

## Annex I: Resource allocation per activity

Activity	Human resources (Full-time equivalents) <sup>1</sup>					Financial resources <sup>2</sup>
	AD	AST	CA	SNE	Total	Titles 3-4
<b>3. Operational support</b>						<b>€ 60,695,604</b>
3.1. Italy	8	4	4		16	€ 27,253,829
3.2. Greece	10	6	5		21	€ 29,860,440
3.3. Other EU Member States	2	1	1	1	5	€ 1,783,834
3.4 External dimension						€ 1,797,501
3.4.1. Third country support	2	2	4		8	€ 1,401,251
3.4.2. Resettlement	2	2	1	1	6	€ 396,250
<b>4. Planning, evaluation and support tools</b>						<b>€ 989,580</b>
4.1. Support activities and tools for operations	4	2	1	1	8	€ 439,851
4.2. Operational training and quality support	3	2	1		6	€ 479,729
4.3. Monitoring and evaluation of operations	2				2	€ 70,000
<b>5. Information, analysis and knowledge development</b>						<b>€ 2,386,218</b>
5.1. Country of Origin Information (COI)	9	3	1	3	16	€ 1,126,218
5.2. Early warning and Preparedness (EPS)	6	4	3	2	15	€ 550,000
5.3. Information and Documentation System (IDS)	1.5	3			4.5	€ 104,000
5.4. Annual report on the situation of asylum in the EU	0.5	1			1.5	€ 30,000
5.5. Further development of a central Asylum Information System	1		1		2	€ 150,000
5.6. Research programme on early warning and understanding root causes	2	1			3	€ 276,000
5.7. Country guidance for convergence	4	1			5	€ 150,000
<b>6. Asylum support</b>						<b>€ 3,157,813</b>
6.1. Training	11	3.5	2	1	17.5	€ 1,358,133
6.2. Asylum processes	2	2	1		5	€ 341,940
6.3. Reception	2	1			3	€ 215,962
6.4. Activities on vulnerable applicants	4	0.5		1	5.5	€ 377,933
6.5. Cooperation with members of the courts and tribunals	3	1	1		5	€ 467,917
6.6. Dublin network	1	0.5	0.5	1	3	€ 233,958
6.7. Exclusion network	1	0.5	0.5		2	€ 161,970
<b>8. Horizontal activities</b>						<b>€ 259,611 (+ € 59,611)</b>
8.1. Civil society and Consultative Forum	1	1			2	€ 106,602
8.2. EASO communication and stakeholder relations	4	3	9		16	€ 153,009
8.3. Information and communications technology	5	4	12		21	-
<b>TOTAL Operational</b>	<b>91</b>	<b>49</b>	<b>48</b>	<b>11</b>	<b>199</b>	<b>€ 67,488,826<sup>3</sup> (€ 64,143,840)</b>
						<b>Titles 1-2</b>
Other staff allocated to other horizontal/administrative activities	44	30	24		98	€ 33,521,482
<b>TOTAL</b>	<b>135</b>	<b>79</b>	<b>72</b>	<b>11</b>	<b>297</b>	<b>€ 97,665,322</b>

<sup>1</sup> Based on 2016/0131 (COD) Proposal for a Regulation of the European Parliament and of the Council on the European Union Agency for Asylum and repealing Regulation (EU) No 439/2010 [COM(2016) 271 final, 4<sup>th</sup> May 2016]

<sup>2</sup> Title 3 includes C1 of T3 2018 (€52.7M), C1 of T1 (transfer, €5.7M), R0 of 2018 (€5.7M), R0 of previous years (€3.3M)

<sup>3</sup> Includes C1 of T3 2018 (€52.7M), C1 of T1 (transfer, €5.7M), R0 of 2018 (€5.7M), R0 of previous years (€3.3M)

## Annex II: Financial resources 2018-2020

Table 1: Expenditure<sup>4</sup>

Expenditure	2017		2018 (after Amendment 1)	
	Commitment appropriations (€)	Payment appropriations (€)	Commitment appropriations (€)	Payment appropriations (€)
Title 1	16,521,014.13	16,521,014.13	22,648,982.00	22,648,982.00
Title 2	9,789,557.54	9,789,557.54	10,872,500.00	10,872,500.00
Title 3	60,484,910.02	52,874,910.02	64,143,840.29	64,143,840.29
Title 4 <sup>5</sup> (earmarked)	p.m.	p.m.	p.m.	p.m.
<b>Total expenditure</b>	<b>86,795,481.69</b>	<b>79,185,481.69</b>	<b>97,665,322.29</b>	<b>97,665,322.29</b>

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<sup>4</sup> Since the structure of the budget changed between 2016 and 2017 the executed budget 2016 is represented according to the new structure 2017.

<sup>5</sup> Estimated/expected.

Expenditure	Commitment Appropriations						
	Executed budget 2016	Budget 2017	Budget 2018 (€)		VAR 2018 / 2017	Envisaged in 2019	Envisaged in 2020
			Agency request	Budget Amendment 1			
<b>Title 1 - Staff Expenditure</b>	<b>8,615,142.99</b>	<b>16,521,014.13</b>	<b>28,360,982</b>	<b>22,648,982</b>		<b>37,209,300</b>	<b>47,297,300</b>
11 Salaries & allowances	6,484,074.20	13,636,014.13	23,785,982	17,425,982		31,278,300	41,357,300
- of which establishment plan posts	4,838,483.66	10,245,000.00	18,884,482	12,984,482		24,955,800	34,103,800
- of which external personnel	1,645,590.54	3,391,014.13	4,901,500	4,441,500		6,322,500	7,253,500
12 Expenditure relating to Staff recruitment	716,350.18	270,000.00	530,000	530,000		750,000	1,050,000
13 Mission expenses	157,197.00	260,000.00	390,000	390,000		512,000	650,000
14 Socio-medical infrastructure	335,589.43	830,000.00	1,360,000	1,358,000		1,786,000	1,830,000
15 Training	187,742.58	250,000.00	375,000	375,000		493,000	750,000
16 External Services	730,833.89	1,270,000.00	1,910,000	2,560,000		2,380,000	1,650,000
17 Representation expenses	3,355.71	5,000.00	10,000	10,000		10,000	10,000
<b>Title 2 - Infrastructure and operating expenditure</b>	<b>5,594,489.17</b>	<b>10,439,557.54</b>	<b>10,872,500</b>	<b>10,872,500</b>		<b>11,973,200</b>	<b>12,380,000</b>
21 Rental of buildings and associated costs <sup>6</sup>	1,671,406.40	4,343,989.52	4,655,000	4,805,000		4,477,500	4,520,000
22 Information and communication technology	1,879,040.30	3,250,568.15	2,477,500	2,477,500		3,174,500	3,820,000
23 Current administrative expenditure	2,044,042.47	2,844,999.87	3,740,000	3,590,000		4,321,200	4,040,000

<sup>6</sup> Including possible repayment of interest; detailed information as regards building policy provided in Table in Annex V.

Expenditure	Executed budget 2016	Budget 2017	Budget 2018 (€)		VAR 2018 / 2017	Envisaged in 2019	Envisaged in 2020
			Agency request	Budget Amendment 1			
<b>Title 3 - Operational expenditure</b>	<b>27,184,481.70</b>	<b>46,054,910.02</b>	<b>52,737,518</b>	<b>64,143,840.29</b>		<b>47,503,500</b>	<b>54,422,700</b>
31 Information, Analysis and Knowledge Development	474,168.55 <sup>7</sup>	2,110,000.00	2,960,000	2,960,000		2,880,000	5,100,000
32 Support for MS practical cooperation	3,072,264.83	5,503,174.02	5,906,520	5,906,520		6,400,000	8,450,000
33 Operational support	23,407,807.32 <sup>8</sup>	38,211,736.00	43,670,998	55,077,320.29 <sup>9</sup>		37,988,500	40,602,700
34 Cooperation with civil society and stakeholders	230,241.00	230,000.00	200,000	200,000		235,000	270,000
<b>Title 4 - EASO participation in external projects</b>	<b>9,197,861.42</b>	<b>p.m.</b>	<b>p.m.</b>	<b>p.m.</b>		<b>p.m.</b>	<b>p.m.</b>
<b>Total expenditure</b>	<b>50,591,975.28</b>	<b>73,015,481.69</b>	<b>91,971,000</b>	<b>97,665,322.29</b>		<b>96,686,000</b>	<b>114,100,000</b>

<sup>7</sup> Excluding Country of Origin Information (COI) that in the 2016 budget structure was in Chapter 32 of the budget.

<sup>8</sup> Excluding EUR 1,924,923.92 of R0 stemming from Associate Countries' 2015 contributions carried over, and Associate Countries' 2016 contributions and funds for Eurodac machines.

<sup>9</sup> Including EUR 5,694,322.29 of R0 stemming from Associate Countries' 2018 contributions.

Expenditure	Payment Appropriations						
	Executed budget 2016	Budget 2017	Budget 2018 (€)		VAR 2018 / 2017	Envisaged in 2019	Envisaged in 2020
			Agency request	Budget Amendment 1			
<b>Title 1 - Staff Expenditure</b>	<b>8,177,934.59</b>	<b>16,521,014.13</b>	<b>28,360,982</b>	<b>22,648,982</b>		<b>37,209,300</b>	<b>47,297,300</b>
11 Salaries & allowances	<b>6,484,074.20</b>	<i>13,636,014.13</i>	23,785,982	17,425,982		<i>31,278,300</i>	<i>41,357,300</i>
- of which establishment plan posts	<i>4,838,483.66</i>	<i>10,245,000.00</i>	<i>18,884,482</i>	<i>12,984,482</i>		<i>24,955,800</i>	<i>34,103,800</i>
- of which external personnel	<i>1,645,590.54</i>	<i>3,391,014.13</i>	<i>4,901,500</i>	<i>4,441,500</i>		<i>6,322,500</i>	<i>7,253,500</i>
12 Expenditure relating to Staff recruitment	650,307.09	270,000.00	530,000	530,000		750,000	1,050,000
13 Mission expenses	134,969.57	260,000.00	390,000	390,000		512,000	650,000
14 Socio-medical infrastructure	134,665.10	830,000.00	1,360,000	1,358,000		1,786,000	1,830,000
15 Training	183,592.21	250,000	375,000	375,000		493,000	750,000
16 External Services	586,970.71	1,270,000.00	1,910,000	2,560,000		2,380,000	1,650,000
17 Representation expenses	3,355.71	5,000.00	10,000	10,000		10,000	10,000
<b>Title 2 - Infrastructure and operating expenditure</b>	<b>3,139,865.22</b>	<b>10,439,557.54</b>	<b>10,872,500</b>	<b>10,872,500</b>		<b>11,973,200</b>	<b>12,380,000</b>
21 Rental of buildings and associated costs <sup>10</sup>	1,185,577.55	4,343,989.52	4,655,000	4,805,000		4,477,500	4,520,000
22 Information and communication technology	733,743.60	3,250,568.15	2,477,500	2,477,500		3,174,500	3,820,000
23 Current administrative expenditure	1,220,544.07	2,844,999.87	3,740,000	3,590,000		4,321,200	4,040,000

<sup>10</sup> Including possible repayment of interest; detailed information as regards building policy provided in Table in Annex V.

Expenditure	Payment Appropriations						
	Executed budget 2016	Budget 2017	Budget 2018 (€)		VAR 2018 / 2017	Envisaged in 2019	Envisaged in 2020
			Agency request	Budget Amendment 1			
<b>Title 3 - Operational expenditure</b>	<b>14,089,512.49</b>	<b>46,054,910.02</b>	<b>52,737,518</b>	<b>64,143,840.29</b>		<b>47,503,500</b>	<b>54,422,700</b>
31 Information, Analysis and Knowledge Development	320,556.79	2,110,000.00	2,960,000	2,960,000		2,880,000	5,100,000
32 Support for MS practical cooperation	2,550,877.56	5,503,174.02	5,906,520	5,906,520		6,400,000	8,450,000
33 Operational support	10,972,697.62 <sup>11</sup>	38,211,736.00	43,670,998	55,077,320.29 <sup>12</sup>		37,988,500	40,602,700
34 Cooperation with civil society and stakeholders	245,380.52	230,000.00	200,000	200,000		235,000	270,000
<b>Title 4 - EASO participation in external projects</b>	<b>6,680,358.85</b>	<b>p.m.</b>	<b>p.m.</b>	<b>p.m.</b>		<b>p.m.</b>	<b>p.m.</b>
<b>Total expenditure</b>	<b>32,087,671.15</b>	<b>73,015,481.69</b>	<b>91,971,000</b>	<b>97,665,322.29</b>		<b>96,686,000</b>	<b>114,100,000</b>

**Table 2: Revenue**

Revenue	2017	2018
	Revenue estimated by the agency (€)	Budget Forecast (€)
EU contribution	75,376,000.00	91,971,000
Other revenue (EFTA)	3,805,492.17 p.m. (Lichtenstein contribution)	5,694,322.20 p.m. (Lichtenstein contribution 38,195.14)
Other revenue (EMAS) - earmarked	-	-
Other revenue (IPA and ENP) - earmarked	-	-
Other revenue – accrued interest	3,989.52 p.m.	p.m.
<b>Total revenue</b>	<b>79,185,481.69</b>	<b>97,665,322.19</b>

<sup>11</sup> Excluding EUR 1,588,402.96 of R0 stemming from Associate Countries' 2015 contributions carried over, Associate Countries' 2016 contributions and funds for Eurodac machines.

<sup>12</sup> Including EUR 5,694,322.29 of R0 stemming from Associate Countries' 2018 contributions.

Revenue	2016 Executed Budget <sup>13</sup> (€)	2017 Revenue estimated by the agency (€)	2018		VAR 2018 / 2017 (€)	Envisaged in 2019 (€)	Envisaged in 2020 (€)
			As requested by the Agency (€)	Budget Amendment 1 (€)			
<b>1 Revenue from fees and charges</b>	-	-	-				
<b>2. EU contribution</b>	<b>25,408,995.08</b>	<b>75,376,000.00</b>	<b>91,971,000</b>	<b>91,971,000</b>		<b>96,686,000</b>	<b>114,100,000</b>
- of which Administrative (Title 1 and Title 2)	11,317,799.81	24,751,014.00	39,233,400	33,521,482		49,182,500	59,677,300
- of which Operational (Title 3)	14,091,195.27	50,624,986.00	52,737,600	58,449,518		47,503,500	54,422,700
- of which assigned revenues deriving from previous years' surpluses			1,133,933				
<b>3 Third countries contribution (incl. EFTA and candidate countries)</b>	<b>609,966.16</b>	<b>3,805,492.17 p.m. (Liechtenstein contribution)</b>	<b>p.m.</b>	<b>5,694,322.29 (Liechtenstein contribution p.m. 38,195.14)</b>		<b>p.m.</b>	<b>p.m.</b>
- of which EFTA	609,966.16 <sup>14</sup>	3,805,492.17 p.m. (Liechtenstein contribution)	p.m.	5,694,322.29 (Liechtenstein contribution p.m. 38,195.14)		p.m.	p.m.
- of which Candidate Countries	-						

<sup>13</sup> Execution of Payment Appropriations (C1 and R0)

<sup>14</sup> Associate Countries' 2016 contributions and contributions carried over from 2015.

Revenue	2016 Executed Budget <sup>15</sup> (€)	2017 Revenue estimated by the agency (€)	2018		VAR 2018 / 2017 (€)	Envisaged in 2019 (€)	Envisaged in 2020 (€)
			As requested by the Agency (€)	Budget Amendment 1 (€)			
<b>4 Other contributions</b>	7,788,383.19						
- of which delegation agreement, ad hoc grants	7,788,383.19 <sup>16</sup>	<i>p.m.</i>	<i>p.m.</i>	<i>p.m.</i>			
<b>5 Recovery for administrative expenses</b>			<i>p.m.</i>	<i>p.m.</i>			
<b>Total revenue</b>	<b>33,805,661.65</b>	<b>79,185,481.69</b>	<b>91,971,000</b>	<b>97,665,322.29</b>		<b>96,686,000</b>	<b>114,100,000</b>

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<sup>15</sup> Execution of Payment Appropriations (C1 and R0)

<sup>16</sup> Includes EMAS, IPA, ENP (carried-over funds) and Eurodac grants.



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

**Calculation budget outturn**

Budget outturn (€)	2013	2014	2015
Revenue actually received (+)	9,529,493.36	13,120,809.30	13,707,018.73
Payments made (-)	-9,153,577.51	-10,758,306.89	-12,598,782.37
Carry-over of appropriations (-)	-719,368.74	-1,571,032.97	-2,377,801.03
Cancellation of appropriations carried over (+)	271,141.14	146,417.18	115,376.08
Adjustment for carry-over of assigned revenue appropriations from previous year (+)	0.00	29,493.36	744,344.70
Exchange rate differences (+/-)	-81.58	11,772.58	1,996.74
Adjustment for negative balance from previous year (-)		-72,393.33	
<b>Total</b>	<b>-72,393.33</b>	<b>906,759.23</b>	<b>-407,847.15</b>

• **Budget outturn**

In accordance with article 33 of the EASO Regulation<sup>17</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 Associate Countries.

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

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<sup>17</sup> Regulation (EU) No 439/2010, OJ L132, 29.5.2020, p.11

- **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 based on 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

Staff population		Actually filled as of 31.12.2015	Authorised under EU budget 2016	Actually filled as of 31.12.2016 <sup>18</sup>	Authorised under EU budget for year 2017	Actually filled as of 31.12.2017 <sup>19</sup>	In budget for year 2018	Envisaged in 2019	Envisaged in 2020
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	48	73	69	107	94	135	179	231
	AST	13	18	17	48	31	79	105	135
	AST/SC	0	0	0	0	0	0	0	0
<b>Total</b>		<b>61</b>	<b>91</b>	<b>86</b>	<b>155</b>	<b>125</b>	<b>214</b>	<b>284</b>	<b>366</b>
CA GFIV		9	25	11	30	24	33	49	64
CA GF III		8	17	13	30	40	35	36	49
CA GF II		3	3	2	3	3	3	10	10
CA GFI		1	1	1	1	1	1	0	0
<b>Total CA (FTEs)</b>		<b>21</b>	<b>46</b>	<b>27</b>	<b>64</b>	<b>68<sup>20</sup></b>	<b>72</b>	<b>95</b>	<b>123</b>
<b>SNE (FTEs)</b>		<b>11</b>	<b>12</b>	<b>7</b>	<b>8</b>	<b>5</b>	<b>11<sup>21</sup></b>	<b>11<sup>22</sup></b>	<b>11<sup>23</sup></b>
<i>Structural service providers</i>									
<b>TOTAL</b>		<b>93</b>	<b>149</b>	<b>120</b>	<b>227</b>	<b>198</b>	<b>297</b>	<b>390<sup>24</sup></b>	<b>500<sup>25</sup></b>
<i>External staff for occasional replacement</i>									

<sup>18</sup> Data at 02.12.2016.

<sup>19</sup> Positions (not FTEs), in active service

<sup>20</sup> Excludes 3 CA positions that were financed from Title 4 in 2017; employment and recruitment based on 64 CA FTEs requested by EASO and additional CA positions created with the Executive Director's decisions

<sup>21</sup> 11 SNE FTEs authorised for 2018, based on 2016/0131 (COD) Proposal for a Regulation of the European Parliament and of the Council on the European Union Agency for Asylum and repealing Regulation (EU) No 439/2010 [COM(2016) 271 final, 4<sup>th</sup> May 2016] (p. 71)

<sup>22</sup> 11 SNE FTEs authorised for 2019, *ibid.* (p. 71)

<sup>23</sup> 11 SNE FTEs authorised for 2020, *ibid.* (p. 71)

<sup>24</sup> 390 total staff authorised for 2019, *ibid.* (p. 71)

<sup>25</sup> 500 total staff authorised for 2020, *ibid.* (p. 71)

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Contract agents (CA) are expressed as full-time equivalents (FTEs) in the above table in line with Commission guidelines. The corresponding CA headcounts based on the posts available and envisaged are shown in the table below. Differences between FTE and position figures are due to the time required for running recruitment competitions and engaging new staff.

Staff population	Actually filled as of 31.12 2015	Posts available in 2016	Actually filled as of 31.12.2016	Posts available in 2017	Actually filled as of 31.12.2017	In budget for year 2018	Envisaged in 2019	Envisaged in 2020
CA GF IV	-	33	22	33	24	33	49	64
CA GF III	-	35	18	35	40	35	36	49
CA GF II	-	3	2	3	3	3	10	10
CA GFI	-	1	1	1	1	1	0	0
<b>Total CA (by positions)</b>	-	<b>72</b>	<b>43</b>	<b>72<sup>26</sup></b>	<b>68<sup>27</sup></b>	<b>72</b>	<b>95</b>	<b>123</b>

**Table 2 – Multiannual staff policy plan for the years 2018-2020**

Category and grade	Establishment plan in EU Budget 2016		Filled as of 31/12/2016		Modifications in year 2016 in application of flexibility rule		Establishment plan in voted EU Budget 2017		Modifications in year 2017 in application of flexibility rule		Establishment plan in EU Budget 2018		Establishment plan 2019		Establishment plan 2020	
	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	1	0	1	0	0	0	1	0	0	0	1	0	1	0	1
AD 14	0	0	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	1	0	2	0	3
AD 12	0	4 <sup>28</sup>	0	4	0	+4	0	4	0	0	0	4	0	4	0	5

<sup>26</sup> 64 CA FTEs had been requested by EASO, which corresponds to 72 CA positions

<sup>27</sup> Positions (not FTEs) in active service; excludes 3 CA positions that were financed from Title 4 in 2017; employment and recruitment based on 64 CA FTEs requested by EASO and additional CA positions created with the Executive Director's decisions

<sup>28</sup> Includes upgrade of 4 TA AD 10 to TA AD 12

July 2018

Category and grade	Establishment plan in EU Budget 2016		Filled as of 31/12/2016		Modifications in year 2016 in application of flexibility rule		Establishment plan in voted EU Budget 2017		Modifications in year 2017 in application of flexibility rule		Establishment plan in EU Budget 2018		Establishment plan 2019		Establishment plan 2020	
	officials	TA	officials	TA	officials	TA	officials	TA	officials	TA	officials	TA	officials	TA	officials	TA
AD 11	0	1	0	1	0	0	0	1	0	0	0	1	0	2	0	3
AD 10	0	8 <sup>29</sup>	0	6	0	-1	0	9	0	0	0	11	0	15	0	16
AD 9	0	5	0	5	0	-3	0	5	0	0	0	8	0	15	0	22
AD 8	0	10	0	9	0	0	0	11	0	0	0	30	0	41	0	58
AD 7	0	28	0	28	0	0	0	41	0	0	0	44	0	57	0	70
AD 6	0	5	0	5	0	0	0	11	0	0	0	16	0	19	0	30
AD 5	0	11	0	10	0	0	0	24	0	0	0	19	0	23	0	23
<b>Total AD</b>	<b>0</b>	<b>73</b>	<b>0</b>	<b>69</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>107</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>135</b>	<b>0</b>	<b>179</b>	<b>0</b>	<b>231</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	4
AST 5	0	2 <sup>30</sup>	0	2	0	+2	0	3	0	0	0	5	0	10	0	18
AST 4	0	6	0	6	0	0	0	10	0	0	0	30	0	40	0	49
AST 3	0	6	0	5	0	0	0	26	0	0	0	35	0	45	0	55
AST 2	0	2	0	2	0	0	0	5	0	0	0	5	0	8	0	9
AST 1	0	2	0	2	0	-2	0	4	0	0	0	4	0	2	0	0

<sup>29</sup> Includes upgrade of 3 TA AD 9 to TA AD 10

<sup>30</sup> Includes upgrade of 2 TA AST 1 to TA AST 5

July 2018

Category and grade	Establishment plan in EU Budget 2016		Filled as of 31/12/2016		Modifications in year 2016 in application of flexibility rule		Establishment plan in voted EU Budget 2017		Modifications in year 2017 in application of flexibility rule		Establishment plan in EU Budget 2018		Establishment plan 2019		Establishment plan 2020	
	officials	TA	officials	TA	officials	TA	officials	TA	officials	TA	officials	TA	officials	TA	officials	TA
Total AST	0	<b>18</b>	0	<b>17</b>	0	<b>0</b>	0	<b>48</b>	0	<b>0</b>	0	<b>79</b>	0	<b>105</b>	0	<b>135</b>
AST/SC1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
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	<b>0</b>	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>91</b>	0	<b>86</b>	0	<b>0</b>	0	<b>155</b>	0	<b>0</b>	0	<b>214</b>	0	<b>284</b>	0	<b>366</b>

## Annex IV: Human resources – qualitative

### A. Recruitment policy

The agency's recruitment policy as regards selection procedures, the entry grades of different categories of staff, the type and duration of employment and different job profiles was updated in August 2016 in order to align it to the 2014 Staff Regulations and implementing rules thereto, as well as the conclusion of the agreements for the participation of Associate 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 is 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, administrative and management tasks of a permanent or long-term nature, such as those directly related to the implementation of the Agency'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 in line with EASO's Implementing Rules on engagement of TA 2(f), by analogy, adopted by the Agency's Management Board, as well as Article 53 of CEOS.

Examples of job profiles include administrative tasks (Administrative Assistant, Finance and Budget Assistant, Procurement Assistant), operational tasks (Field Officer), and 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 Department. The justification can be a specific project, temporary peaks of workload, uncertainty about the 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 Agency'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.

In line with Article 85 of the CEOS, contract agents are offered a contract, which might be renewed once, with the first two contracts covering a total period of at least six months for contract agents in FGI, and nine months for contract agents in FGII-IV. The initial contract shall be not more than five years, and the first renewal shall not be more than five years. Depending on the Agency's specific needs, contract agents on long-term employment are offered a three-year contract, which may be renewed once for another three years. Any further renewal will be for an indefinite period. Examples of job profiles include technical experts in asylum related domains, and support staff (e.g. IT assistant).

EASO may also employ contract 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 is required temporarily 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. In line with this Decision, SNEs are not employed by the Agency, but continue their employment relationship with the seconding organisation. The length of the initial contract is 1 year with the possibility of extensions.

Examples of job profiles include operational tasks (Resettlement Expert), project tasks (Statistics Expert), and knowledge of a specific Country of Origin (Country of Origin Expert).

**e. Structural service providers**

In 2015, the Agency concluded a framework contract with an interim service provider for the provision of interim agents to cover a number of profiles, including secretary/clerical tasks, administrative support, communication support, human resources support, procurement/financial support, conference hostess/host, conference organiser, project assistant, and ICT tasks.



## B. Appraisal of performance and reclassification/promotions

Tables 1 and 2 are to be interpreted as follows. The staff members reclassified from one grade to the next higher grade are included in the numbers against their grade prior to being reclassified, e.g. a staff member who was reclassified from AD7 to AD8 is included in the number of reclassified staff in the AD7 row.

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

Category and grade	Staff in activity at 01.01. 2015		How many staff members were promoted / reclassified in 2016		Average number of years in grade of reclassified/ promoted staff members
	officials	TA	officials	TA	
AD 16	0	0	0	0	
AD 15	0	0	0	0	
AD 14	0	1	0	0	
AD 13	0	0	0	0	
AD 12	0	0	0	0	
AD 11	0	0	0	0	
AD 10	0	0	0	0	
AD 9	0	5	0	0	
AD 8	0	2	0	0	
AD 7	0	14	0	2	3
AD 6	0	4	0	0	
AD 5	0	6	0	1	2.2
<b>Total AD</b>	<b>0</b>	<b>32</b>	<b>0</b>	<b>3</b>	
AST 11	0	0	0	0	
AST 10	0	0	0	0	
AST 9	0	0	0	0	
AST 8	0	0	0	0	
AST 7	0	0	0	0	
AST 6	0	0	0	0	
AST 5	0	0	0	0	
AST 4	0	1	0	0	
AST 3	0	6	0	0	
AST 2	0	1	0	1	4
AST 1	0	5	0	3	2.9
<b>Total AST</b>	<b>0</b>	<b>13</b>	<b>0</b>	<b>4</b>	
AST/SC1	0	0	0	0	
AST/SC2	0	0	0	0	
AST/SC3	0	0	0	0	
AST/SC4	0	0	0	0	
AST/SC5	0	0	0	0	
AST/SC6	0	0	0	0	
<b>Total AST/SC</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	
<b>Total</b>	<b>0</b>	<b>45</b>	<b>0</b>	<b>7</b>	



**Table 2 -Reclassification of contract staff**

Function Group	Grade	Staff in activity at 01.01.2015	How many staff members were reclassified in Year 2016	Average number of years in grade of reclassified staff members
CA IV	18	0		
	17	0		
	16	0		
	15	0		
	14	2		
	13	7	1	2
CA III	12	0		
	11	1	1	2
	10	0		
	9	2		
	8	2		
CA II	7	0		
	6	0		
	5	0		
	4	1	1	2
CA I	3	0		
	2	0		
	1	2	1	2
<b>Total</b>		<b>17</b>	<b>4</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 took place in 2014 as some of the temporary and contract agents had been recruited as from the second half of 2011 and were therefore 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 conducted an annual exercise focusing on the staff members' performance, including a dialogue between the actors involved and a definition of the staff members' training needs. All members of staff were evaluated annually in accordance with the established rules. No distinction was made between different job profiles. The procedures for performance appraisal have been revisited to align with the practices of the European Commission, and in particularly the adoption by analogy of the model decisions in line with Article 110 in January 2016 by the Management Board. A number of training sessions have 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 took place in 2015, with retroactivity for 2014. For the first exercise, the Agency 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 the Agency 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 based on the 2015 performance appraisal was completed in December 2016 aligning to the new Implementing Rules for the Agencies regarding Temporary Agents and Contract Agents, subject to availability of posts and budget allocated and to the eligibility criteria.

### **C. Mobility policy**

On 18 January 2016, the EASO Management Board adopted a decision laying down general implementing provisions on the procedure governing the engagement and use of temporary staff under Article 2(f) of the CEOS. The decision foresees the filling of vacant posts by internal mobility or by mobility between Union agencies as well as engagement following an external selection procedure.

#### **Mobility within the Agency**

A member of temporary staff 2(f) of the Agency may be reassigned to a new post by written decision of the Executive Director, without impact on the staff member's current contract of employment with the agency.

The Executive Director may also decide to fill a post following internal publication. In this case, internal mobility is reserved for temporary staff 2(f) who are engaged within the agency in the function group and grade belonging to the grade bracket indicated in the internal publication. The selected member of temporary staff 2(f) is assigned to the new post without impact on his/her current contract of employment with the Agency.

The Agency's temporary staff 2(f) may also apply for and participate in external selection procedures launched by EASO.

#### **Mobility between Union agencies**

The Executive Director may also decide to advertise a vacant post for temporary staff 2(f) by means of interagency publication, with a view to attracting temporary staff 2(f) that are employed by other Union agencies. That publication may be done at the same time as or following the internal publication.

#### **Mobility between the Agency and the institutions**

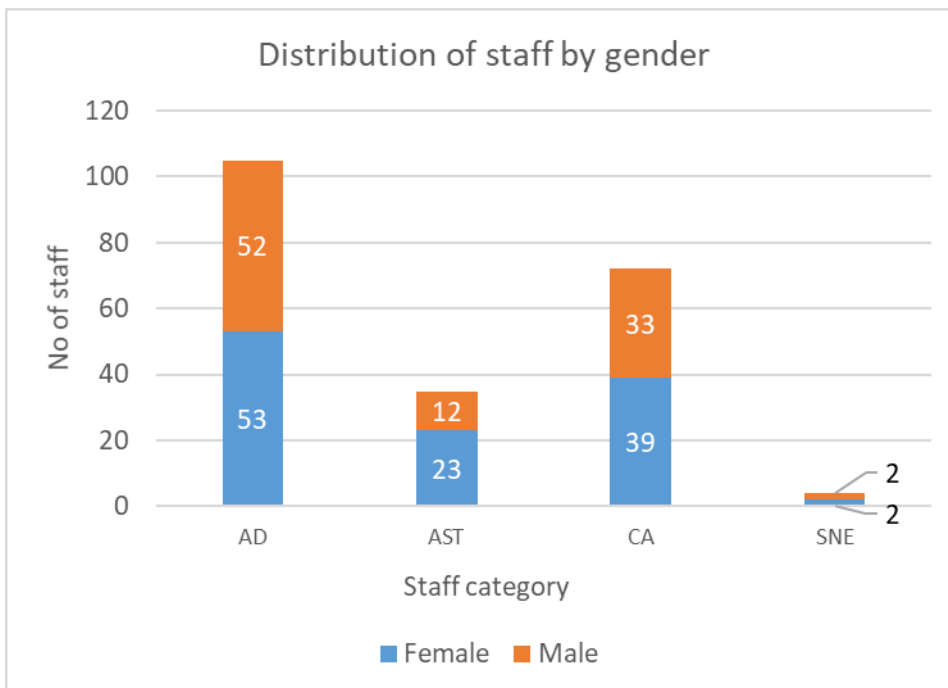
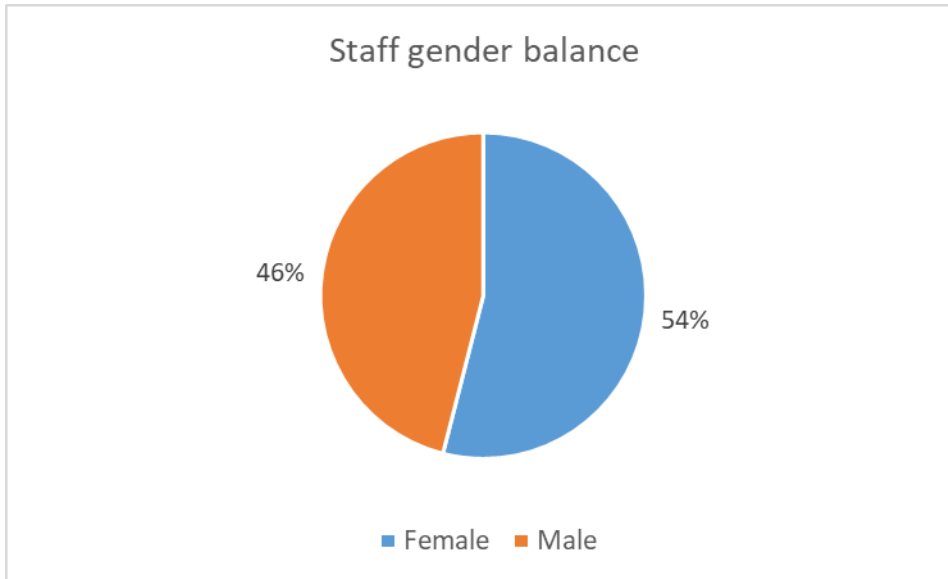
Mobility of staff members between EASO and the EU institutions can be achieved through transfer of officials from the EU institutions to EASO, transfer of agents from EASO to the EU institutions, and engagement of officials from EU institutions as temporary staff 2(f) who have been successful in an EASO selection process for temporary staff 2(f). 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.

## 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.

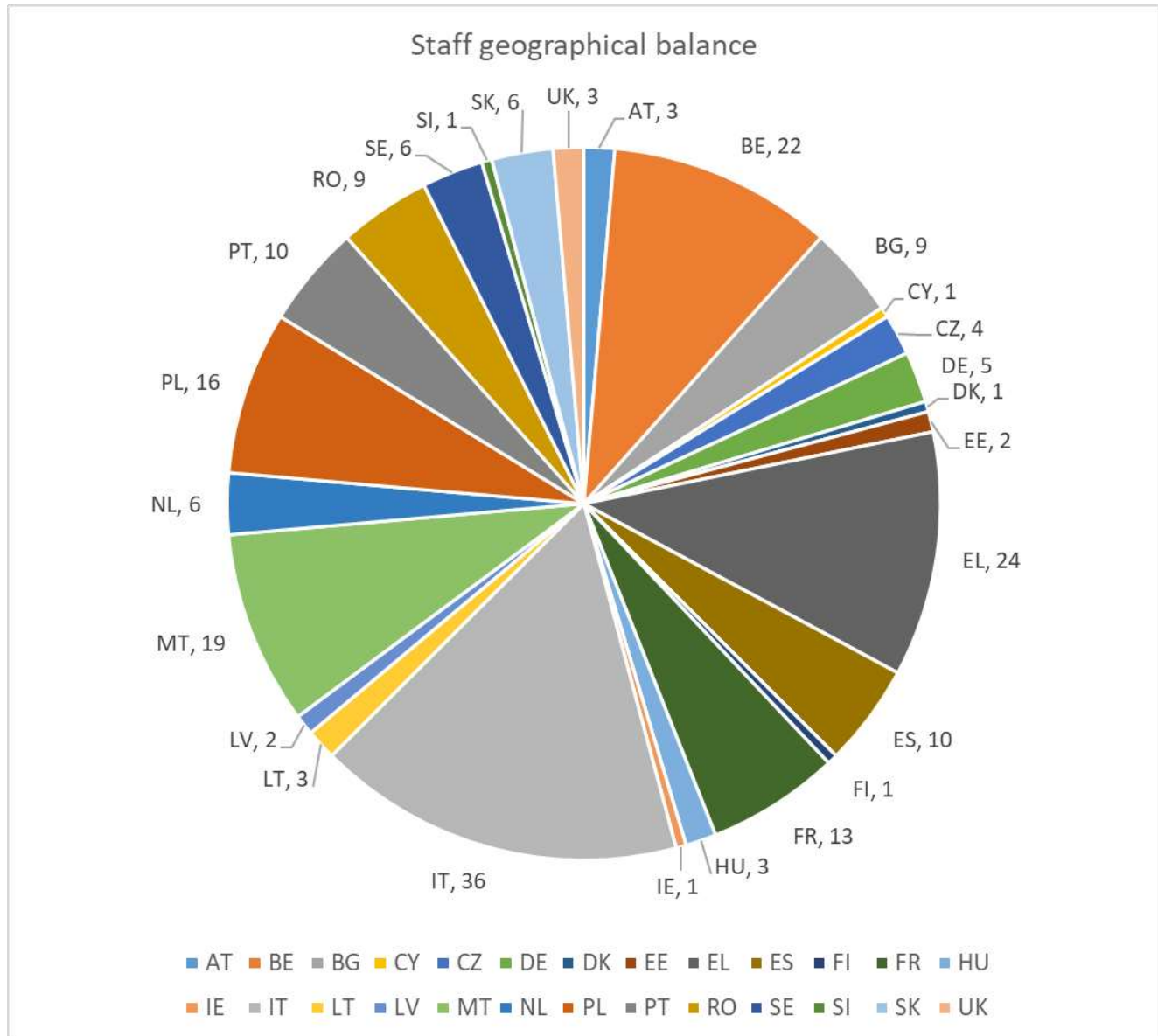
Currently, the gender<sup>31</sup> balance in EASO is as displayed in the charts below.



<sup>31</sup> Data as of 10 November 2017

## Geographical balance

Twenty-six nationalities are represented as illustrated below.



## E. Schooling

EASO needs to attract, engage and retain staff of the highest standards of ability, efficiency and integrity, recruited on the broadest possible geographical basis from among nationals of EU Member States and Associate Countries. Statutory staff members of EU institutions, including some EU agencies, enjoy free access to European schools under the condition that they have a contract of at least one year.

The Agency considers it necessary to support its statutory staff members whose children attend fee-paying private/international schools while in active employment. This has become even more important now that the Agency's staff is growing at a very fast rate.

Due to the projected increase in staff in the forthcoming years, it is crucial that the Agency has a solid ground in guaranteeing appropriate, cost-free education to all staff members' children.

In this respect, the Management Board adopted in August 2016 two Decisions regarding the pre-school and school costs reimbursement enabling EASO to conclude service contracts with childcare facilities and private/international schools not only in Malta but also in other EASO places of assignment. Pre-school and school attendance is therefore considered as cost-free for children of EASO statutory staff.

As a relatively young Agency, EASO has staff that is namely in a younger category. Therefore, the schooling needs are for children within the age range from one to ten years old. It is expected that this trend will remain unchanged in the forthcoming years. However, the recruitment of more senior staff might have an impact on the age demographics resulting in the need to accommodate children in higher grades of secondary education.

One of the problems that EASO is facing in the schooling area is a limited possibility to follow the International Baccalaureate (IB) curriculum. The IB is offered in full by only one international school in Malta. This school is in high demand and places are limited. Moreover, the school is not planning an enlargement.

EASO has currently in place ten service level agreements with education establishments offering pre-school care and six agreements with primary and secondary schools in Malta. In addition, two agreements were signed in other places of employment of EASO staff other than Malta, namely in Warsaw and Athens.

## Annex V: Building policy

### Buildings

	Name, location and type of building	Other Comment
Headquarters in <b>Malta</b>	EASO premises (blocks A, B, C) Xatt l-Għassara tal-Għeneb (Winemakers Wharf), Valletta Harbour	
Surface area (in square metres) - Of which office space - Of which non-office space	12,290  - 9,208 - 3,082  In addition, there are 34 parking spaces in the garage situated at Level -1 of the building.	The situation stated is the to-be state once the final deed for the lease will be signed. This is expected in summer 2018.
Annual rent (in EUR)	2,065,089	This will be the annual rent due once the final deed will be signed in summer 2018.
Type and duration of rental contract	The lease agreement entered into force on 19 June 2011 and shall terminate on 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 floors in Block C.	Currently EASO is negotiating a final deed with Transport Malta, which will absorb all existing contracts. In addition, the lease period will be 9 years from its commencement, with optional extension periods of three years each.
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)	



	Premises outside Malta	Other Comment
Operational office in <b>Rome, Italy</b> , with an area of circa 390 sqm Rental rate of EUR 120,000 per annum	Office on Via IV Novembre, Rome consisting of office spaces, meeting rooms and training rooms	
Operational office in <b>Athens, Greece</b> , with an area of 1,342 sqm Rental rate EUR 136,752 per annum	Office on El. Venizelou (Panepistimiou) Street, Athens consisting of office spaces, meeting rooms and training rooms	
Liaison office in <b>Brussels, Belgium</b> consisting of 42 sqm Rental rate of EUR 8,500 per annum	Office on Avenue d'Auderghem, Brussels consisting of office spaces.	

### ***Mobile and fixed office space (non-administrative appropriations)***

EASO has put in place 105 mobile offices (containers) in Italy and in Greece. These containers normally serve as workstations and service areas for EASO staff in the hotspots and EASO deployed experts and interpreters who register asylum seekers and conduct interviews in the hotspots.

In June 2017, EASO signed a lease for office space on the island of Lesbos to improve the working conditions of staff and experts in the hotspots and to provide much-needed additional space. Similarly, EASO plans to sign a lease for office space on the island of Chios in the second half of 2017.

Office space has also been leased in Nicosia, as of April 2017, to be used as working space for experts deployed by EASO in Cyprus. The lease agreement expires in January 2018.

## **Building projects in planning phase**

### **Headquarters in Malta**

The principal building project in the planning phase relates to the EASO headquarters extension in Valletta Harbour, Malta.

In view of the expanding role of the Agency and increase in staff, EASO's building strategy is to acquire additional office space within its current location in close collaboration with Transport Malta and the Government of Malta, which are the co-owners of the building. This means that EASO will continue to abide with the provisions of the headquarters agreement and the current lease agreement.

EASO staff has increased significantly and is expected to continue to increase in the coming years. The number of staff is expected to increase year on year in line with the Legislative Financial Statement in the Commission proposal for the new EUAA Regulation. The headcount should reach 500 by 2020. Nevertheless, the current capacity in Blocks A and C will not accommodate all of the 500 staff, as well as the corresponding growing need for space to accommodate meetings, mandatory training and administrative requirements.

In this context, in May 2016, EASO submitted a request to the Council and the European Parliament to extend its office space by acquiring Block B in the same office complex. Following the approvals of the Council of Ministers and the European Parliament in July 2016, EASO moved ahead to start taking over all of Transport Malta's complex located in Xatt I-Għassara tal-Għeneb in Valletta Harbour.

There is a significant delay in the handover of the building. This delay can partially be ascribed to the slow vacating of parts of the building by the owner and occupant, Transport Malta. Negotiations over the final deed as well as on the terms of handover also required more time than anticipated. The entire building and the compound is almost ready for a handover, but awaiting signing of the final deed in summer 2018. All in all a delay of one year from the original planning is foreseen.

### **EASO operational office in Italy**

The EASO operational office in Rome was acquired in May 2016 for a period of six years. The latest EASO Operating Plan signed with Italy in December 2017 sets the framework for EASO's support to Italy until December 2018. Additional activities with regards to the registration process for international protection and the first instance decision process in the Territorial Commissions have been added in comparison to earlier Operating Plans. This results in a further geographical expansion of activities in comparison to before in around 50 locations. Additional mobile teams for information provision and roving registration teams also cover other locations where needs for information provision and registration emerge.

In addition, since the beginning of April 2017, Member State experts are deployed to the EASO Operational Office in Rome and provide a helpdesk service. The helpdesk is a centralised reference point for Asylum Support Teams deployed by EASO on the ground under the direct coordination of EASO staff. A greenline for information on the rules on family reunification/dependency within the Dublin procedure for asylum applicants is also in place, thus covering the locations where EASO is not physically present.

In order to maintain efficiency of the above operations, EASO has also engaged Assistant Field Coordinators in 8 regions. In some cases the regional Assistant Field Coordinators can be collocated in existing office space such as the EASO containers in the CARA in Bari, the Trapani Hotspot or the Milano Questure. In other locations such opportunities do not exist and, therefore, EASO is preparing to rent additional office space in the regions through a framework contract (FWC).

## Annex VI: Privileges and immunities

The Seat Agreement between the Government of Malta and EASO was signed in 2011.

The agreement describes the privileges and immunities that the Agency's statutory staff benefit from. The main advantages are VAT-exempted purchases, the details of which are available in the document published in the following link:

<https://www.easo.europa.eu/sites/default/files/EASO%20SEAT%20AGREEMENT%20EN%20and%20MT.pdf>

## Annex VII: Evaluations

Article 46 of the former EASO Regulation stated that EASO had to 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 EASO staff members. 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 were 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 were also 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 were completed. Case studies in the six selected Member States (France, Germany, Greece, Italy, Poland and Sweden) were 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.

Implementation of the action plan is underway. A number of actions have been completed and it is expected that other actions will be addressed in the coming years as an outcome of the new EUAA Regulation.

## Annex VIII: Risks

In line with the Internal Control Standards adopted by the Management Board in 2012 and particularly with reference to Internal Control Standard number 6, EASO successfully designed and ran for the first time its risk management process in 2016.

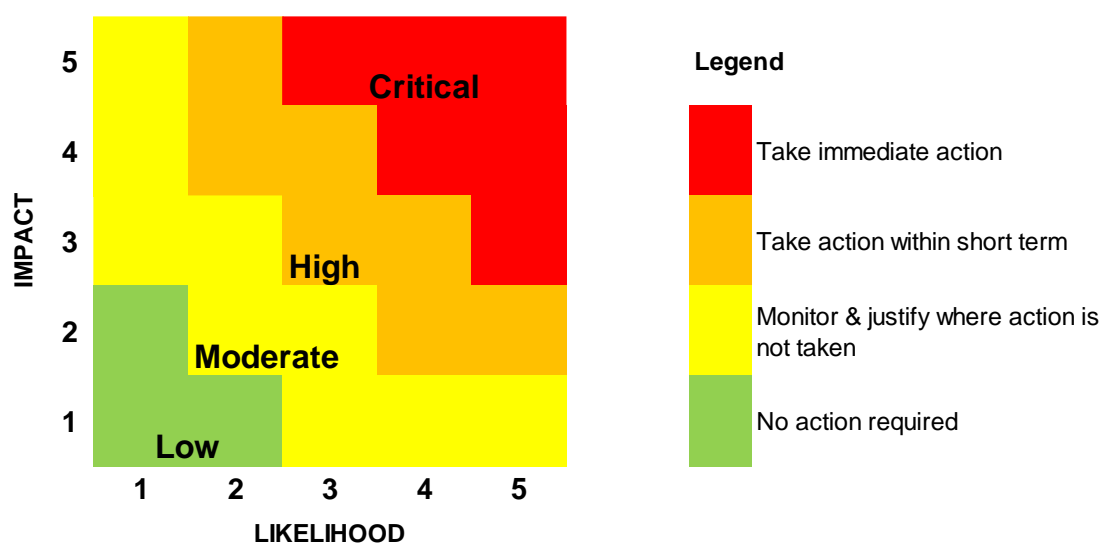
Since then the Agency has been running its risk management process as outlined in its Risk Management Procedure by carrying out annual risk identification and risk assessment exercises and by maintaining, monitoring and reporting regularly on its risk registers.

A corporate risk register, building on the agency's risk register, was developed for corporate monitoring and reporting of risks.

The benefits of having set up an integrated and effective risk management system are:

- To ensure that EASO achieves its objectives and delivers value to its stakeholder;
- To support effective and efficient use of resources;
- To increase reliability of reporting;
- To improve compliance with applicable laws and regulations;
- To reduce operational surprises by ex ante identification of potential events and establishment of responses;
- To better identify opportunities to be seized.

In view of the fact that risk management is still a new activity in the organisation, the risk appetite was identified as below in a prudent way, this might be changed as the Agency becomes more accustomed to managing its risks.



## Annex IX: Procurement plan for 2018

### Administrative Notice

Economic operators interested in being invited to participate in the negotiated procedures may express their interest by writing to [CONTRACTS@easo.europa.eu](mailto:CONTRACTS@easo.europa.eu) before the planned launch date indicated in the table below.

This notification is made in accordance with Article 124 of the Rules of Application<sup>32</sup> of the EU Financial Regulation that provides for appropriate ex ante publicity on the internet of contracts with a value up to € 144,000<sup>33</sup>.

### Note

The estimated values for services and supplies for the hotspots are purely indicative and will be adjusted according to needs as they arise.

### List of procedures as of July 2018 (Amendment 1):

	Title of Activity	Contract subject	Estimated Value	Type of Purchase	Type of Contract	Planned launch date	Type of procedure
1	3. Operational Support	Construction and installation works	€ 620,000	Works	Direct contract	01/10/2018	Negotiated procedure
2	3. Operational Support	Transport services in Greece and Italy	€ 3,000,000	Service	Framework Contract	15/07/2018	Open call for tender
3	3. Operational Support	Provision of Interpretation, Cultural Mediation and Remote interpretation services for EASO Operations	€ 90,000,000	Service	Framework Contract	31/07/2018	Open call for tender
4	3.1 Operational Support Italy	Consultancy services on safety at work in Italy	€ 135,000	Service	Framework Contract	25/06/2018	Negotiated procedure

<sup>32</sup> Commission delegated Regulation (EU) no 1268/2012 of 29/10/2012 on the rules of application of Regulation (EU, Euratom) No 966/2012 of the European Parliament and of the Council on the financial rules applicable to the general budget of the Union (OJ L362 of 31/12/2012).

<sup>33</sup> As of 01/01/2018 (<https://eur-lex.europa.eu/legal-content/EN/TXT/HTML/?uri=CELEX:32017R2365&qid=1515152761539&from=EN>)

	Title of Activity	Contract subject	Estimated Value	Type of Purchase	Type of Contract	Planned launch date	Type of procedure
5	3.1 Operational Support Italy	Co-working offices for Italian Assistant field coordinator in Trapani, Reggio Calabria, Bari, Napoli, Bologna, Milano, Venezia	€ 312,000	Service	Framework Contract	02/07/2018	Open call for tender
6	3.1 Operational Support Italy	Amendment no. 1 to the Framework Contract EASO/2017/501 Lot 3 for the provision of interim services in Italy – Request for increase of the contract ceiling	€ 5,000,000	Service	Framework Contract	20/04/2018	Negotiated procedure
7	3.1 Operational Support Italy	Reggio Calabria Office Space - temporary	€ 6,000	Service	Direct contract	15/06/2018	Negotiated procedure
8	3.1 Operational Support Italy	Provision of interim services in Italy	€ 60,000,000	Service	Framework Contract	10/07/2018	Open call for tender
9	3.2 Operational Support Greece	Small appliances in Greece	€ 30,000	Supply	Framework Contract	15/07/2018	Negotiated procedure
10	3.2 Operational Support Greece	Coffee, milk, sugar and related products	€ 30,000	Supply	Framework Contract	06/08/2018	Negotiated procedure
11	3.2 Operational Support Greece	Courier services in Greece	€ 42,000	Service	Framework Contract	01/09/2018	Negotiated procedure
12	3.2 Operational Support Greece	Medical/healthcare services in Greece	€ 54,000	Service	Framework Contract	01/10/2018	Negotiated procedure
13	3.2 Operational Support Greece	Bottled Water for EASO premises, offices and hubs in Greece	€ 210,000	Supply	Framework Contract	30/03/2018	Open call for tender
14	3.2 Operational Support Greece	Handy man services in Athens and in the islands	€ 3,000	Works	Order form/Specific Contract	26/06/2018	Negotiated procedure
15	3.2 Operational Support Greece	Sewage costs for Lesbos premises in Pagani (incl. containers)	€ 10,400	Service	Direct contract	25/06/2018	Negotiated procedure
16	3.2 Operational Support Greece	Print services - Greece	€ 13,200	Service	Framework Contract	15/09/2018	Negotiated procedure
17	3.2 Operational Support Greece	Provision of legal consultancy services for EASO interim contract in Greece	€ 14,500	Service	Direct contract	18/05/2018	Negotiated procedure
18	3.2 Operational Support Greece	Construction works in mainland and islands of Greece	€ 50,000	Works	Direct contract	05/02/2018	Negotiated procedure

	Title of Activity	Contract subject	Estimated Value	Type of Purchase	Type of Contract	Planned launch date	Type of procedure
19	3.3. Other EU Member States	Rental of facilities in EU MS and third countries	€ 281,800	Building	Framework Contract	16/07/2018	Negotiated procedure
20	3.3. Other EU Member States	Provision of Interim services in Cyprus	€ 3,700,000	Service	Framework Contract	28/03/2018	Open call for tender
21	3.3. Other EU Member States	Stationary supplies for Cyprus	€ 15,000	Supply	Direct contract	01/04/2018	Negotiated procedure
22	3.3. Other EU Member States	Office furniture and equipment	€ 100,000	Supply	Framework Contract	01/09/2018	Negotiated procedure
23	3.4 External Dimension	Provision of proofreading and language editing services for EASO publications and other documents and products in Albanian, Arabic, Macedonian, Serbian and Turkish	€ 59,500	Service	Framework Contract	25/06/2018	Negotiated procedure
24	3.4 External Dimension	Provision of proofreading and language editing services in EU official languages and third country languages	€ 700,000	Service	Framework Contract	16/07/2018	Open call for tender
25	3.4.2. Resettlement	Resettlement Support Facility (RSF) in Turkey - EASO pilot project <sup>34</sup>	€ 800,000	Service	Direct contract	01/10/2018	Open call for tender
26	4.1 Support Activities and Tools for Operations	Provision of legal services for EASO evacuation bridge in Moria, Lesvos	€ 3,000	Service	Direct contract	28/05/2018	Negotiated procedure
27	4.1 Support Activities and Tools for Operations	Legal Advice and Representation in Legal Proceedings in Chios	€ 3,250	Service	Direct contract	15/05/2018	Negotiated procedure
28	4.1 Support Activities and Tools for Operations	Provision of medical information for EASO staff deployed in duty stations	€ 15,000	Service	Direct contract	31/07/2018	Negotiated procedure
29	4.1 Support Activities and Tools for Operations	Provision of legal consultancy services in Italy	€ 17,400	Service	Direct contract	09/02/2018	Negotiated procedure

<sup>34</sup> In review 1 of the 2018 Procurement plan for 2018, the Pilot Projects originally foreseen for Interview premises in Third Country, equipment in Third Country, Transport services, accommodation services, and security services for EASO in a new country have been merged into this procedure. The Pilot project foreseen for rental of premises in a third country has been partially included.



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	Title of Activity	Contract subject	Estimated Value	Type of Purchase	Type of Contract	Planned launch date	Type of procedure
30	4.1 Support Activities and Tools for Operations 4.3 Monitoring and Evaluation of Operations	Consultancy services (on needs assessment, contingency planning, operational support, development of methodology for monitoring and evaluation of operations, etc.)	€ 135,000	Service	Framework Contract	01/10/2018	Negotiated procedure
31	5.1. Country of Origin Information (COI)	IAU-COI-Peer Review of COI products	€ 130,000	Service	Framework Contract	15/02/2018	Open call for tender
32	5.1. Country of Origin Information (COI)	IAU-COI-Drafting of COI products	€ 130,000	Service	Framework Contract	15/02/2018	Open call for tender
33	5.2. Early warning and Preparedness (EPS)	Scenario analysis	€ 50,000	Service	Direct contract	22/01/2018	Negotiated procedure
34	5.2. Early warning and Preparedness (EPS)	DOP/IAU-EPS-Consultancy-2018	€ 50,000	Service	Direct contract	01/06/2018	Negotiated procedure
35	5.2. Early warning and Preparedness (EPS)	Framework contract for the provision of Country Intelligence Reports	€ 100,000	Service	Framework Contract	15/01/2018	Open call for tender
36	5.3. Information and Documentation System (IDS)	IAU-IDS-Mobile application for IDS Platform	€ 45,000	Service	Direct contract	30/03/2018	Open call for tender
37	5.3. Information and Documentation System (IDS)	IAU-IDS-Visualisation and infographics	€ 100,000	Service	Framework Contract	30/03/2018	Open call for tender
38	5.6. Research programme on pull and push factors	Pilot survey of asylum seekers	€ 300,000	Service	Direct contract	01/10/2018	Open call for tender
39	6.1. Training	Review of EASO modules with members of academia	€ 60,000	Service	Framework Contract	15/10/2018	Negotiated procedure
40	6.1. Training	Review of EASO Training Modules by Members of Civil Society	€ 60,000	Service	Framework Contract	15/10/2018	Negotiated procedure
41	6.1. Training	Development of a tool to identify training needs	€ 150,000	Service	Framework Contract	01/07/2018	Open call for tender
42	6.1. Training	Tender accreditation and certification International Sectoral Qualification	€ 180,000	Service	Framework Contract	01/10/2018	Open call for tender

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	Title of Activity	Contract subject	Estimated Value	Type of Purchase	Type of Contract	Planned launch date	Type of procedure
43	6.1. Training	Development of an EASO master programme	€ 300,000	Service	Framework Contract	01/07/2018	Open call for tender
44	6.2. Asylum processes	IT service tools	€ 25,000	Service	Direct contract	03/09/2018	Negotiated procedure
45	5.1. Country of Origin Information (COI)	Provision of transcription of audio recordings of meetings organised by IAU/COI	€ 14,000	Service	Direct contract	30/01/2018	Negotiated procedure
46	6.1. Training	Development of the module on Reception of Vulnerable Persons within the EASO Training Curriculum	€ 30,000	Service	Direct contract	07/05/2018	Negotiated procedure
47	5.1. Country of Origin Information (COI)	Procurement of local MedCOI experts' services (pool of experts)	€ 144,000	Service	Direct contract	01/06/2018	Negotiated procedure
48	5.1. Country of Origin Information (COI)	MedCOI Quality services framework contract	€ 200,000	Service	Framework Contract	01/11/2018	Open call for tender
49	5.1. Country of Origin Information (COI)	Provision of Medical checks and advice related to MedCOI activities	€ 200,000	Service	Framework Contract	25/02/2019	Open call for tender
50	5.1. Country of Origin Information (COI)	IAU-MedCOI-Country Reports framework contract	€ 300,000	Service	Framework Contract	30/07/2018	Open call for tender
51	5.1. Country of Origin Information (COI)	MedCOI framework contract	€ 2,100,000	Service	Framework Contract	24/01/2018	Open call for tender

## Annex X: Organisational chart

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 the Agency. Its key functions include the appointment of the Executive Director, the adoption of the single programming documents, work programmes and annual reports of EASO, as well as 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 Nations High Commissioner for Refugees (UNHCR). All members are appointed based on their experience, professional responsibility and high degree of expertise in the field of asylum. Denmark is invited to attend as an observer at 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 Associate Countries are entitled to participate in all EASO activities, including their 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 single programming document and the decisions of the Management Board.

With the significant increase in tasks attributed to the Agency in early 2016, EASO experienced challenges to its response capacity, particularly in field operations in front-line Member States. Consequently, the Agency's resources were 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 taking into account the new additional tasks to be assigned under the proposed EUAA Regulation. The Management Board adopted the new organisational structure of the Agency, as proposed by the Executive Director, on 12 May 2016.

The Executive Director, in exercising the responsibilities laid down in Article 31 of the EASO Regulation, is supported by the Executive Support Office, the Liaison Officers to the EU Institutions and to Frontex, and the Communications and Stakeholders Unit.

The Department of Asylum Support contributes to the implementation of the CEAS by providing support with the aim of enhancing the capacities of EU+ countries to implement the CEAS through common training, coordinated practical cooperation and through the development and monitoring of operational standards and guidance.

The Department of Operations develops and implements a comprehensive approach for EASO activities in the field of operations, bringing together situational and country of origin information and intelligence, operational planning and intra and extra-EU operational support under one coordinated framework. Operations will be underpinned by operational protocols and tools and a continuous monitoring and evaluation mechanism to ensure optimal results.

The Department of Administration provides support systems and services to the core areas of work.

