. Data Protection Officer	TA	AD 5	Neutral
e.g. Accounting Officer	TA	AD 7	Neutral
e.g. Internal Auditor	N/A		
e.g. Secretary to the Director	TA/CA	AST 1- 4/FG II and FG III	Both operations and administrative support, depending on the content area.

Job screening/benchmarking against previous year results[74]

Job type (sub) category	2019 (%)	2020 (%)
Administrative support and coordination	**17.03**	**15.92**
Administrative support	14.35	12.89
Coordination	2.66	3.03
Operational	**62.78**	**68.68**
Top level operational coordination	47.16	51.58
Programme management and implementation	6.62	8.82
Evaluation and impact assessment	5.36	6.05
General operational	3.63	2.24
Neutral	**20.19**	**15.39**
Finance/control	20.19	15.39
Linguistics	-	-

Implementing Rules

Implementing Rule	Adopted
Model Decisions: 1. Middle management C(2018) 2524 2. Adviser function C(2018) 2209 3. Types of posts and posts titles C(2018) 8800 4. Temporary occupation management post C(2017) 7332 5. Establishment of the Staff Committee C(2016) 3323 6. Learning and Development C(2017) 6772 7. CCP - unpaid leave C(2015) 5320 8. 7 years rule C(2016) 2421 9. Non-implementation of the Commission Decision on the maximum duration for the recourse to non-permanent staff in the Commission service, known as "7 years rule" C(2019) 6929 10. Conditions of employment of contract staff employed under Article 3a, C(2019) 3016	The 10 model decisions will be presented for adoption to the EASO's MB during the second quarter 2021.
Adoption by analogy: 1. Outside activities C(2018) 4048 2. Part-time Art 55a C(2015) 9720 3. Amending decision on leave C(2020) 1559 4. Transfer of pension rights C(2020) 4818 5. Professional incompetence C(2019) 6855	The five decisions applied by analogy will be presented for adoption to the EASO's MB during the second quarter 2021.

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[74] Table as per Methodology for Agencies job screening (2014).

Annex V: Human and Financial Resources by activity

Activity (Title 3)	Human resources 2020					Financial resources (C1)	Financial resources (current R0 from past years)
	AD	AST	CA	SNE	Total		
3. Operational Support	**27**	**20**	**16**	**3**	**66**	**€67,894,408.65**	**€1,247,158.80**
3.1. Italy	6	3	5	1	**15**	€15,881,352.95	€444,331.06
3.2. Greece	10	9	7	0	**26**	€42,369,269.38	€346,013.22
3.3. Cyprus	3	3	1	0	**7**	€5,025,452.73	€4,051.81
3.4. Malta	1	2	0	1	**4**	€3,444,055.41	€452,762.72
3.5. Other Operational Activities	1	0	0	0	**1**	€46,690.00	€0
3.6. External Dimension	6	3	3	1	**13**	€1,127,588.18	€0
3.6.1. External Dimension Network	*1*	*3*	*0*	*0*	***4***	*€1,651.75*	*€0*
3.6.2. Resettlement and Complementary Pathways to International Protection	*2*	*0*	*1*	*1*	***4***	*€492,885.58*	*€0*
3.6.3. Third Country Support	*3*	*0*	*2*	*0*	***5****	*€633,050.85*	*€0*
4. Operational Support & Tools, Programming, Monitoring & Evaluation of Operations	**6**	**4**	**5**	**0**	**15**	**€789,324.40**	*€0*
4.1. Operational Support and Operational Tools	2	4	1	0	**7**	€527,049.40	*€0*
4.2. Programming, Monitoring and Evaluation of Operations	4	0	4	0	**8**	€262,275.00	*€0*
5. Information, Analysis and Knowledge Development	**33**	**22**	**9**	**2**	**66**	**€1,316,529.24**	**€0**
5.1. Country of Origin Information (COI)	14	8	5	1	**28**	€919,510.51	€0
5.2. Country Guidance	3	1	1	0	**5**	€14,473.12	€0

Activity (Title 3)	Human resources 2020					Financial resources (C1)	Financial resources (current R0 from past years)
	AD	AST	CA	SNE	Total		
5.3. EASO Data Hub	4	3	1	1	9	€75,526.75	€0
5.4. Research Programme on Early Warning and Root Causes	3	2		0	5	€80,550.45	€0
5.5. Strategic Analysis	4	1	0	0	5	€47,554.73	€0
5.6. Information and Documentation System (IDS)	4	5	2	0	11	€177,292.75	€0
5.7. Annual Report on the Situation of Asylum in the EU	1	2	0	0	3	€1,620.93	€0
6. Training	**23**	**10**	**6**	**1**	**40**	**€1,846,453.20**	**€0**
6.1. European Asylum Curriculum	9	3	2	0	14	€1,046,071.74	€0
6.2. Operational Training	9	5	0	1	15	€2,750.72	€0
6.3. Certification and Accreditation	3	2	1	0	6	€453,381.53	€0
6.4. e-Learning	1	0	3	0	4	€344,249.21	€0
6.5. Other Training Support	1	0	0	0	1	€0	€0
7. Asylum Support	**24**	**8**	**7**	**1**	**40**	**€1,468,381.27**	**€0**
7.1. Asylum Processes	9	3	2	0	14	€330,075.77	€0
7.2. Quality Support to Operations	3	1	0	1	5	€14,685.33	€0
7.3. Practical Cooperation Networks	9	2	2	0	13	€369,260.88	€0
7.4. Cooperation with Members of Courts and Tribunals	3	2	3	0	8	€754,359.29	€0
8. Horizontal Activities	**8**	**1**	**0**	**0**	**9**	**€218,511.21**	**€0**
8.1. Consultative Forum and Civil Society	1	1	0	0	2	€15,849.99	€0
8.2. EASO Communication						N/A	N/A
8.3. Stakeholder Relations	7	0	0	0	7	€202,661.22	€0
8.4. Information and Communications Technology						N/A	N/A

Activity (Title 3)	Human resources 2020					Financial resources (C1)	Financial resources (current R0 from past years)
	AD	AST	CA	SNE	Total		
TOTAL Operational (Title 3)	97	57	36	6	196	€73,533,607.97	€1,247,158.81
Resources allocated to governance, administrative and other horizontal activities (Title 1, Title 2)	73	62	47	2	184	€44,511,375.79	€0
Ad hoc grants (Title 4)						€0	€1,120,368.90
TOTAL*	170	119	83	8	380	€118,044,983.76	€2,367,527.71
GRAND TOTAL with new 2020 Associate Countries' contribution						€119,292,142.57	

* Excludes 1 CA post allocated under the Regional Pilot Project for North Africa and 4 CA posts allocated to the IPA II project Phase II.

** Excludes € 550,000 under BL4101 related to the Regional Pilot Project for North Africa; and €570,368 commitment consumption under BL4102 related to the IPA II project Phase II.

Annex VI: Contribution, grant and SLAs, Financial Framework Partnership Agreements

	General information				Financial and HR impact				
	Date of signature	Total amount	Duration	Counter-part	Short description		2020 (executed)		2021 (budgeted -including carry over)	
Grant agreements										
1.IPA II	20/12/2018	EUR 1,475,500	24 months	DG NEAR	Regional Support to protection-sensitive migration management system in the Western Balkans and Turkey – Phase II		CA	PA	CA	PA
						Amount	570,368.90	479,464.45	703,441.57	703,441.57
						Number of CA	5		5	
						Number of SNE				
2.Czech Republic and Denmark - voluntary contributions	27/08/2020 (CZ) 16/12/2020 (DK)	EUR 1,100,00	36 months	Czech Rep. (EUR 550K) and Denmark (EUR 550K)	EASO Regional Pilot capacity building project to enhance North-South and South-South knowledge exchanges and cooperation on asylum and reception policies and processes, to be implemented within the framework of the RDPPNA Phase V		CA	PA	CA	PA
						Amount	550,000.00	-	899,495.25	899,495.25
						Number of CA	1		5	
						Number of SNE	0		0	
3.Denmark voluntary contribution to the EASO Cooperation Roadmap with Egypt	18/12/2020	EUR 282,000	24 months	Denmark	Enhanced protection space for asylum seekers and refugees in Egypt in line with CEAS and EU standards		CA	PA	CA	PA
						Amount	0	0	188,253.01	188,253.01
						Number of CA	0		0	
						Number of SNE	0		0	
Total grant agreements							CA	PA	CA	PA
						Amount	1,120,368.90	479,464.45	1,791,189.83	1,791,189.83
						Number of CA	6		10	
						Number of SNE	0		0	

Annex VII: Environment management

EASO has made a number of efforts to work towards ensuring a more environmentally friendly workplace, with the aim of reducing its negative impact on the environment and optimising the use of resources.

EASO recognises its responsibility to reduce its impact on the environment and the need for implementation of measures to engage in more environmentally friendly activities, focusing on selected areas and identifying more areas of improvement. EASO has introduced awareness raising sessions for all staff organised by the 'EASO Green Team' to promote environmental considerations and moving towards sustainability.

During the course of 2020:

- EASO's contribution to global CO_2 emissions from travel have been considerably reduced due to the cancellation of missions as of Q1 2020, for EASO staff as well as travel for participants attending EASO meetings and training sessions, as a result of the COVID-19 pandemic. Videoconferencing has replaced face-to-face meetings and is seen as a way of limiting the need for travel and thus, the environmental impact of EASO activities.
- The physical presence of candidates participating in staff selection procedures and sitting for written assessments has been replaced by remotely managed means (videoconferencing and monitored online assessment), which has further reduced CO_2 emissions from travel.
- EASO has continued to operate a shuttle bus service from EASO premises to the central public bus depot to encourage its staff to use public transport as a more sustainable way of commuting, to reduce the environmental impact of private means of transport.
- EASO's paper consumption resulting from printing of documents saw a reduction due to the transition to teleworking for most of EASO staff and the shift to working on and exchanging electronic documents. Moreover, EASO broadened the scope of its electronic paperless workflows by extending them to the approval of governance documents, thus further reducing the number of pages printed and the consumption of energy for printing.
- A reduction in electricity consumption in EASO buildings, compared with that of previous years, was noticed as another result of the COVID-19 pandemic.
- Environmental considerations in procurement procedures have also contributed to the progress towards introducing eco-friendly activities. EASO requests its suppliers to provide environmentally friendly documentation, through e-invoicing, e-tendering, and e-submission.
- EASO has also introduced a recycling system for non-organic materials, with separation of waste and the availability of recycling boxes located in all common areas.

Annex VIII: Annual Accounts

EASO's Final Annual Accounts 2020 are available after approval by the MB on the Agency's website at https://www.easo.europa.eu/governance-documents

Annex IX: Internal Control Self-Assessment Corrective Action Plan

The full Internal Control Self -Assessment Corrective Action plan (including the Register of deficiencies) is available on the Agency's website at https://www.easo.europa.eu/about-us/governance-documents.

Annex IX: Internal Control Self-Assessment Corrective Action Plan

The full Internal Control Self -Assessment Corrective Action plan (including the Register of deficiencies) is available on the Agency's website at https://www.easo.europa.eu/about-us/governance-documents.

Annex X: Anti-fraud objectives, priority measures and control activities

The anti-fraud objectives, priority measures and control activities are available on the Agency's website at https://www.easo.europa.eu/about-us/governance-documents.

Annex XI: Internal control monitoring criteria results for 2020

The internal control monitoring criteria results for 2020 are available on the Agency's website at
https://www.easo.europa.eu/about-us/governance-documents.