

## Annex I: Resource allocation per activity

Staff directly allocated to activities Activity	Human resources					Financial Resources
	AD	AST	CA	SNE	TOTAL	Amount
<b>3. Operational Support</b>						<b>Titles 3-4</b>
3.1. Italy	11	4	5		20	8 470 000
3.2. Greece	13	7	6		26	28 231 736
3.3. Other EU Member States	5	3			8	900 000
3.4. Development of support tools for operations	3	1	1		5	250 000
3.5. Development of support tools for the hotspots and relocation	4		1.5	1	6.5	393 000
<b>4. Information, analysis and knowledge development</b>						
4.1. Country of Origin Information (COI)	9.5	1	1	2.5	14	950 000
4.2. Early Warning and Preparedness (EPS)	6		4	2	12	450 000
4.3. Information and Documentation System (IDS)	0.5	3.5	1		5	45 000
4.4. Annual report on the situation of asylum in the EU	0.5	1.5			2	30 000
4.5. Integration and further development of Asylum Information Systems			1	0.5	1.5	200 000
4.6. Research programme	2	1			3	330 000
<b>5. Permanent support</b>						
5.1. Training	11.5	2	3		16.5	2 089 924.02
5.2. Asylum processes	5.5	0.5	1		7	645 000
5.3. Activities on vulnerable groups	2.5	0.5		1	4	242 508
5.4. Cooperation with members of courts and tribunals	2	0.5	2		4.5	550 000
5.5. Dublin network	1	1			2	75 000
5.6. Reception	1	0.5	0.5		2	150 000
5.7. Integration and Return	0		0		0	0
5.8. Country guidance for convergence	2	0.5			2.5	100 000
5.9.a. EASO queries		0.5			0.5	5 000
5.9.b. List of available languages	0.5		0.5		1	60 000
5.9.c. Information and communications technology	0	0			0	0
<b>6. External dimension</b>						
6.1. Third country support	2	1	1		4	718 355
6.2. Resettlement	1.5	1	1	1	4.5	939 387
<b>7. Horizontal activities</b>						
7.1. Civil Society and Consultative Forum	1	1			2	130 000
7.2. EASO's communication and stakeholders relations	3	3	9		15	100 000
<b>TOTAL Operational</b>	<b>88</b>	<b>34</b>	<b>38.5</b>	<b>8</b>	<b>168.5</b>	<b>46 054 910.02</b>
						<b>Titles 1 - 2</b>
<b>Other staff allocated to other horizontal/administrative activities</b>	19	14	33.5		66.5	<b>26 960 571.67</b>
<b>TOTAL</b>	<b>107</b>	<b>48</b>	<b>72</b>	<b>8</b>	<b>235</b>	<b>73 015 481.69</b>

## Annex II: Financial resources 2017-2019

**Table 1: Expenditure**

Expenditure	2016 (including all 4 amendments)		2017 (after amendment 1)	
	Commitment appropriations	Payment appropriations	Commitment appropriations	Payment appropriations
<b>Title 1</b>	8,847,858.00	8,847,858.00	16,521,014.13	16,521,014.13
<b>Title 2</b>	5,889,821.21	5,889,821.21	10,439,557.54	10,439,557.54
<b>Title 3</b>	29,881,502.65 <sup>1</sup>	17,586,502.65	46,054,910.02	46,054,910.02
<b>Title 4* (earmarked)</b>	20,751,051.89	20,751,051.89	p.m.	p.m.
<b>Total expenditure</b>	<b>65,370,233.75</b>	<b>53,075,233.75</b>	<b>73,015,481.69</b>	<b>73,015,481.69</b>

<sup>1</sup> Out of which € 896,207 earmarked

EASO SINGLE PROGRAMMING DOCUMENT 2017-2019 – ANNEXES – AMENDMENT 1  
June 2017

EXPENDITURE	Commitment appropriations						
	Executed Budget 2015	Budget 2016	Budget 2017		VAR 2017 / 2016	Envisaged in 2018	Envisaged 2019
			Initial	Budget amendment 1			
<b>Title 1</b>							
<b>Staff Expenditure</b>	<b>5,533,271</b>	<b>8,847,858</b>	<b>16,521,014.13</b>	<b>16,521,014.13</b>		<b>28,361,481.87</b>	<b>37,209,219.99</b>
<b>11 Salaries &amp; allowances</b>	4,560,691	6,626,660	13,636,014.13	13,636,014.13		23,786,481.87	31,277,998
<i>- of which establishment plan posts</i>	3,379,762	4,872,871	10,245,000	10,245,000		18,884,481.87	24,956,390.96
<i>- of which external personnel</i>	1,180,929	1,753,789	3,391,014.13	3,391,014.13		4,902,000	6,321,607.03
<b>12 Expenditure relating to Staff recruitment</b>	274,283	609,824	270,000	270,000.00		530,000	750,000
<b>13 Mission expenses</b>	145,910	142,197	260,000	260,000.00		390,000	512,000
<b>14 Socio-medical infrastructure</b>	138,167	337,500	830,000	830,000.00		1,360,000	1,786,222
<b>15 Training</b>	54,892	189,000	250,000	250,000.00		375,000	493,000
<b>16 External Services</b>	358,336	937,677	1,270,000	1,270,000.00		1,910,000	2,380,000
<b>17 Receptions and events</b>	992	5,000	5,000	5,000.00		10,000	10,000
<b>Title 2</b>							
<b>Infrastructure and operating expenditure</b>	<b>2,937,077</b>	<b>5,889,821</b>	<b>8,879,999.87</b>	<b>10,439,557.54</b>		<b>10,872,500</b>	<b>11,973,750</b>

EASO SINGLE PROGRAMMING DOCUMENT 2017-2019 – ANNEXES – AMENDMENT 1  
June 2017

EXPENDITURE	Commitment appropriations						
	Executed Budget 2015	Budget 2016	Budget 2017		VAR 2017 / 2016	Envisaged in 2018	Envisaged 2019
			Initial	Budget amendment 1			
<b>20<sup>2</sup> Rental of buildings and associated costs<sup>3</sup></b>	971,434	1,715,295	4,240,000	4,343,989.52		4,655,000	4,477,500
<b>21<sup>4</sup> Information and communication technology</b>	816,517	1,567,807	1,875,000	3,250,568.15		2,477,500	3,175,000
<b>22<sup>5</sup> Movable property and associated costs</b>	121,078	142,126	N.A.	N.A.		N.A.	N.A.
<b>23 Current administrative expenditure<sup>6</sup></b>	923,568	2,087,732	2,764,999.87	2,844,999.87		3,740,000	4,321,250
<b>24<sup>6</sup> Postage / Telecommunications</b>	104,480	376,861	N.A.	N.A.		N.A.	N.A.
<b>Title 3 Operational expenditure</b>	<b>6,076,799</b>	<b>29,881,502</b>	<b>43,804,986</b>	<b>46,054,910.02</b>		<b>47,737,518.13</b>	<b>47,503,530</b>
<b>31 Information, Analysis and Knowledge Development</b>	469,809	592,034	2,110,000	2,110,000.00		2,960,000	2,880,000
<b>32 Support for MS practical cooperation</b>	2,687,008	3,591,322	4,713,250	5,503,174.02		5,906,520	6,400,000

<sup>2</sup> Renumbered '21' in new budget structure adopted for use as of 2017.

<sup>3</sup> Including possible repayment of interest; detailed information as regards building policy provided in Table in Annex III

<sup>4</sup> Renumbered '22' in new budget structure adopted for use as of 2017.

<sup>5</sup> Budget line not in new budget structure adopted for use as of 2017. The expenditures covered by this chapter are placed in chapter 23 of the budget structure 2017.

<sup>6</sup> The expenditure items covering technical equipment, office equipment and furniture are covered by chapter 21 of the budget structure 2017, whereas documentation and library expenditure is covered by chapter 22 of the budget structure 2017.

EASO SINGLE PROGRAMMING DOCUMENT 2017-2019 – ANNEXES – AMENDMENT 1  
June 2017

EXPENDITURE	Commitment appropriations						
	Executed Budget 2015	Budget 2016	Budget 2017		VAR 2017 / 2016	Envisaged in 2018	Envisaged 2019
			Initial	Budget amendment 1			
<b>33 Operational support</b>	2,807,832	25,467,236	36,791,735.62	38,211,736.00		36,670,998.13	37,988,530
<b>34 Cooperation with civil society and stakeholders</b>	112,150	230,911	190,000	230,000.00		200,000	235,000
<b>Title 4</b>							
<b>EASO participation in external projects</b>	<b>540,874</b>	<b>20,751,052</b>	<b>p.m.</b>	<b>p.m.</b>		<b>p.m.</b>	<b>p.m.</b>
<b>TOTAL EXPENDITURE</b>	<b>15,088,021</b>	<b>65,370,234</b>	<b>69,206,000</b>	<b>73,015,481.69</b>		<b>86,971,500</b>	<b>96,686,500</b>

EXPENDITURE	Payment appropriations						
	Executed Budget 2015	Budget 2016	Budget 2017		VAR 2017 / 2016	Envisaged in 2018	Envisaged 2019
			Initial	Budget amendment 1			
<b>Title 1</b>							
<b>Staff Expenditure</b>	<b>5,344,611</b>	<b>8,847,858</b>	<b>16,521,014.13</b>	<b>16,521,014.13</b>		<b>28,361,481.87</b>	<b>37,209,219.99</b>
<b>11 Salaries &amp; allowances</b>	4,560,691	6,626,660	13,636,014.13	13,636,014.13		23,786,481.87	31,277,998
<i>- of which establishment plan posts</i>	<i>3,379,762</i>	<i>4,872,871</i>	<i>10,245,000</i>	<i>10,245,000</i>		<i>18,884,481.87</i>	<i>24,956,390.96</i>
<i>- of which external personnel</i>	<i>1,180,929</i>	<i>1,753,789</i>	<i>3,391,014.13</i>	<i>3,391,014.13</i>		<i>4,902,000</i>	<i>6,321,607.03</i>
<b>12 Expenditure relating to Staff recruitment</b>	216,644	609,824	270,000	270,000.00		530,000	750,000

EASO SINGLE PROGRAMMING DOCUMENT 2017-2019 – ANNEXES – AMENDMENT 1  
June 2017

EXPENDITURE	Payment appropriations						
	Executed Budget 2015	Budget 2016	Budget 2017		VAR 2017 / 2016	Envisaged in 2018	Envisaged 2019
			Initial	Budget amendment 1			
13 Mission expenses	127,322	142,197	260,000	260,000.00		390,000	512,000
14 Socio-medical infrastructure	118,671	337,500	830,000	830,000.00		1,360,000	1,786,222
15 Training	36,946	189,000	250,000	250,000.00		375,000	493,000
16 External Services	283,345	937,677	1,270,000	1,270,000.00		1,910,000	2,380,000
17 Receptions and events	992	5,000	5,000	5,000.00		10,000	10,000
<b>Title 2</b>							
<b>Infrastructure and operating expenditure</b>	<b>1,840,494</b>	<b>5,889,821</b>	<b>8,879,999.87</b>	<b>10,439,557.54</b>		<b>10,872,500</b>	<b>11,973,750</b>
20 <sup>7</sup> Rental of buildings and associated costs <sup>8</sup>	784,246	1,715,295	4,240,000	4,343,989.52		4,655,000	4,477,500
21 <sup>9</sup> Information and communication technology	301,610	1,567,807	1,875,000	3,250,568.15		2,477,500	3,175,000
22 <sup>10</sup> Movable property and associated costs	74,199	142,126	N.A.	N.A.		N.A.	N.A.

<sup>7</sup> Renumbered '21' in new budget structure adopted for use as of 2017.

<sup>8</sup> Including possible repayment of interest; detailed information as regards building policy provided in Table in Annex III

<sup>9</sup> Renumbered '22' in new budget structure adopted for use as of 2017.

<sup>10</sup> Budget line not in new budget structure adopted for use as of 2017. The expenditures covered by this chapter are placed in chapter 23 of the budget structure 2017.

EASO SINGLE PROGRAMMING DOCUMENT 2017-2019 – ANNEXES – AMENDMENT 1  
June 2017

EXPENDITURE	Payment appropriations						
	Executed Budget 2015	Budget 2016	Budget 2017		VAR 2017 / 2016	Envisaged in 2018	Envisaged 2019
			Initial	Budget amendment 1			
<b>23 Current administrative expenditure<sup>11</sup></b>	621,811	2,087,732	2,764,999.87	2,844,999.87		3,740,000	4,321,250
<b>24<sup>10</sup> Postage / Telecommunications</b>	58,628	376,861	N.A.	N.A.		N.A.	N.A.
<b>Title 3 Operational expenditure</b>	<b>4,763,584</b>	<b>17,586,503</b>	<b>43,804,986</b>	46,054,910.02		<b>47,737,518.13</b>	<b>47,503,530</b>
<b>31 Information, Analysis and Knowledge Development</b>	411,432	618,420	2,110,000	2,110,000.00		2,960,000	2,880,000
<b>32 Support for MS practical cooperation</b>	2,662,635	3,317,754	4,713,250	5,503,174.02		5,906,520	6,400,000
<b>33 Operational support</b>	1,564,461	13,421,428 <sup>12</sup>	36,791,736	38,211,736.00		38,670,998.13	37,988,530
<b>34 Cooperation with civil society and stakeholders</b>	125,056	228,901	190,000	230,000.00		200,000	235,000
<b>Title 4</b>	<b>430,861</b>	<b>20,751,052</b>	<b>p.m.</b>	p.m.		<b>p.m.</b>	<b>p.m.</b>

<sup>11</sup> The expenditure items covering technical equipment, office equipment and furniture are covered by chapter 21 of the budget structure 2017, whereas documentation and library expenditure is covered by chapter 22 of the budget structure 2017.

<sup>12</sup> Out of which € 896,207 earmarked

EASO SINGLE PROGRAMMING DOCUMENT 2017-2019 – ANNEXES – AMENDMENT 1  
June 2017

EXPENDITURE	Payment appropriations						
	Executed Budget 2015	Budget 2016	Budget 2017		VAR 2017 / 2016	Envisaged in 2018	Envisaged 2019
			Initial	Budget amendment 1			
EASO participation in external projects							
<b>TOTAL EXPENDITURE</b>	<b>12,379,550</b>	<b>53,075,234</b>	<b>69,206,000</b>	<b>73,015,481.69</b>		<b>86,971,500</b>	<b>96,686,500</b>



**Table 2: Revenue**

Revenues	2016	2017
	Revenues	Budget Forecast
EU contribution	29,463,600	69,206,000
Other revenue from Associate Countries	1,900,134	3,809,481.69 p.m. (Liechtenstein contribution)
Other revenues (EMAS) – earmarked	19,950,947.04	
Other revenues (Eurodac) – earmarked	1,109,707.12	
Other revenues (IPA) – earmarked	565,829.89	p.m. (IPA)
Other revenues (ENP) – earmarked	84,274.96	
Other revenues – accrued interest	740.27	3,989.52 p.m. (bank interest second semester)
<b>Total revenues</b>	<b>53,075,233.75</b>	<b>73,015,481.69</b>

EASO SINGLE PROGRAMMING DOCUMENT 2017-2019 – ANNEXES – AMENDMENT 1  
June 2017

REVENUES	2015	2016	2017		VAR N+2 /N+1	Envisaged N+2	Envisaged N+3
	Executed Budget***	Revenues	As requested by the agency	Budget			
<b>1 REVENUE FROM FEES AND CHARGES</b>	-	-	-			-	-
<b>2. EU CONTRIBUTION</b>	11,948,688	29,463,600	69,206,000	69,206,000		86,971,500	96,686,500
of which Administrative (Title 1 and Title 2)	7,185,105	14,336,938.94	25,401,014	25,401,014		39,233,981.87	49,182,969.99
of which Operational (Title 3)	4,763,583	15,126,661.06	43,804,986	43,804,986		47,737,518.13	47,503,530.00
of which assigned revenues deriving from previous years' surpluses	-	774,000.00	p.m.			p.m.	p.m.
<b>3 THIRD COUNTRIES CONTRIBUTION (incl. EFTA and candidate countries)</b>	145,587**	1,900,134.00	p.m.	3,805,492.17 (Liechtenstein contribution p.m.)		p.m.	p.m.
of which EFTA	145,587	1,900,134.00	p.m.	3,805,492.17 (Liechtenstein contribution p.m.)		p.m.	p.m.
of which Candidate Countries	-	-		-			

EASO SINGLE PROGRAMMING DOCUMENT 2017-2019 – ANNEXES – AMENDMENT 1  
June 2017

REVENUES	2015	2016	2017		VAR N+2 /N+1	Envisaged N+2	Envisaged N+3
	Executed Budget***	Revenues	As requested by the agency	Budget			
<b>4 OTHER CONTRIBUTIONS</b>	430,861****	<b>21,710,759</b>	p.m.	p.m.		p.m.	p.m.
<b>of which delegation agreement, ad hoc grants</b>	430,861	21,710,759	p.m.	p.m.		p.m.	p.m.
<b>ACCRUED REVENUES FROM BANK INTEREST</b>		740.27		3,989.52			
<b>TOTAL REVENUES</b>	<b>12,525,137</b>	<b>53,075,234</b>	69,206,000	<b>73,015,481.69</b>		86,971,500	96,686,500

\*estimated/expected

\*\* includes Norway contribution 2014 and 2015 excludes ENP

\*\*\* execution of Payment Appropriations (C1 and R0)

\*\*\*\*ENPI grant with NEAR

**Table 3: Budget outturn and cancellation of appropriations**

**Calculation budget outturn**

<b>Budget outturn (€)</b>	<b>2012</b>	<b>2013</b>	<b>2014</b>
Revenue actually received (+)	-	13,120,809.30	13,707,018.73
Payments made (-)	-	-10,758,306.89	-12,598,782.37
Carry-over of appropriations (-)	-	-1,571,032.97	-2,377,801.03
Cancellation of appropriations carried over (+)	-	146,417.18	115,376.08
Adjustment for carry over of assigned revenue appropriations from previous year (+)	-	29,493.36	744,344.70
Exchange rate differences (+/-)	-	11,772.58	1,996.74
Adjustment for negative balance from previous year (-)	-	-72,393.33	
<b>Total</b>	-	<b>906,759.23</b>	<b>-407,847.15</b>

• **Budget outturn**

In accordance with article 33 of the EASO Regulation<sup>13</sup>, the revenue and resources of EASO shall consist, in particular, of:

- (a) a contribution from the Union entered in the general budget of the European Union;
- (b) any voluntary contribution from the Member States;
- (c) charges for publications and any service provided by EASO;
- (d) a contribution from the associate countries.

<sup>13</sup> Regulation (EU) No 439/2010, OJ L132, 29.5.2020, p.11

The expenditure of EASO shall cover staff remuneration, infrastructure and administrative expenditure, and operational expenditure, and is divided into four titles as follows:

- Title 1 - Staff expenditure
- Title 2 - Infrastructure and operating expenditure
- Title 3 - Operational expenditure
- Title 4 - Operational expenditure for specific projects

• **Cancellation of commitment appropriations, payment appropriations for the year and payment appropriations carried over**

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. EASO 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 carry-over is intended to cover pending expenditure at the end of the year (several invoices and debit notes from contractors and EU institutions/agencies were pending to be received). Carry-over of appropriations relates to:

- Title 1: Staff expenditure such as missions, schooling and representation/miscellaneous costs;
- Title 2: Infrastructure and operating expenditure (IT hardware, software and related services, etc.), administrative assistance from other EU institutions (e.g. Service Level Agreements with PMO), translations and publications, business consultancy and organisation costs of Management Board meetings;
- Title 3: Operational expenditure such as translations and publications, organisation of events, reimbursement of participants/experts to meetings organised by EASO, etc.
- Title 4: Operational expenditure for specific projects (ENP countries participating in the work of EASO) such as translations, staff travel costs, organisation of events, reimbursement of participants/experts to meetings organised by EASO, etc.

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.

C4 appropriations (internally assigned funds) are carried over automatically to the following financial year as C5 appropriations, together with the payment appropriations.

R0 appropriations (externally assigned funds) are carried over automatically to the following financial year together with the payment appropriations.

Differentiated C1 appropriations (Title 3) corresponding to obligations duly contracted at the close of the financial year are carried over automatically to the following financial year, under C8 appropriations, without the payment appropriations.

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

### Annex III: Human resources – quantitative

**Table 1 – Staff population and its evolution; Overview of all categories of staff**

Partially fee- financed agencies should ensure that their budget is presented with appropriate breakdown between EU - financed and fee –financed HR.

Staff population		Actually filled as of 31.12 2014	Authorised under EU budget 2015	Actually filled as of 31.12.2015	Authorised under EU budget for year 2016	Actually filled as of 31.12.2016	In draft budget for year 2017	Envisaged in 2018	Envisaged in 2019
Officials	AD	0	0	0	0	0	0	0	0
	AST	0	0	0	0	0	0	0	0
	AST/SC	0	0	0	0	0	0	0	0
TA	AD	34	71	48	73	69	107	135	185
	AST	14	18	13	18	17	48	79	105
	AST/SC	0	0	0	0	0	0	0	0
Total		48	89	61	91	86	155	214	290
CA GFIV		7	10	9	33	30	33	37	49
CA GF III		8	9	8	35	25	35	35	36
CA GF II		2	3	3	3	2	3	10	10
CA GFI		2	1	1	1	1	1	0	0

Staff population	Actually filled as of 31.12 2014	Authorised under EU budget 2015	Actually filled as of 31.12.2015	Authorised under EU budget for year 2016	Actually filled as of 31.12.2016	In draft budget for year 2017	Envisaged in 2018	Envisaged in 2019
Total CA	19	23	21	72 <sup>14</sup>	58	72	82	95
SNE	12	12	11	12	7	8	7	5
<i>Structural service providers</i>								
TOTAL	79	124	93	175	151 <sup>15</sup>	235	303	390
<i>External staff for occasional replacement</i>								

<sup>14</sup>In 2016, 39 contract agents have been created.

<sup>15</sup> Number of staff posts actually filled; status on 02.12.2016.

**Table 2 – Multiannual staff policy plan Year 2017-2019**

Category and grade	Establishment plan in EU Budget 2015		Filled as of 31/12/2015		Modifications in year 2015 in application of flexibility rule		Establishment plan in voted EU Budget 2016 (amendment)		Modifications in year 2016 in application of flexibility rule		Establishment plan in EU Budget 2017		Establishment plan 2018		Establishment plan 2019	
	officials	TA	officials	TA	officials	TA	officials	TA	officials	TA	officials	TA	officials	TA	officials	TA
AD 16	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
AD 15	0	0	0	0	0	0	0	1	0	074	0	1	0	1	0	1
AD 14	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0
AD 13	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	2
AD 12	0	0	0	0	0	0	0	4 <sup>16</sup>	0	+4	0	4	0	4	0	6
AD 11	0	1	0	0	0	0	0	1	0	0	0	1	0	1	0	3
AD 10	0	8	0	4	0	0	0	8 <sup>17</sup>	0	-1	0	9	0	11	0	16
AD 9	0	9	0	2	0	0	0	5	0	-3	0	5	0	8	0	17
AD 8	0	10	0	5	0	0	0	10	0	0	0	11	0	30	0	41
AD 7	0	28	0	21	0	0	0	28	0	0	0	41	0	44	0	57
AD 6	0	5	0	6	0	0	0	5	0	0	0	11	0	16	0	19
AD 5	0	9	0	10	0	0	0	11	0	0	0	24	0	19	0	23

<sup>16</sup> Includes upgrade of 4 TA AD 10 to TA AD 12.

<sup>17</sup> Includes upgrade of 3 TA AD 9 to TA AD 10.



EASO SINGLE PROGRAMMING DOCUMENT 2017-2019 – ANNEXES – AMENDMENT 1  
June 2017

Category and grade	Establishment plan in EU Budget 2015		Filled as of 31/12/2015		Modifications in year 2015 in application of flexibility rule		Establishment plan in voted EU Budget 2016 (amendment)		Modifications in year 2016 in application of flexibility rule		Establishment plan in EU Budget 2017		Establishment plan 2018		Establishment plan 2019	
	officials	TA	officials	TA	officials	TA	officials	TA	officials	TA	officials	TA	officials	TA	officials	TA
<b>Total AD</b>	<b>0</b>	<b>71</b>	0	<b>48</b>	0	0	0	<b>73</b>	0	<b>0</b>	0	<b>107</b>	0	<b>135</b>	0	<b>185</b>
AST 11	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
AST 10	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
AST 9	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
AST 8	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
AST 7	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
AST 6	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
AST 5	0	0	0	0	0	0	0	2 <sup>18</sup>	0	+2	0	3	0	5	0	10
AST 4	0	6	0	2	0	0	0	6	0	0	0	10	0	30	0	40
AST 3	0	6	0	6	0	0	0	6	0	0	0	26	0	35	0	45
AST 2	0	1	0	1	0	0	0	2	0	0	0	5	0	5	0	8
AST 1	0	5	0	4	0	0	0	2	0	-2	0	4	0	4	0	2
<b>Total AST</b>	<b>0</b>	<b>18</b>	0	<b>13</b>	0	0	0	<b>18</b>	0	<b>0</b>	0	<b>48</b>	0	<b>79</b>	0	<b>105</b>
AST/SC1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0

<sup>18</sup> Includes upgrade of 2 TA AST 1 to TA AST 5.

EASO SINGLE PROGRAMMING DOCUMENT 2017-2019 – ANNEXES – AMENDMENT 1  
June 2017

Category and grade	Establishment plan in EU Budget 2015		Filled as of 31/12/2015		Modifications in year 2015 in application of flexibility rule		Establishment plan in voted EU Budget 2016 (amendment)		Modifications in year 2016 in application of flexibility rule		Establishment plan in EU Budget 2017		Establishment plan 2018		Establishment plan 2019	
	officials	TA	officials	TA	officials	TA	officials	TA	officials	TA	officials	TA	officials	TA	officials	TA
AST/SC2	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
AST/SC3	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
AST/SC4	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
AST/SC5	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
AST/SC6	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
<b>Total AST/SC</b>	0	<b>0</b>	0	<b>0</b>	0	0	0	<b>0</b>	0	<b>0</b>	0	<b>0</b>	0	<b>0</b>	0	<b>0</b>
<b>TOTAL</b>	0	<b>89</b>		<b>61</b>	0	0	0	<b>91</b>	0	<b>0</b>	0	<b>155</b>	0	<b>214</b>	0	<b>290</b>

## Annex IV: Human resources – qualitative

### A. Recruitment policy

The agency's recruitment policy as regards the selection procedures, the entry grades of different categories of staff, the type and duration of employment and different job profiles was updated in October 2014 and revisited in November 2015 in order to align it to the new Staff Regulations and implementing rules thereto, as well as the conclusion of the agreements for the participation of associated countries in EASO.

The main principles of the recruitment policy are fairness, transparency and equal treatment. Any discrimination on any ground such as sex, race, colour, ethnic or social origin, genetic features, language, religion or belief, political or any other opinion, membership of a national minority, property, birth, disability age or sexual orientation shall be prohibited.

#### a. Officials

Currently, no officials are foreseen in the EASO establishment plan.

#### b. Temporary agents

EASO employs temporary agents on long-term employment to carry out its technical and administrative and management tasks of a permanent or long term nature, such as those directly related to the implementation of the EASO's core activities as defined in its founding Regulation and tasks related to the management and functioning of EASO aimed at providing technical and administrative support to its core business.

Temporary agents on long term employment are offered a five-year contract. The contract may be renewed not more than once for a fixed period. Any further renewal shall be for an indefinite period. They are recruited at the levels indicated below in order to permit a long term career development:

- AST function group: AST 1 to AST 4
- AD function group: AD 5 to AD 12, within the limits established in Article 53 of CEOS.

Examples of job profiles: administrative tasks (Secretary, Finance and Budget Assistant, Procurement Assistant), operational tasks (Field Officer), management (Head of Administration Department).

EASO may also employ temporary agents on short term employment to fulfil specific technical and administrative tasks of a limited duration. The duration of the contract is determined by that of the tasks.

#### c. Contract agents

In addition to Temporary Agents, EASO also recruits Contract Agents. The decision to recruit a Contract Agent lies with the Appointing Authority and is decided on a case-by-case basis, depending on the justification of the short/long-term requirement and proper justification from the requesting Unit. The justification can be a specific project; temporary peaks of workload; uncertainty about a need for a Temporary Agent; and/or waiting for a Temporary Agent to be recruited.

In accordance with the function groups and grades defined by Article 80 of the CEOS, the EASO's contractual staff has been assigned to tasks aimed at providing administrative, linguistic, scientific and drafting support to the work of temporary agents within function groups I, II and III. The use of contractual staff in function group IV is limited to those situations where it is necessary to recruit very specific and high-level technical expertise.

As a general rule, Contract Agents on long term employment are offered up to a five-year contract which might be renewed once for up to five years. The second renewal will be for an indefinite period. Examples of job profiles: technical experts in asylum related domains, support staff (IT assistant).

EASO may also employ contractual agents on short term employment contracts to fulfil tasks of a technical and administrative nature of a limited duration, similar to those assigned to temporary agents on short-term

employment. In principle, such contracts are renewed only once and these agents are not offered a second renewal of their contract for an indefinite period.

**d. Seconded national experts**

Seconded National Experts (SNEs) are selected by EASO to benefit from their high level of expertise and up-to-date knowledge. They are engaged in particular in areas where the expertise is not readily available or only temporarily as required to perform specific EASO tasks. The legal framework for the selection of SNEs is found in Management Board Decision No. 1 of 25 November 2010. Following this Decision, SNEs are not employed by the Agency, but continue their employment relation with the seconding organisation. The length of the initial contract is 1 year with a possibility of extensions.

Examples of job profiles: operational tasks (Operational and Planning Expert), project tasks (Expert on the Greece Operating Plan), knowledge of a specific Country of Origin (Country of Origin Information Expert).

**e. Structural service providers**

EASO concluded in 2015 a framework contract with an interim service provider for the provision of interim agents to cover the following profiles: secretary/clerical tasks, administrative support, communication support, human resources support, procurement/financial support, conference hostess/host, conference organiser, project assistant, ICT tasks, etc.

**B. Appraisal of performance and reclassification/promotions**

**Table 1 - Reclassification of temporary staff/promotion of officials**

Category and grade	Staff in activity at 1.1. 2014		How many staff members were promoted / reclassified in 2015		Average number of years in grade of reclassified/promoted staff members
	officials	TA	officials	TA	
AD 16		0		0	
AD 15		0		0	
AD 14		1		0	
AD 13		0		0	
AD 12		0		0	
AD 11		0		0	
AD 10		0		1	2
AD 9		6		0	
AD 8		1		2	2
AD 7		12		0	
AD 6		2		1	2
AD 5		8		0	
<b>Total AD</b>		<b>30</b>		<b>4</b>	
AST 11		0		0	
AST 10		0		0	
AST 9		0		0	
AST 8		0		0	
AST 7		0		0	
AST 6		0		0	
AST 5		0		0	
AST 4		0		1	
AST 3		7		0	
AST 2		1		0	
AST 1		5		0	
<b>Total AST</b>		<b>13</b>		<b>1</b>	2
AST/SC1		0		0	
AST/SC2		0		0	
AST/SC3		0		0	

Category and grade	Staff in activity at 1.1.2014		How many staff members were promoted / reclassified in 2015		Average number of years in grade of reclassified/promoted staff members
	officials	TA	officials	TA	
AST/SC4		0		0	
AST/SC5		0		0	
AST/SC6		0		0	
<b>Total AST/SC</b>		<b>0</b>		<b>0</b>	
<b>Total</b>		<b>43</b>		<b>5</b>	

**Table 2 -Reclassification of contract staff**

Function Group	Grade	Staff in activity at 1.01.2014	How many staff members were reclassified in Year 2015	Average number of years in grade of reclassified staff members
CA IV	18	0		
	17	0		
	16	0		
	15	1		
	14	1		
	13	2		
CA III	12	0		
	11	0		
	10	1		
	9	3	1	2
	8	3		
CA II	7	0		
	6	0		
	5	0		
	4	1		
CA I	3	0		
	2	0		
	1	1		
<b>Total</b>		<b>13</b>	<b>1</b>	

## **The agency's policy on performance appraisal and promotion/reclassification – short description**

In 2014 EASO carried out the first annual exercises for staff appraisal. The first appraisal report exceptionally covered the year 2012 together with 2013 for staff members that were in active employment during those years. Following the performance appraisal, the first reclassification will also take place in 2014 as some of the temporary and contract agents have been recruited as from the second half of 2011 and will therefore be eligible for promotion to a higher grade. The rules and procedures applied by EASO comply with the relevant provisions of the Staff Regulations, namely Articles 43 and 45, and Articles 15, 54 and 87 of the CEOS.

For appraisal, EASO has conducted an annual exercise focusing on the staff member's performance, including a dialogue between the actors involved and a definition of the staff member's training needs. All members of staff were evaluated annually in accordance to the established rules. No distinction is made between different job profiles. The procedures for performance appraisal have been revisited to align with the practices of the European Commission, and in particular the adoption by analogy of the model decisions in line with Article 110 in January 2016 by the Management Board. A number of trainings has been organised for this purpose at the beginning of 2016 for managers and for staff to promote efficiency gains, giving and receiving feedback, etc.

The first reclassification exercise of EASO staff members has taken place in 2015, with retroactivity for 2014. For the first exercise EASO has used to the maximum the posts available in the Establishment Plan. It should be noted that EASO was going through a building up phase, where the very few first recruits have shown a tremendous increase in responsibilities whilst showing a great investment in constructing what EASO is today. Over the long run, EASO will become a more stable organisation, resulting in a normalisation of the multiplication rates as foreseen in Annex I.B.

The reclassification of EASO staff will continue in the period 2016-2018 depending on the availability of posts and budget allocated, and subject to the eligibility criteria.

## C. Mobility policy

### **Mobility within the agency**

Mobility of staff members within EASO is ensured by the possibilities of using:

- 1) internal publication of calls for expression of interest;
- 2) external publications of calls for selection which also welcome applications from internal candidates;
- 3) redeployment or reassignment of staff in the interest of the service; and
- 4) mutual exchange of staff between different units, in agreement between the heads of the units concerned.

### **Mobility among agencies (Inter-agency Job Market)**

The inter-agency job market is subject to a specific inter-agency agreement, to be signed for adhesion on a voluntary basis. EASO has requested to be part of the agreement.

Additionally, Inter-agency mobility can also be achieved through the recruitment of staff previously employed in other agencies by applying the standard selection procedures used for all candidates.

### **Mobility between the agency and the institutions**

Mobility of staff members between EASO and the EU institutions can be achieved through transfer of officials from the EU institutions to EASO, transfer of agents from EASO to the EU institutions, and engagement of officials from EU institutions as temporary agents who have been successful in an EASO selection process for temporary agents. The development of the above-mentioned mobility is directly influenced by the availability and attractiveness of temporary vacant posts for the profiles and expertise similar to those available in the EU institutions.

With regard to mobility, in 2014, 4 staff members moved to other EU agencies and 1 staff member to an EU delegation. During the same year, 2 staff members joined EASO after leaving the European Commission, and 1 staff member joined EASO coming from another Agency.

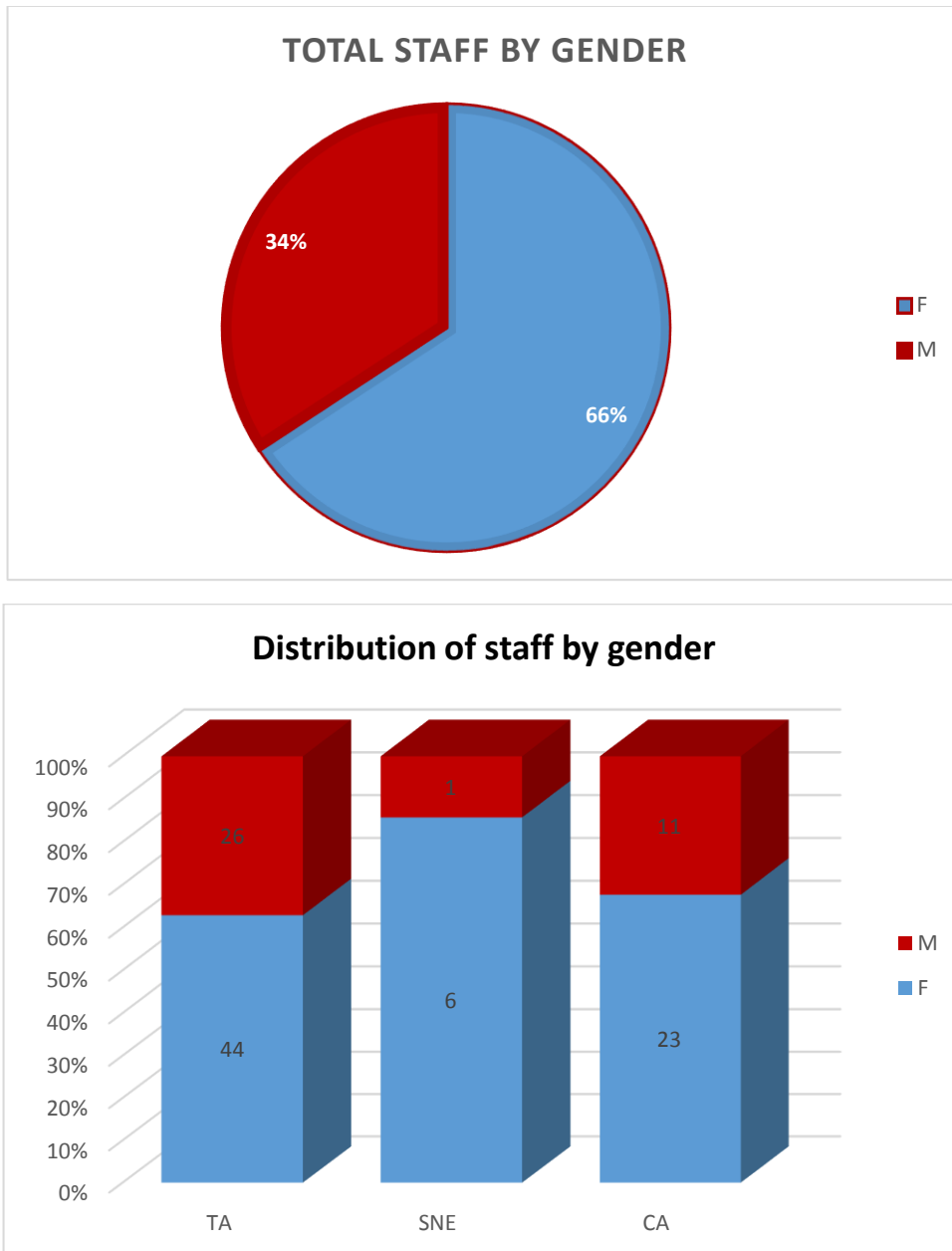


## D. Gender and geographical balance

### Gender balance

EASO applies an equal opportunities policy and accepts staff members without distinction on the grounds of sex, race, colour, ethnic or social origin, genetic features, language, and religion, political or any other opinion, membership of a national minority, property, birth, disability, age or sexual orientation.

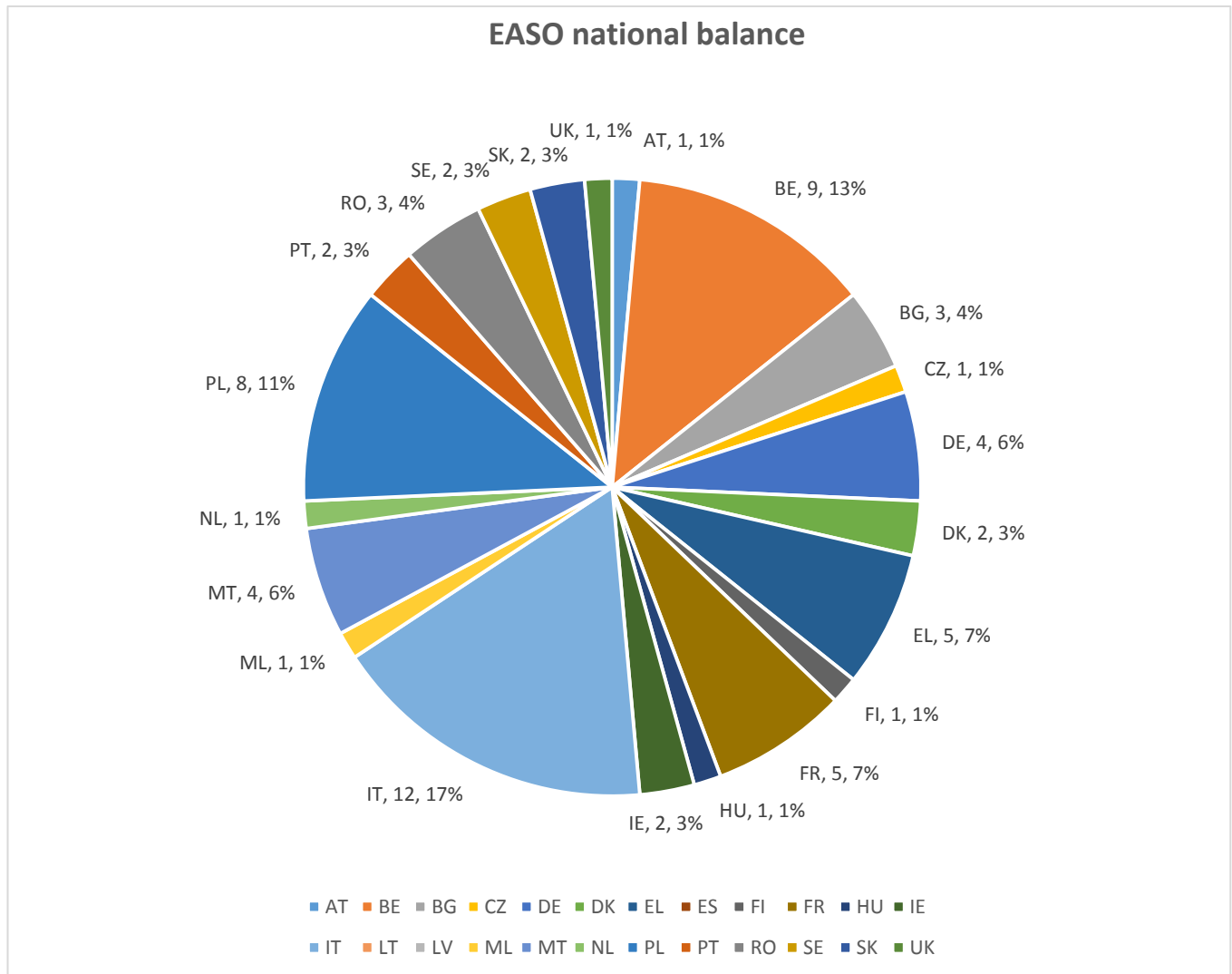
Currently, the gender<sup>19</sup> balance in EASO is as displayed in the graph below.



<sup>19</sup> Data as of 16 July 2016

## Geographical balance

24 nationalities are already represented at this stage of recruitment in EASO as illustrated below.<sup>20</sup>



<sup>20</sup> The total number does not take into account new posts filled with internal staff.

Nationality	TA	SNE	CA	Grand Total
AT	1			1
BE	9		3	12
BG	3		1	4
CZ	1	1	2	4
DE	4			4
DK	2		1	3
EL	5		2	7
ES		2	1	3
FI	1			1
FR	5		2	7
HU	1			1
IE	2			2
IT	12		8	20
LT			1	1
LV			2	2
ML	1			1
MT	4		4	8
NL	1	2		3
PL	8		2	10
PT	2	1	1	4
RO	3		3	6
SE	2		1	3
SK	2	1		3
UK	1			1
<b>Grand Total</b>	<b>70</b>	<b>7</b>	<b>34</b>	<b>111</b>

## E. Schooling

Statutory staff members of EU institutions, including agencies, enjoy free access to European Schools under the condition that they have a contract of at least one year. EASO considers it necessary to provide adequate financial support to staff members whose children attend private/international schools in Malta. The Agency has signed agreements with private/international schools in Malta to compensate for the current lack of a European School within a perimeter of 50km from EASO's headquarters. Additional agreements have been signed in 2016.

In this sense, the Management Board adopted in November 2013 a Decision on the EASO contribution to school fees for children attending a private/international school in Malta and to support their integration in the local environment. The Decision foresees the provision of adequate financial support to staff members whose children attend these schools, also taking into account the development of a sustainable and balanced approach between the financial support to the annual school fees and the Agency's expenditure.

## Annex V: Building policy

### Current building(s)

	<b>Name, location and type of building</b>	<b>Other Comment</b>
<i>Information to be provided per building:</i>	EASO Premises, Winemakers Wharf, Valletta Harbour	
Surface area (in square metres) - Of which office space 2058sm - Of which non-office space 2516sm	EASO is currently renting two blocks, Block A and Block C, in a compound comprising of three Blocks. The total internal area is of 4,574.88sm while the external area is 1,433.46sm. The total area of Blocks A and C is 6008.34sm. In addition, there are 34 parking spaces in the garage situated at Level -1 of the building.	
Annual rent (in EUR)	Currently the annual rent for Block A and C stands at €897,165.33.	
Type and duration of rental contract	The lease agreement entered into force on 19 June 2011 and shall terminate on the 18 June 2020, subject to possible extensions by mutual consent of the parties, for further periods of three (3) years each. The initial lease agreement was for Block A. EASO officially moved into the building on 3 September 2012.  The lease agreement was amended in 2016 to also incorporate Block C, and in Quarter 2 of 2016, EASO took over Block C of the compound.	
Host country grant or support	The Maltese Government gave support in kind to the value of circa €500,000.	
Present value of the building	N/A (building on a lease)	
	<b>Premises outside of Malta</b>	<b>Other Comment</b>
Offices in <u>Rome</u> with an area of circa 390sm  Rental rate of €120,000 per annum	Offices in Via IV Novembre, Rome consisting of offices, meeting rooms and training rooms	

Temporary offices in Athens Rental rate € 57,000 per annum	Office space which can take 4 workstations being rented until such time that other premises are identified	
Office space in Brussels consisting of 42sqm Rental rate of €8,500 per annum	Office space at 20, Avenue d'Auderghem, Brussels 1040, to be used for EASO staff in Brussels	

### **Building projects in planning phase (expansion of the rented space – same compound, additional 2 Blocks to be taken over by end 2017)**

EASO's building strategy is based on an initiative to take additional office space within its current office location with the excellent collaboration of TMA and the Government of Malta.

EASO premises presently constitute Block A and Block C of a compound of 3 with Block B to be taken over by EASO in 2017.

The need for enhanced staff and corresponding space arises from several well-known developments in the migration context that have taken place over 2015 and 2016. The major policy frameworks under which EASO has undertaken its new tasks are the following:

- The Commission's European Migration Agenda and actions resulting therefrom including relocation and resettlement;
- The hotspots approach;
- The EU Leaders Summit decisions on the Western Balkans and
- The EU-Turkey Statement by the Heads of Governments of 18 March 2016.

In consideration of the above, in Q2 of 2016 EASO already expanded to Block C. Furthermore, following the approvals of the Council of the European Union and the European Parliament, EASO is now in a position to move ahead and take over the whole of Transport Malta compound located in Xatt I-Ghassara tal-Gheneb, in the Valletta Harbour.

Block B consists of 5308sm of internal space and 869sm of external space. In addition a further 84 parking slots within the compound will become available. It is anticipated that TM may require near to a full year to vacate Block B and re-allocate their staff. EASO is therefore ready to accept a two-stage process whereby EASO would initially take over Level 3 of Block B by January 2017 and take the full compound by 1 June 2017.

## **Annex VI: Privileges and immunities**

The Seat Agreement between the Government of Malta and the European Asylum Support Office was signed in 2011. The agreement describes the privileges and immunities that EASO statutory staff benefit from. The main advantages are referred to VAT-exempted purchases, the details of which are available in the document published in the following link:

[http://ec.europa.eu/dgs/home-affairs/what-we-do/policies/pdf/20110418\\_easo\\_seat\\_agreement\\_en\\_and\\_mt\\_en.pdf](http://ec.europa.eu/dgs/home-affairs/what-we-do/policies/pdf/20110418_easo_seat_agreement_en_and_mt_en.pdf)

## Annex VII: Evaluations

Article 46 of the EASO Regulation states that EASO shall commission an independent external evaluation of its achievements. Following the adoption of the Terms of Reference of the Management Board and the applicable procurement procedure, EY (ex-Ernst & Young) was mandated by EASO to conduct the independent external evaluation of EASO's activities covering the period from February 2011 to June 2014. The EASO Management Board nominated a Steering Group consisting of two Management Board members and two staff members of EASO. By decision of the Steering Group, the temporal scope was extended to cover the entire period since the Agency began operations. All activities implemented by EASO have been covered, across all the Member States of the European Union (MS). The evaluation was conducted between October 2014 and July 2015.

In particular, the thematic scope of the evaluation covered EU added value, effectiveness and impact of EASO in contributing to the implementation of the Common European Asylum System (CEAS), including the new asylum legislative package. The efficiency and quality of working practices during its first years of operations have also been examined. The ultimate objective of the external evaluation was to provide concrete recommendations to address possible changes to EASO's legal framework, structural changes to EASO (without amending its legal framework) and a further increase in practical cooperation amongst MS, in particular in the field of training, data collection, country of origin information and operational support.

The evaluators conducted group interviews with EASO staff, the Members of the EASO Management Board, and EU stakeholders. Moreover, online surveys targeting national stakeholders, EASO expert and trainers pools, members of courts and tribunals have been completed. Case studies in the 6 selected Member States (France, Germany, Greece, Italy, Poland and Sweden) have been carried out in order to analyse EASO's mission in relation to related national needs and situations and to collect more information on EASO activities, added-value, and impact at national level.

A kick off meeting on the evaluation took place in Malta on 20 October 2014, followed by various technical meetings and a steering group meeting on 2 December. The evaluators also observed the 1 December 2014, March 2015 and June 2015 Management Board meetings and the Consultative Forum plenary. The final evaluation report was presented to the Steering Group in December 2015. The external evaluators presented the findings and recommendations to the EASO Management Board in January 2016. At that meeting, EASO agreed to develop an Action Plan based on the recommendations and to report on the state of play of implementation to the Management Board at its next meetings. The first version of the Action Plan was presented to the EASO Management Board in June 2016.

## Annex VIII: Risks

### **Business Impact Analysis**

During the year of 2015, GAAU, under the guidance of ICT, conducted the first **Business Impact Analysis (BIA)** exercise.

**What is the BIA?** The BIA is developed as part of the contingency planning process for EASO's Business Continuity Management Plan. The purpose is to identify critical business functions/activities and using this information to characterize the impact on the processes and services in case of disaster-related events. Information collected during the BIA process is used to support the development of Units/Centres individual Business Continuity Plans (BCP).

**How to perform a BIA?** The EASO BIA process is composed of the following steps:

1. Determine critical business functions and recovery criticality: Critical functions/activities are identified and the impact of a disruption to those functions is determined along with function tolerated unavailability. The unavailability should reflect the maximum that EASO can tolerate while still maintaining its mission.
2. Identify resource requirements and resource recovery priorities: Realistic recovery efforts require a thorough evaluation of the resources required to resume critical business functions and related interdependencies as quickly as possible. Examples of resources that should be identified include facilities, personnel, equipment, software, data files (electronic and physical), and vital records.

**What is the BIA lifecycle?** A completed BIA document needs to be reviewed annually or more frequently if circumstances in the Unit/Centre change (e.g. a change of location, personnel or processes). The review ensures that:

1. Any excesses are moderated e.g. 'under-selling' or 'over-selling' certain functions in terms of their importance
2. Relative priorities are considered
3. A priority list for the whole EASO is agreed
4. A timetable for Units/Centres individual Business Continuity Planning can be produced

**What are the outcomes of the BIA?** After the BIA is completed, EASO is in a position to establish the BIA Risk Management Action Plans, taking into account cost/benefits aspects, and regularly review them to ensure that the implemented actions continue to be relevant. EASO has established a BIA Risk Register that identifies risks, actions and responsibilities. The Emergency plan is going to be established.



**The results of BIA exercise**

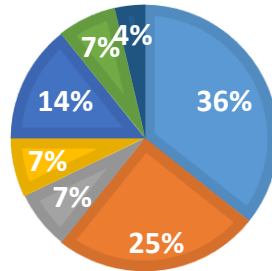
Who?	When?	What?
HR	May 2016	Payments and financial management risks
Logistics	March 2015	Building management risks
Procurement	February 2015	Procure, manage and implement contracts risks
Missions	April 2015	Mission organization and reimbursement risks
Security	March 2015	Security and safety risks
ICT	May 2015	Service delivery, service desk and contract management risks
Finance and Budget	March 2015	Budget planning, monitoring and commitment risks
Executive Office	May 2016	Financial management, leadership and communication risks
COS	February 2015	Operational support, financial management, reporting and coordination risks
CTQE	April 2015	Training and Quality support, financial management, reporting and coordination risks
CIDA	May 2015	Data curation, processing and support, financial management and contact management risks

Functions

- 52 critical functions identified
- 28 of these (54%) have high impact to the organization
- 21 (40%) have medium impact
- 4 (6%) have low impact to the organization if not delivered (on time)

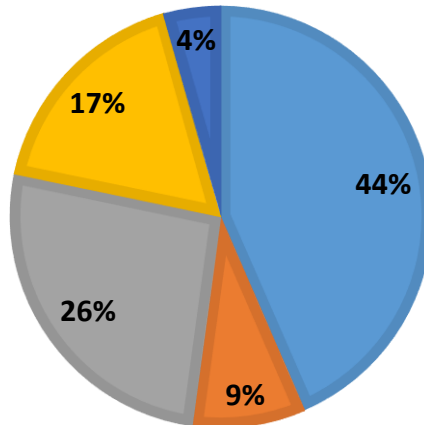
## RISKS

- Staff related
- Service related
- Reputation related
- Equipment/Circumstances related
- Information related
- Maintenance related
- Project/Governance related

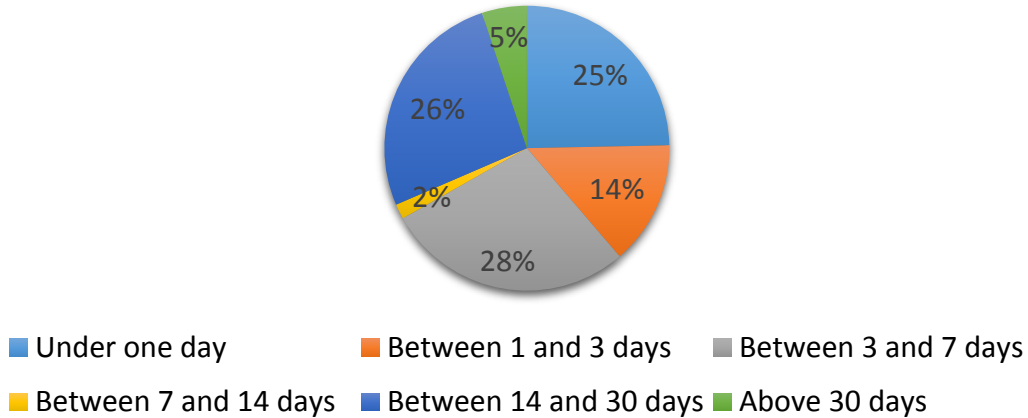


## POINTS OF FAILURE

- Staff
- Contracts
- Access and Systems
- Training
- Authorizing officers

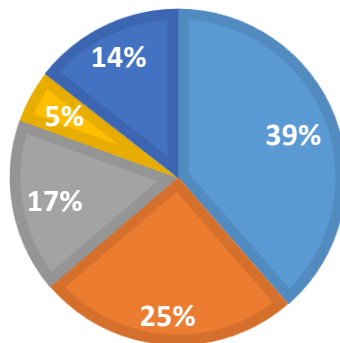


## TIME TO ACTION



## RESOURCES TO RESTORE FUNCTION

■ Staff ■ IT Equipment ■ Internet/Data/ABAC ■ Contracts ■ Office Space



### Risk assessment exercise

EASO is going to perform its first Risk assessment exercise in September 2016.

### Anti Fraud Strategy

As regards fraud prevention, following EASO's Management Board decision No. 15 of 20 November 2012, measures on the prevention of fraud were developed, which need to be complemented by a strategic approach to minimize the risk of fraud and by the establishment of practical procedures. EASO Information Systems and Technology are integral elements of the EASO Anti-Fraud Strategy program. The guiding principle is integration and alignment of IT systems and practices with EASO business processes and associated administrative control mechanisms.

The EASO's Information Systems and Technology are integral elements of the EASO Anti-Fraud Strategy program. The guiding principle is integration and alignment of IT systems and practices with EASO business processes and associated administrative control mechanisms.

With respect to technology currently employed in the EASO information and communication environment, the anti-fraud controls address:

- **At the application level:** Impact on segregation of duties within ABAC accounting system
- **At the database level:** Access control to data repositories and underlying database platforms
- **At the infrastructure level:** Access control to servers and systems, prevention and detection of unauthorized access to EASO's internal network and physical intrusion.

### **Key ICT processes within EASO Anti-Fraud Framework**

#### **Planning**

For a proper planning of ICT activities in the EASO anti-fraud process, participation of ICT personnel in the fraud risk assessment and brainstorming process is necessary. It will enable ICT to identify specific risks and apply the relevant anti-fraud controls. Understanding the thresholds that business process controls operate and where they are fallible will enable better identification of risks areas inside or outside the business application systems.

#### **Executing and Monitoring**

The day-to-day monitoring process will leverage currently available information technology. It is embedded into normal ICT operating activities and includes regular management and supervisory activities.

#### **Audits**

Regular IT audits will cover fraud-related elements such as access to data, systems and the authentication process. The EASO's computer environment, controls and security systems employed to deter and detect fraud will be clearly documented.

#### **Forensic and Investigation, remediation**

Emphasis will be given on the ability to investigate computer misuse, on the acquisition of fraud-related detection and monitoring tool and improving forensic capabilities by maintaining system logs for a period adequate to perform investigations.

#### **Disaster Recovery**

EASO ICT set up and deployed a secondary rack cabinet with services associated with a backup site for recovery services. A protocol with EU-LISA was established in November 2014 to exchange information and collaborate in, among other things, IT. EASO has requested, by means of an Agreement, to move this rack cabinet to the datacentre located in Strasbourg and establish our secondary, recovery site, in their premises.

The Agreement was signed in January 2016 and the move is planned to be executed in the end September, beginning of October 2016. The Internet contract for the Back-up Unit was signed in May 2016 and the service will be activated in September 2016.

The recovery process is divided by service and assumes that both racks are geographically distant.

EASO ICT is ensuring that the following services (from the portfolio) are duplicated across the recovery site:

- **Electronic files and folders.** All files and folders containing shared EASO information are synchronized between Valletta and Strasbourg;
- **Electronic mail.** All mail databases are synchronized between Valletta and Strasbourg, including replication within sites;
- **Domain authentication and credentiation.** All internal and external user Active Directories are synchronized between sites (4 databases, two on each site for the internal AD and 2 databases for the external AD);
- **Databases.** All external databases are synchronized between sites. All internal databases are backed up and then synchronized across sites;
- **Internet and VPN access.** Internet and VPN access are redundant services across both sites.

#### **Prominent risks that have materialized in 2015**

On a broader level, the following two main risks have emerged from EASO internal assessment:

- Limited staff resources to implement the mandate, including the new activities sought in emergency responses;
- The high level of expectations combined with a high level of dependence on the Member States.

EASO has been addressing these risks in the most effective way and minimizing the probability of its materialization.

During the year under review, no prominent risks have materialized.

## Annex IX : Procurement plan for 2017

No	Title of Activity	Contract subject	Contract type (Direct/Specific contract/FWC/Purchase Order)	Contract value (€)	Launch date	Type of procurement or contracting procedure
1	Operational support, Reception, Integration and return, Other tools for permanent support	Event organization (catering, venue, travel, car rental, flights, accommodation)	Order Forms	500,000	Q1-Q4	Order Forms within EASO existing contracts
2	Operational support, Reception, Integration and return, Other tools for permanent support	Logistics for operations (office furniture in Malta, Greece and Italy <sup>21</sup> )	Framework supply contract	1,000,000 <sup>20</sup>	Q2	Open procedure
3	Operational support, Reception, Integration and return, Other tools for permanent support	External remunerated experts	Direct service contracts	30,000	Q1-Q4	EASO Call for Expression of Interest
4	Operational support, Reception, Integration and return, Other tools for permanent support	Translations	Order Forms	250,000	Q1-Q4	Service Level Agreement with the Translation Centre for the Bodies of the European Union (CdT)
5	Operational support, Reception, Integration and return, Other tools for permanent support	Interpretation/Cultural mediators	Order Forms	3,000,000 IT 12,000,000 EL	Q1-Q4	Order Forms within EASO Framework Contract for interpretation

<sup>21</sup> The resulting contract will cover both administrative and operational expenditure.

No	Title of Activity	Contract subject	Contract type (Direct/Specific contract/FWC/Purchase Order)	Contract value (€)	Launch date	Type of procurement or contracting procedure
6	Operational support, Reception, Integration and return, Other tools for permanent support	Transportation in EU MSs and third countries	Framework Service contract(s)	120,000	Q2-Q3	Negotiated procedure < €135,000
7	Operational support, Reception, Integration and return, Other tools for permanent support	Transportation in EU MSs and third countries	Order Forms	30,000	Q2-Q4	Order Forms within EASO Framework Contract for transportation
8	Operational support, Reception, Integration and return, Other tools for permanent support	Publications	Order Forms	50,000	Q1-Q4	Service Level Agreement with Publications Office (PO)
9	Operational support, Reception, Integration and return, Other tools for permanent support	Rental of facilities <sup>22</sup> in EU MSs and third countries	Direct Service contract(s)	920,000 EL 14,500 CY	Q1-Q4	Negotiated procedures/Direct contracting Negotiated procedure < €15,000
10	Operational support, Reception, Integration and return, Other tools for permanent support	Rental of facilities in EU MSs and third countries	Direct service contract(s)	345,000 EL 14,500 CY	Q2-Q4	Contracts for rental of facilities
11	Operational support, Reception, Integration and return, Other tools for permanent support	Logistics for operations (office furniture in Greece and Italy)	Order Forms	250,000	Q1-Q4	Order Forms within EASO Framework Contract for furniture (see No 2 above)

<sup>22</sup> Including relevant construction, refurbishment, maintenance and running costs, where needed.

No	Title of Activity	Contract subject	Contract type (Direct/Specific contract/FWC/Purchase Order)	Contract value (€)	Launch date	Type of procurement or contracting procedure
12	Operational support, Reception, Integration and return, Other tools for permanent support	Interim services in EU Member States and third countries	Framework Service contract	72,000,000 <sup>23</sup>	Q2	Open procedure
13	Operational support, Reception, Integration and return, Other tools for permanent support	Interim services for operations	Order forms	2,316,000 IT 6,316,000 EL	Q1-Q4	Order Forms within EASO Framework Contract
14	Operational support, Reception, Integration and return, Other tools for permanent support	Containers for hotspots	Framework supply contract	29,100,000	Q1	Open procedure
15	Operational support, Reception, Integration and return, Other tools for permanent support	Containers for hotspots	Order forms	300,000 IT 700,000 EL	Q1-Q4	Order Forms within EASO Framework Contract
15a	Operational support, Reception, Integration and return, Other tools for permanent support	Office supplies and stationery for Malta, Greece and Italy <sup>24</sup>	Framework supply contract	1,000,000	Q1-Q2	Open procedure
16	Operational support, Reception, Integration and return, Other tools for permanent support	Stationery for hotspots	Order forms	250,000	Q1-Q4	Order Forms within EASO Framework Contract

<sup>23</sup> The resulting contract will cover both administrative and operational expenditure.

<sup>24</sup> The resulting contract will cover both administrative and operational expenditure.



No	Title of Activity	Contract subject	Contract type (Direct/Specific contract/FWC/Purchase Order)	Contract value (€)	Launch date	Type of procurement or contracting procedure
16a	Operational support, Reception, Integration and return, Other tools for permanent support	Security services in Greece	Framework contract	7,000,000	Q1	Open procedure
17	Operational support, Reception, Integration and return, Other tools for permanent support	Security services for hotspots	Order forms	2,000,000	Q1-Q4	Order Forms within EASO Framework Contract
18	Operational support, Reception, Integration and return, Other tools for permanent support	Security supplies for hotspots	Order forms	800,000	Q1-Q4	Order Forms within EASO Framework Contract
19	Operational support, Reception, Integration and return, Other tools for permanent support	Cleaning services for hotspots	Deleted (refer to 19b)			
19a	Operational support, Reception, Integration and return, Other tools for permanent support	Cleaning services in Greece	Framework supply contract	480,000	Q1-Q4	Open procedure
19b	Operational support, Reception, Integration and return, Other tools for permanent support	Cleaning services in Greece	Order forms	120,000	Q1-Q4	Order Forms within EASO Framework Contract
19c	Operational support, Reception, Integration and return, Other tools for permanent support	Hygienic products/toiletries and medical supplies for the hotspots in Greece	Framework supply contract	60,000	Q2-Q3	Negotiated procedure < €60,000

No	Title of Activity	Contract subject	Contract type (Direct/Specific contract/FWC/Purchase Order)	Contract value (€)	Launch date	Type of procurement or contracting procedure
19d	Operational support, Reception, Integration and return, Other tools for permanent support	Hygienic products/toiletries and medical supplies for the hotspots in Greece	Order Forms	15,000	Q2-Q4	Order Forms within EASO Framework Contract
19e	Operational support, Reception, Integration and return, Other tools for permanent support	Beverages for the hotspots	Framework supply contract	60,000	Q2-Q3	Negotiated procedure < €60,000
19f	Operational support, Reception, Integration and return, Other tools for permanent support	Beverages for the hotspots	Order forms	15,000	Q2-Q4	Order Forms within EASO Framework Contract
19g	Operational support, Reception, Integration and return, Other tools for permanent support	First aid kits	Framework supply contract	15,000	Q2-Q4	Negotiated procedure < €15,000
19h	Operational support, Reception, Integration and return, Other tools for permanent support	First aid kits	Order Forms	15,000	Q1-Q4	Negotiated procedure < €15,000
19i	Operational support, Reception, Integration and return, Other tools for permanent support	Small appliances for the hotspots in Greece	Framework supply contract	15,000	Q2-Q3	Negotiated procedure < €15,000
19j	Operational support, Reception, Integration and return, Other tools for permanent support	Small appliances for the hotspots in Greece	Order Forms	5,000	Q2-Q4	Order Forms within EASO Framework Contract

No	Title of Activity	Contract subject	Contract type (Direct/Specific contract/FWC/Purchase Order)	Contract value (€)	Launch date	Type of procurement or contracting procedure
20	Operational support, Reception, Integration and return, Other tools for permanent support	Dry cleaning of EASO uniforms	Order forms	10,000	Q1	Negotiated procedure < €15,000
21	Operational support, Reception, Integration and return, Other tools for permanent support	Installation works	Direct works contract	500,000	Q1-Q2	Negotiated procedure < €5,225,000
22	Operational support, Reception, Integration and return, Other tools for permanent support	Furniture for hotspots	Deleted			
22a	Operational support, Reception, Integration and return, Other tools for permanent support	ICT equipment <sup>25</sup>	Framework supply contract	1,500,000	Q2	Open procedure
23	Operational support, Reception, Integration and return, Other tools for permanent support	ICT equipment for operational support	Order forms	350,000	Q1-Q4	Order Forms within EASO Framework Contract
23a	Operational support, Reception, Integration and return, Other tools for permanent support	Audit services – EMAS Grant	Order form	6,400	Q1	Negotiated procedure < €15,000
24	Development of support tools for operations	Consultancy services - for development of AIP	Direct service contract	70,000	Q2-Q3	Negotiated procedure < €135,000

<sup>25</sup> The resulting contract will cover both administrative and operational expenditure.

No	Title of Activity	Contract subject	Contract type (Direct/Specific contract/FWC/Purchase Order)	Contract value (€)	Launch date	Type of procurement or contracting procedure
25	Development of support tools for relocation	Consultancy services - for communication tools	Direct service contract	15,000	Q2-Q3	Negotiated procedure < €15,000
26	COI	MedCOI services (medical query system and factsheets <sup>26</sup> )	Framework Service contract	300,000	Q1-Q4	Open call procedure
27	EPS/IDS/COI	Developing and integrating asylum information systems	Order Forms under future ICT FWC	200,000	Q1-Q4	Order Forms under future ICT FWC
28	COI	Transcription of meeting presentations and proof-reading	Framework Service contract	30,000	Q1-Q4	Negotiated procedure < €60,000
29	EPS	Country Intelligence reports	Framework Service contract	185,000	Q1-Q4	Open call procedure
30	EPS	Country Intelligence Reports	Order form	50,000	Q1-Q2	Order form under FWC
31	EPS	Software licences and maintenance	Order Forms	120,000	Q3	Order Forms within inter-institutional Framework Contract
32	EPS	SAS consultancy "BSAS & coaching including onsite"	Direct Service contract	64,000	Q1-Q4	Negotiated procedure < €135,000
33	EPS	Knowledge transfer	Purchase Order	50,000	Q1-Q4	Negotiated procedure < €60,000
34	IDS	Licence renewal and purchase	Purchase Order	20,000	Q1-Q4	Negotiated procedure < €60,000

<sup>26</sup> Subject to agreement of a transfer action plan with the Management Board, after consultation of the Commission and Member States.

No	Title of Activity	Contract subject	Contract type (Direct/Specific contract/FWC/Purchase Order)	Contract value (€)	Launch date	Type of procurement or contracting procedure
35	Research	Research Programme: Lot 4a: design and piloting of survey	Direct Service contract	135,000	Q1-Q2	Negotiated procedure < €135,000
36	Research	Research Programme: Lot 5a: Study on Pull Factors	Direct Service contract	50,000	Q1-Q2	Negotiated procedure < €60,000
37	Research	Research Programme: Lot 5b: design of EASO migration model	Direct Service contract	75,000	Q3-Q4	Negotiated procedure < €135,000
38	Research	Research Programme: Lot 7: Social Media Early Warning Tool	Direct Service contract	60,000	Q1-Q4	Negotiated procedure < €60,000
39	COI/EPS/IDS-AR/RP	Catering	Order Forms	50,000	Q1-Q4	Order forms within EASO framework contract for catering
40	COI/IDS-AR	Translations and Publications	Order Forms	430,000	Q1-Q4	Service Level Agreement with the Translation Centre for the Bodies of the European Union (CdT) and the Publication Office (PO)
41	COI/EPS/IDS-AR/RP	Event organization	Order Forms	100,000	Q1-Q4	Order Forms within EASO framework contract for event organization

No	Title of Activity	Contract subject	Contract type (Direct/Specific contract/FWC/Purchase Order)	Contract value (€)	Launch date	Type of procurement or contracting procedure
42	Training	LMS Platform Development	Order Forms	291,494	Q1-Q4	Order Forms within EASO Framework Contract for learning management system
43	Training	Contract external expert Certification	Direct Service Contracts	15,000	Q3	EASO Call for Expression of Interest
44	Training	Tender accreditation and certification International Sectoral Qualification in EDF context	Direct Service Contract	60,000	Q4	Negotiated procedure < €60,000
45	Training	Development of tool for training need assessment	Deleted			
46	Training	Editing & Quality Checks	Service Level Agreement	200,000	Q2-Q4	Service Level Agreement with CdT (Translation Centre for the Bodies of the European Union)

No	Title of Activity	Contract subject	Contract type (Direct/Specific contract/FWC/Purchase Order)	Contract value (€)	Launch date	Type of procurement or contracting procedure
47	Training	Services for the provision of: (1) learning design experts for module review (pilot); (2) didactic experts for module review (pilot)+ module update/upgrade/dev; (3) external experts for designing evaluation of each session; (4) provision of services for the production of training material and resources (e.g. videos)	Framework Contract	135,000	Q4	Negotiated procedure < €135,000
48	Training	Catering	Order Forms	36,340	Q1-Q4	Order forms within EASO framework contract for catering
49	Training	Publications	Service Level Agreement	23,100	Q1-Q4	Service Level Agreement with Publications Office (PO)
50	Training	Translations	Service Level Agreement	1,025,000	Q1-Q4	Service Level Agreement with CdT (Translation Centre for the Bodies of the European Union)
51	Asylum Processes	Contract external expert quality related project	Deleted			

No	Title of Activity	Contract subject	Contract type (Direct/Specific contract/FWC/Purchase Order)	Contract value (€)	Launch date	Type of procurement or contracting procedure
52	Asylum Processes	IT services for practical tools	Direct Service Contract	15,000	Q1	Negotiated procedure < €15,000
53	Asylum Processes	Catering	Order Forms	19,943	Q1-Q4	Order forms within EASO framework contract for catering
54	Asylum Processes	Publications	Service Level Agreement	19,500	Q1-Q4	Service Level Agreement with Publications Office (PO)
55	Asylum Processes	Translations	Service Level Agreement	209,100	Q1-Q4	Service Level Agreement with CdT (Translation Centre for the Bodies of the European Union)
56	Asylum Processes	Contract evaluation practical tool	Direct Service contract	100,000	Q1-Q2	Negotiated procedure < €135,000
57	Asylum Processes	Video IPSN	Deleted			
57a	Cooperation with Courts & Tribunals	Events (venues and interpretation)	Order Forms	150,000	Q1-Q4	Order forms within EASO framework contract for venues
58	Cooperation with Courts & Tribunals	Catering	Order Forms	23,362	Q1-Q4	Order forms within EASO framework contract for catering



No	Title of Activity	Contract subject	Contract type (Direct/Specific contract/FWC/Purchase Order)	Contract value (€)	Launch date	Type of procurement or contracting procedure
59	Cooperation with Courts & Tribunals	Translations	Service Level Agreement	147,600	Q1-Q4	Service Level Agreement with CdT (Translation Centre for the Bodies of the European Union)
60	Cooperation with Courts & Tribunals	Publications	Service Level Agreement	48,000	Q1-Q4	Service Level Agreement with Publications Office (PO)
61	Cooperation with Courts & Tribunals	Updating of professional development materials	Direct Service Contract	50,000	Q3-Q4	Negotiated procedure < €60,000
62	Dublin	Catering	Order Forms	11,050	Q1-Q4	Order forms within EASO framework contract for catering
63	Dublin	Translations	Service Level Agreement	16,400	Q1-Q4	Service Level Agreement with CdT (Translation Centre for the Bodies of the European Union)
64	Dublin	Publications	Service Level Agreement	3,500	Q1-Q4	Service Level Agreement with Publications Office (PO)
65	Reception	Catering	Order Forms	10,606	Q1-Q4	Order forms within EASO framework contract for catering

No	Title of Activity	Contract subject	Contract type (Direct/Specific contract/FWC/Purchase Order)	Contract value (€)	Launch date	Type of procurement or contracting procedure
66	Reception	Translations	Service Level Agreement	69,700	Q1-Q4	Service Level Agreement with CdT (Translation Centre for the Bodies of the European Union)
67	Reception	Publications	Service Level Agreement	3,500	Q1-Q4	Service Level Agreement with Publications Office (PO)
68	Vulnerable Groups	Catering	Order Forms	16,556	Q1-Q4	Order forms within EASO framework contract for catering
69	Vulnerable Groups	Translations	Service Level Agreement	69,700	Q1-Q4	Service Level Agreement with CdT (Translation Centre for the Bodies of the European Union)
70	Vulnerable Groups	Publications	Service Level Agreement	7000	Q1-Q4	Service Level Agreement with Publications Office (PO)
71	Vulnerable Groups	Contract External expert	Direct Service Contract	15,000	Q1-Q4	EASO Call for Expression of Interest
72	List of available languages	Equipment Consultancy services - for technical solutions - List of available languages	Direct service contract	30,000	Q1	Negotiated procedure < €60,000

No	Title of Activity	Contract subject	Contract type (Direct/Specific contract/FWC/Purchase Order)	Contract value (€)	Launch date	Type of procurement or contracting procedure
73	Information and communications technology	Consultancy services - for technical solutions - for asylum and reception systems	Direct service contract	60,000	Q1	Negotiated procedure < €60,000
74	External Dimension	Event organization (catering, venue, travel, car rental, flights, accommodation)	Order Forms	150,000 + 100,000 (to complement IPA Project)	Q1-Q4	Order Forms within EASO Framework Contract
75	External Dimension	Study visits (travel, accommodation, car rental)	Order Forms	100,000 + 90,000 (to complement IPA Project)	Q1-Q4	Order forms under a Framework Contract
76	External Dimension	External remunerated experts	Direct service contracts	30,000	Q1-Q4	EASO Call for Expression of Interest
77	External Dimension	Translations	Service Level Agreement	150,000 + 100,000 (to complement IPA Project)	Q1-Q4	Service Level Agreement with CdT (Translation Centre for the Bodies of the European Union)
78	External Dimension	Interpretation	Order Forms	100,000	Q1-Q4	Order Forms within EASO Framework Contracts for interpretation
79	External Dimension	Publications	Service Level Agreement	20,000	Q1-Q4	Service Level Agreement with Publications Office (PO)

No	Title of Activity	Contract subject	Contract type (Direct/Specific contract/FWC/Purchase Order)	Contract value (€)	Launch date	Type of procurement or contracting procedure
80	External Dimension – IPA Project	Event organization (catering, venue, travel, car rental, flights, accommodation)	Order Forms	180,000	Q1-Q4	Order Forms within EASO Contract
81	External Dimension – IPA Project	Interpretation	Order Forms	90,000	Q1-Q4	Order Forms within EASO Framework Contracts for interpretation
82	EASO's external role, Dublin network	Catering, venue rental, etc.	Order Forms	20,000	Q1-Q4	Order Forms within Framework Contracts
83	Operational support, Reception, Integration and return, Other tools for permanent support External Dimension	Travel costs of EASO staff (flights, car rental, accommodation)	Order Forms	1,250,000 80,000	Q1-Q4	Order Forms within existing EASO contract
84	Operational support	Consultancy services for operationalising the EU-Turkey statement on the Greek islands	Direct service contract	992,000	Q1	Direct contracting
85	EASO communication and stakeholders relations	Event organisation and related services - Malta <sup>27</sup>	Framework Contract	1,500,000	Q1	Open procedure
86	EASO communication and stakeholders relations	Provision of supplies for branded material and communication services (4 lots) <sup>28</sup>	Framework contract	1,500,000	Q2	Open procedure

<sup>27</sup> The resulting contract will cover both administrative and operational expenditure.

<sup>28</sup> The resulting contract will cover both administrative and operational expenditure.

No	Title of Activity	Contract subject	Contract type (Direct/Specific contract/FWC/Purchase Order)	Contract value (€)	Launch date	Type of procurement or contracting procedure
87	EASO communication and stakeholders relations	Provision of supplies for branded material and communication services	Order Forms	100,000 <sup>29</sup>	Q3-Q4	Order forms under a Framework Contract

The estimates of the services and supplies for the hotspots are purely indicative and will be adjusted according to the arising needs.

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<sup>29</sup> The contract value is approximate and is based on the assumption that an agreement on the new Founding Regulation will be reached by Q3.

## Annex X: Organisation chart

### Structure

EASO's internal governance and administrative structure comprises a Management Board and an Executive Director. The Management Board is the governing and planning body of EASO. Its key functions include the appointment of the Executive Director, the adoption of the work programmes and annual reports of EASO, the adoption of the budget. Furthermore, the Management Board has the overall responsibility for ensuring that EASO performs effectively its duties. The EASO Management Board is composed of one member from each Member State (except Denmark), two members from the European Commission and one non-voting member of the United National High Commissioner for Refugees (UNHCR). All members are appointed on the basis of their experience, professional responsibility and high degree of expertise in the field of asylum. Denmark is invited to attend as observer all meetings of the Management Board and other relevant meetings. In 2014, the agreement for the participation of Norway in EASO entered into force, whereas the agreement with Switzerland and Liechtenstein entered into force in 2016. According to these arrangements, the associated countries will be entitled to participate in all EASO activities, including the participation as observers in the Management Board.

The Executive Director is independent in the performance of his tasks and is the legal representative of EASO. The Executive Director is responsible, inter alia, for the administrative management of EASO and for the implementation of the Work Programme and the decisions of the Management Board. With the significant increase in tasks attributed to EASO in early 2016, EASO experienced challenges to its response capacity, particularly in field operations in front line Member States. Consequently, EASO has had its resources repeatedly increased, both, in terms of financial appropriations and staff. In order to absorb and manage these resources in an effective way, it became necessary to streamline the internal organizational structure, bringing information management much closer to the operational response, increase our communications and stakeholder's relations capacity, and liaise better with our most important implementation partners. Upon a proposal by the Executive Director, the Management Board adopted the new organisation structure of EASO on 12 May 2016.

