INTEGRATED MANAGEMENT SYSTEMS (IMS) ANNUAL REVIEW

Integrated Management System (IMS) highlights
- IMS objectives 2022 - status
- IMS Roadmap update

Integrated Management System (IMS) deep-dive
- Legality and regularity (Internal Control Assessment)
- Quality and performance (includes evaluations & Continuous Improvement)
- Health, Safety, Security & Environment (HSSE)

Looking forward
- General context – Major developments
- IMS- 2023 objectives
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OBJECTIVES & ASSURANCE PILLARS REPORTING

Objectives

- LEGALITY AND REGULARITY (Internal Control Framework n. 4 and 5)
- QUALITY AND PERFORMANCE (Internal Control Framework n. 1 and 2 - ISO 9001)
- SAFETY AND SECURITY (Internal Control Framework n. 3; ISO 45001, 14001, 22301, 27001, EMAS)

Assurance pillars

- Audit Management
- Risk Management
- Internal Control

- Financial Reporting
- Legality & Regularity Compliance
- Evaluation
- Quality Management
- Performance management
- Continuous improvement
- Information Management
- Security & Business Continuity
- Health & Safety

Performance management

Continuous improvement

Evaluation
ISO 9001:2015 Quality Management
0 non-conformities
2 opportunities for improvement

ISO 45001: 2018 Occupational Health & Safety Management
0 non-conformities
12 opportunities for improvement

ISO 22301: 2019 Business Continuity Management
0 non-conformities
2 opportunities for improvement

ISO 14001: 2015 & EMAS Environmental Management
0 non-conformities
9 opportunities for improvement

All EFSA’s ISO certifications were confirmed in 2022.

Internal Audit Service Audit on Information Security and Disaster Recovery | European Court of Auditors Financial, Legality & Regularity Audit
2 very important observations & 3 important recommendations

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INTERNAL CONTROL ASSESSMENT 2022

Control clusters

- Independence -> 0 Conflict of Interest
- Human Resources - Ex-post control on outside activities. Monitoring timesheet submission and approval -> ongoing
- Information Security Access Rights Management
- Finance Public Procurement
- Science Internal Quality Audits

Exception Register

- Stable- DOI tool & financial

ECA

- Financial, Legality and Regularity, positive, One preliminary finding on Conflict of Interest management
- IAS:
  - Information Security and Disaster Recovery
  - Two very important and three important audit recommendations.
  - Two important outstanding recommendations not implemented within agreed timelines

Follow-up audits by IAS & ECA All action plans adequately and effectively implemented

Internal Control Assessment

- 2020 Discharge granted
- ECA’s 2021 reliability of accounts and legality & regularity of transactions
- Anti-fraud

- Timeliness of scientific outputs
- Full disaster recovery exercise
- Update of Scientific guidance
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## EFSA Strategy Survey Overview

**EFSA overall satisfaction**

<table>
<thead>
<tr>
<th>Group</th>
<th>Satisfaction</th>
</tr>
</thead>
<tbody>
<tr>
<td>Customers</td>
<td>65%</td>
</tr>
<tr>
<td>Stakeholders</td>
<td>73%</td>
</tr>
<tr>
<td>Partners</td>
<td>90%</td>
</tr>
</tbody>
</table>

**Areas for attention**

- **Timeliness in Risk Assessment (Customers):** Baseline/Root-cause analysis (41%)
- **Support in Applications (Customers):** Gather more feedback via the dedicated surveys (38-44%)
- **Effectiveness in engaging its stakeholders in Risk Assessment (Customers):** Gather some more feedback in stakeholder meetings (60%)
- **Timeliness in RC (Customers):** Refine question to have better understanding (60%)
- **Improve reach to relevant target audiences (Applicants, Stakeholders):** Social media actions/follow ups (55-57%)
- **Organisational efficiency (all respondent groups):** HR attractiveness actions, DOI tool improvements (69%)
SANTE Interviews overview

- 14 outputs were selected by EFSA or SANTE
- Feedback mainly positive
- Good collaboration & communication

Common areas for attention
EFSA Strategy Survey & SANTE Interviews

**SO1** Fitness for purpose - use for regulatory purpose

**SO1** Ability to communicate risks in a way that is clear, comprehensible and meaningful

**SO2** Appropriateness of the data used by EFSA for risk assessment

Evolution of Interviews feedback

- Not providing a clear basis for regulatory action (at least 1 output a year)
- Pesticides conclusions: area of attention but improving from year to year
- Data gaps leading to uncertainties/inconclusive opinions

Positive evolution - no feedback on:
- EFSA exceeding the Terms of Reference (since 2019)
- Crossing risk assessment /risk manager boundaries (since 2018)

SANTE Interviews - 2023

Piloting "regular feedback over the year" will begin first half 2023
**Core business performance**

- Stable inputs
- Production metrics overall in line with 2021
- Moderate performance deviations in entire E2E stream

<table>
<thead>
<tr>
<th>Year</th>
<th>Budget</th>
<th>FTEs</th>
<th>Volume</th>
<th>Timeliness</th>
<th>Stock</th>
<th>Satisfaction</th>
</tr>
</thead>
<tbody>
<tr>
<td>2022</td>
<td>52.5 M</td>
<td>243</td>
<td>586</td>
<td>84.3%</td>
<td>1411</td>
<td>73%</td>
</tr>
<tr>
<td>2021</td>
<td>52.3 M</td>
<td>237</td>
<td>627</td>
<td>82.6%</td>
<td>1441</td>
<td>80%</td>
</tr>
<tr>
<td>Year-on-Year</td>
<td>0.4%</td>
<td>2.5%</td>
<td>-6.5%</td>
<td>+2.1%</td>
<td>-2.1%</td>
<td>-8.8%</td>
</tr>
</tbody>
</table>

**Setting foundations for Strategy 2027 execution**

- New Programmes finalised
- Strategic transformation priorities defined

**Optimisation of IT tools**

- Increased inputs
- Significant efforts in tool optimisation
- Staff satisfaction remains low and efficiency gains yet to materialise

**Finalisation of new processes and governance**

- Processes finalised (only residual activities left)
- New Decision-Making Framework introduced

**Budget execution**

- Budget execution on track, despite increased budget
- Main expenditure increases in Grants&Procurements, IT and communication
<table>
<thead>
<tr>
<th>Management Board recommendations from 3rd EFSA External Evaluation</th>
<th><a href="#">link</a></th>
</tr>
</thead>
<tbody>
<tr>
<td>Annual Activity Report (AAR) 2022</td>
<td></td>
</tr>
<tr>
<td>Report back to Management Board in June 2023</td>
<td></td>
</tr>
<tr>
<td><strong>EX-POST Evaluation</strong></td>
<td></td>
</tr>
<tr>
<td>Ex post evaluation (end 2023) on specific transparency regulation measures</td>
<td></td>
</tr>
<tr>
<td>Ex post evaluation on policy of independence</td>
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### HSSE | MAIN 2022 OBJECTIVES AND DELIVERABLES

<table>
<thead>
<tr>
<th>ENVIRONMENT</th>
<th>SAFETY</th>
<th>SECURITY</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>ISO 14001 – EMAS</strong></td>
<td><strong>ISO 45001</strong></td>
<td><strong>ISO 22301</strong></td>
</tr>
<tr>
<td>Purchase of electricity produced 100% from renewable sources</td>
<td>Third year with zero injuries</td>
<td>Logistics: Power generator autonomy doubled</td>
</tr>
<tr>
<td>Carbon footprint assessment of EFSA</td>
<td>Safety audits to Contractors</td>
<td>IT: Disaster Recovery exercise performed</td>
</tr>
<tr>
<td>New contract for shuttles services including green criteria</td>
<td>On-line training courses for all staff</td>
<td>Inter-institutional collaboration on Business Continuity with Community Plant Variety Office (CPVO)</td>
</tr>
<tr>
<td>Re-Certified ISO 14001 and obtained 2nd EMAS renewal</td>
<td>Emergency drill</td>
<td>ISO 22301 certification maintenance</td>
</tr>
<tr>
<td></td>
<td>ISO 45001 certificate maintenance</td>
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## DRIVERS & POTENTIAL IMPLICATIONS ON EFSA’S IMS

### External
- Chemical Strategy for sustainability (DG ENVI)
- Farm to fork strategy (DG SANTE) (more info 3rd Quarter 2023)
- New Instrument of Pre-accession Assistance (IPA) (DG NEAR)
- Partnership on Animal Health and Welfare (DG AGRI) preliminary
- New cybersecurity regulation
- Inflation increases

### Internal
- Strategy 2027 (with Transparency regulation), new organisation, new EFSA Process Architecture in place
- New ISO/IEC 27001 Information security certification
- Preparation for Knowledge Management - ISO 30401:2018