

Programming document 2017 - 2019



Trusted science for safe food

Programming document 2017-2019

Trusted science for safe food

*Protecting consumers' health with independent
scientific advice on the food chain*

Adopted in Parma on 14 December 2016
For EFSA's Management Board

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Chair of the Management Board

Trusted science for safe food

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Foreword

I am delighted to present you with EFSA's Programming document for the years 2017-2019. This document translates EFSA's vision of 'Trusted science for safe food' into a concrete work plan for the years to come, taking account of the opportunities and challenges EFSA will face on its journey towards the year 2020.

A constantly changing world, with its increasingly globalised trade, influences the future of how we produce and consume food in the European Union. Emerging new risks and hazards lead to complex food safety questions and help to evolve scientific knowledge. They also create the need for innovative and collaborative approaches in all areas of EFSA's scientific work.

In this context, EFSA will continue to play an active role in the development of an international risk assessment community. Increasing cooperation with international organisations and third countries will promote high-quality standards in risk assessment. Joint efforts will lead to harmonised approaches and shared resources. They will enable EFSA to harvest the best expertise available to provide global solutions for global challenges.

Societal expectations of greater transparency and public engagement in all areas of EFSA's work are high and will increase further. It is important to continue building on the procedures in place, while broader engagement with risk managers and other stakeholders will provide opportunities to strengthen our evidence base and our communication channels. Addressing these expectations proactively will be essential to enhancing, maintaining and cementing the trust of our stakeholders in our work.

Emerging technologies will further standardise and automate routine tasks. New collaborative digital platforms will help optimise the involvement of our stakeholders. Using innovative working methods and cooperating closely with risk managers and risk assessment partners, we will continue to explore all possible solutions to achieve necessary efficiency gains.

Against this background, we have set ourselves five main goals that will guide our work in the coming years. They will enable us to continue fulfilling our mission while progressing in key areas of our work and increasing satisfaction and trust in our performance. The five strategic objectives endorsed by our Management Board in December 2015 set the frame for our strategy, and shape its implementation plan, which is reflected in this Programming document.

We have a lot of work ahead of us, and we look forward to taking it on.

Bernhard Url,
Executive Director

List of acronyms

| | |
|---------------------|--|
| AFSCO | Advisory Forum and Scientific Cooperation Unit |
| AHAW Panel | EFSA Panel on Animal Health and Welfare |
| ALPHA | EFSA Animal and Plant Health Unit |
| AMU | EFSA Assessment and Methodological Support Unit |
| ANS Panel | EFSA Panel on Food Additives and Nutrient Sources Added to Food |
| APDESK | EFSA Applications Desk Unit |
| BIOCONTAM | EFSA Biological Hazards and Contaminants Unit |
| BIOHAZ Panel | EFSA Panel on Biological Hazards |
| CBC | EFSA Corporate Business Control Team |
| CEF Panel | EFSA Panel on Food Contact Materials, Enzymes, Flavourings and Processing Aids |
| CEN | Communications Experts Network |
| COMMS | EFSA Communications and External Relations Department |
| CONTAM Panel | EFSA Panel on Contaminants in the Food Chain |
| CORSER | EFSA Corporate Services Unit |
| CRM | Customer Relation Management Project |
| DATA | EFSA Evidence Management Unit |
| DG SANTE | Directorate General for Health and Food Safety |
| DOI | Declaration of Interest |
| doi | digital object identifier |
| EC | European Commission |
| ECDC | European Centre for Disease Prevention and Control |
| ECHA | European Chemicals Agency |
| EEA | European Environment Agency |
| EFSA | European Food Safety Authority |
| EKE | Expert Knowledge Elicitation |
| EMA | European Medicines Agency |
| EMAS | Eco-Management Audit Scheme certification |
| ENP | European Neighbourhood Policy |
| EU | European Union |
| EUAN | EU Agencies Network |
| FEED | EFSA Feed Unit |
| FEEDAP Panel | EFSA Panel on Additives and Products or Substances Used in Animal Feed |
| FIN | EFSA Finance Unit |
| FIP | EFSA Food Ingredients and Packaging Unit |
| FTE | Full-Time staff Equivalent |
| GMO | Genetically Modified Organism / EFSA GMO Unit |

| | |
|---------------------|--|
| GMO Panel | EFSA Panel on Genetically Modified Organisms |
| HUCAP | EFSA Human Capital Unit |
| IAS | Internal Audit Service of the European Commission |
| IPChEM | Information Platform for Chemical Monitoring |
| IPPC | International Plant Protection Convention |
| JRC | Joint Research Centre |
| JRC-IPSC | JRC Institute for the Protection and Security of the Citizen |
| LRA | EFSA Legal and Regulatory Affairs Unit |
| MB | EFSA Management Board |
| MD programme | Managers' development programme |
| MP | Methodologies Programme |
| MRL | Maximum Residue Level |
| MS | Member States |
| NDA Panel | EFSA Panel on Dietetic Products, Nutrition and Allergies |
| NUTRI | EFSA Nutrition Unit |
| OECD | Organisation for Economic Co-operation and Development |
| OHSAS | Occupational Health and Safety Assessment Series |
| Open ScaIE | Open Scientific Advanced Information and Evidence Hub |
| PLH Panel | EFSA Panel on Plant Health |
| PPR Panel | EFSA Panel on Plant Protection Products and Their Residues |
| PRAS | EFSA Pesticides Unit |
| PROMETHEUS | Promoting Methods for Evidence Use in Scientific Assessments project |
| PTT | EFSA Planning, Transformation and Technology Unit |
| RASA | EFSA Risk Assessment and Scientific Assistance Department |
| REPRO | EFSA Scientific Evaluation of Regulated Products Department |
| RESU | EFSA Resources and Support Department |
| RISKCOM | EFSA Risk Communication Unit |
| ROA | Rapid Outbreak Assessment |
| SC | EFSA Scientific Committee |
| SCER | EFSA Scientific Committee and Emerging Risks Unit |
| SDWH | Scientific Data Warehouse project |
| SEA | Stakeholder Engagement Approach |
| TDI | Tolerable Daily Intake |
| TERA | Transparency and Engagement in Risk Assessment project |

Mission statement

Our mission

EFSA is an integral part of the EU's food safety system. As outlined in its Founding Regulation (EC) 178/2002, the Authority's mission is to contribute to the safety of the EU food and feed chain, mainly by:

- providing EU risk managers with independent, up-to-date and fit-for-purpose scientific advice on questions related to food and feed safety, animal health and welfare, plant health, nutrition, and environmental issues specific to the above¹;
- communicating to the public on its outputs and the information on which they are based;
- developing uniform methodologies, and collecting and analysing data to allow the identification, characterisation and monitoring of current and emerging risks that have a direct or indirect impact on food and feed safety;
- cooperating with Member States, institutional partners and other interested parties/stakeholders² in the EU to promote coherent advice and increase trust in the EU food safety system;
- identifying emerging risks to food safety, and contributing to a high level of protection of human life and health.

Our vision

Trusted science for safe food.

Our values

All of EFSA's strategic objectives and operational activities are based on a set of fundamental values. These are:

- **Scientific excellence:** EFSA aims to provide high-quality scientific advice based on the expertise of its network of scientists and staff, and the quality of its science-based information and methodologies, which are grounded in internationally recognised standards.
- **Independence:** EFSA is committed to safeguarding the independence of its experts, methods and data from any undue external influence, and ensures that it has the necessary mechanisms in place to achieve this.
- **Openness:** Communicating openly and promptly on its scientific work helps foster trust in EFSA. As well as being transparent, we aim to engage civil society in our risk assessment work and connect with untapped scientific potential.
- **Innovation:** Being pro-active and forward-looking enables EFSA to anticipate new challenges. We believe that regulatory science must keep pace with changes in the natural sciences, industry and society. We are constantly developing and adapting our data and working methods to ensure that the EU food safety system is at the forefront of scientific as well as administrative thinking and practice.
- **Cooperation:** Working together and exchanging knowledge between food safety experts in the EU and globally ensures excellence and efficiency, and maximises the available risk assessment capacity and potential. We believe that the totality of food safety expertise in Europe and internationally is greater than the sum of its individual parts.

¹ The phrase 'food safety' is used throughout the document as shorthand for 'food and feed safety, animal health and welfare, plant health, nutrition, and environmental issues specific to the above'.

² As defined in EFSA's Founding Regulation (EC) 178/2002 Article 3 (13).

Section I. General context

As an essential component of the EU food safety system, EFSA contributes to the overarching objectives³ of the European Commission, particularly to achieving 'a high level of public health while enhancing the competitiveness of the European Union food and feed industry and favouring the creation of jobs'; it does so both directly, e.g. by safeguarding public health, and indirectly, e.g. by strengthening consumer confidence in the food safety system.

EFSA operates in a world of rapid change and needs to ensure that it can continue to deliver on its tasks and obligations. The main drivers, challenges and opportunities that EFSA expects to encounter between now and 2020 are summarised below.

Public expectations and benefits/opportunities of greater transparency and engagement

Transparency and engagement – the two components of openness – are fundamental aspects of EFSA's work and are enshrined in the Authority's Founding Regulation. Expectations of more openness have been increasing and are expected to increase further, largely as a product of today's better informed, faster connected society. Expectations of more transparency are illustrated by the number of requests for access to documents, for access to underlying methodologies and data, as well as for wider engagement in the process of EFSA's scientific assessment.

EFSA has always striven to be as transparent as possible in all its activities and procedures. It is important to continue building on the procedures in place, while ensuring that challenges are faced in a balanced way, e.g. in terms of extra demands on resources and safeguarding the intellectual property rights of data owners. Greater openness also brings important possibilities. Broader engagement with risk managers and other stakeholders provides opportunities for developing efficient data collection systems to support risk assessments and for monitoring the safety of food on the European market, as well as for strengthening communication and the dissemination of information from and to a wide range of stakeholders with multi-faceted needs.

Such engagement will also make it possible to harvest scientific knowledge, experience and tools developed by stakeholders early in the risk assessment process, and to tap into the unexplored expertise of the wider scientific community – in other words, to look beyond EFSA's panels and working groups. Addressing these expectations proactively will be essential to EFSA's ability to maintain and strengthen the trust of its stakeholders.

Emergence of new risks and hazards leading to complex food safety questions

As highlighted in a study commissioned by the European Commission on future scenarios for food safety and nutrition, emerging risks and hazards will increase the need for data, methodologies, analyses and scientific advice on complex food safety questions. Demographic changes – like ageing populations or increasing migration flows – and changes in consumer behaviour and attitudes towards nutrition and food production and consumption (driven by, for example, principles of sustainability, such as urban farming or a circular economy) may lead to a further diversification of diets in Europe. Population growth, climate change and food waste all pose challenges to global food security and food safety. Emerging technologies or new applications of existing technologies – for instance in the wider areas of biotechnology, synthetic biology or nanotechnology – will continue adding to the complexity of the food chain and the task of risk assessment. Climate change and environmental pollution are expected to increasingly affect the safety of our food chain.

³ http://ec.europa.eu/food/index_en.htm; http://ec.europa.eu/europe2020/europe-2020-in-a-nutshell/index_en.htm.

EFSA and its partners, at EU and international level, will have to address these new developments within the context of societal expectations regarding broader, sustainable levels of protection of human, animal, plant and environmental health in the framework of an integrated 'one health' approach.

Evolving scientific knowledge creating a need for innovative and collaborative approaches

Scientific knowledge continues to evolve rapidly, with methodologies, information and data becoming available on an increasingly global scale. Emerging research areas and scientific developments are constantly bringing new insights to EFSA's work. For example, new findings in biomedical research (e.g. on neurotoxicity, reproductive toxicity and the role of gut microbiota) or advances in molecular biology and gene interaction, epigenetics, analytical techniques, -omics, and metabolic biomarkers for disease and health, the use of whole genome sequencing and next generation sequencing to better identify food-borne outbreaks, as well as new knowledge on the cumulative effects of chemical compounds and antimicrobial resistance will directly affect the nature of EFSA's scientific assessments. EFSA collects, appraises, analyses and integrates existing evidence and data to carry out its scientific assessments, but does not generate primary evidence itself. It will therefore be increasingly important for EFSA, in collaboration with the wider risk assessment community in the EU and beyond, to partner with research bodies and project consortia, risk managers and funding bodies to identify and prioritise research funding for the generation of data for its on-going work.

EFSA and its partners will have to monitor and take stock of new scientific developments, thus ensuring that its work, and particularly its risk assessment methodologies and evidence, continues to reflect the newest scientific findings available.

The impact of globalisation

As globalisation of trade continues to increase and the global trade share of emerging economies grows, we will see a further integration of regional and national economies, societies and cultures. This will lead not only to an increasingly globalised trade in food and feed products, and the associated 'trade' of hazards and risks, but also to a more complex food supply chain, which poses challenges for EFSA, for instance with regard to the tracing of supranational food-borne outbreaks.

The future of EU food safety and nutrition will increasingly be affected by the actions of global players – such as trade blocs or multinational companies – and the extent to which global cooperation can be achieved when setting and enforcing standards throughout the food chain. In this process, the EU will need to ensure that the existing high standards of food safety are adopted universally or further improved.

A global approach on food safety is crucial to addressing these major challenges, and EFSA will have to play an increasingly active role in the development of an international risk assessment community. EFSA increasingly cooperates with organisations like the World Health Organization (WHO), the Food and Agriculture Organization of the United Nations (FAO), the World Organisation for Animal Health (OIE), the International Plant Protection Convention (IPPC), the Codex Alimentarius, the Organisation for Economic Co-operation and Development (OECD) and the European and Mediterranean Plant Protection Organisation (EPPO), as well as with third countries. This cooperation will promote high standards and harmonisation in risk assessment, and will harness the best expertise available to provide global solutions to global challenges.

Availability of expertise for EFSA's multi-disciplinary needs

EFSA staff currently provides support to the members of the Scientific Committee, the ten scientific panels and their working groups. A priority in this area is to maintain EFSA's attractiveness and access to diverse, competent and independent scientific experts. This will be challenging for a number of reasons: organisations making experts available to EFSA also face resource constraints; the population of potential experts is limited by requirements related to independence and the need to be well-versed in scientific assessment approaches; and experts

face other demands on their time. EFSA will have to carefully and comprehensively assess these underlying factors. EFSA will also have to examine the sustainability and possible improvements of its current working model, and address these issues in cooperation with its partners at EU and international level.

Efficient operation of the Agency's activities

In the coming years, EFSA will continue to execute its core and supporting activities in line with EU legislation. This will be challenging as EFSA's resources are being further curtailed, as is the case with other public organisations – staffing is set to be reduced by 10% over the five-year period 2013-2018 and then remain stable until 2020. The budget over the next five years will, at best, remain stable. At the same time, there is an increasing demand for additional services – such as support to applicants for regulatory products by providing greater clarity of procedures (the gains of which could partially balance out the costs in the medium to long term) – as well as a continuous need for investment in preparedness related to scientific assessment priorities in order to reach the Strategy 2020 goals.

Increasing efficiency will therefore be key to the successful execution of core and supporting activities. Enhanced cooperation with Member States and international scientific assessment bodies presents a particular opportunity for improving efficiency. Emerging technologies may also further standardise and automate routine tasks of the Authority, while the use of collaborative digital platforms will help to optimise the involvement of stakeholders and other potential collaborators.

EFSA will need to explore all possible solutions to achieve the needed efficiency gains, from closer collaboration with its partners to innovative working methods and the definition of a prioritisation scheme to address any potential resource bottlenecks.

Section II. Multi-annual programming 2017-2020⁴

1. Strategic objectives

EFSA's Strategy 2020⁵ outlines five strategic objectives, which guide EFSA in fulfilling its mission in light of the changing context described in the previous section, while aiming to increase customer satisfaction and the trust of stakeholders in EFSA's scientific advice:

- prioritise public and stakeholder engagement in the process of scientific assessment;
- widen EFSA's evidence base and optimise access to its data;
- build the EU's scientific assessment capacity and knowledge community;
- prepare for future risk assessment challenges;
- create an environment and culture that reflects EFSA's values.

To implement its strategy, EFSA has set a multi-annual portfolio consisting of core processes and projects. The core processes represent the bulk of EFSA's work as they deliver the outputs and results defined in EFSA's mission and strategy. As envisaged in the strategy implementation plan, EFSA included projects that will deliver benefits to its core processes, such as improved efficiency and quality, and will follow adequate project governance:

- Previously on-going and planned projects have been consolidated into three multi-annual programmes to coordinate and align those projects that are relevant to information management, risk assessment methodologies management and expertise management at EFSA. These programmes are identified in this document as 'information management programme', 'risk assessment methodology programme' and 'expertise management programme'.
- Each development project covers one or more aspects of the strategic objectives, and together they maximise the strategic fit of the multi-annual programme.
- A quarterly review of the portfolio ensures that projects stay aligned with the strategic objectives.

The integration of the strategy implementation plan into EFSA's work programme during 2016 allows for a full overview of resources dedicated to the achievement of the strategic objectives by current and future processes and projects.

To ensure that EFSA's activities are focused on the achievement of the expected results as defined in its strategy, and to be able to monitor progress, EFSA has enhanced its results-based orientation through a set of KPIs, which are presented at impact and outcome level in the multi-annual part, and at input-activity-output level in the annual part. As a number of these KPIs are new, EFSA will be building the baseline and set targets in 2017, covering the period until 2020.

⁴ This section covers the final multi-annual plan 2017-2019 adopted by the MB in December 2016 and the draft multi-annual plan 2018-2020 adopted by the MB in December 2016.

⁵ EFSA Strategy 2020 (<http://www.efsa.europa.eu/en/corporate/pub/strategy2020>).

Table 1: Key performance indicators – global impact

| GLOBAL IMPACT: TRUST AND CONFIDENCE OF STAKEHOLDERS IN EFSA'S CONTRIBUTION TO THE PROTECTION OF PUBLIC HEALTH RELATED TO THE FOOD CHAIN | |
|--|---|
| Indicator | Description |
| Synthesis of feedback via surveys from stakeholders, and evaluation reports (by 2020) | This indicator measures the extent to which EFSA achieves a positive/improved image, an improved level of confidence, and is recognised by stakeholders as a key actor in protecting public health related to the food chain. |

2. Multi-annual programme 2017-2020

2.1. Prioritise public and stakeholder engagement in the process of scientific assessment

In the area of provision and communication of scientific advice for general risk assessment priorities and for regulated products, EFSA will provide fit-for-purpose and timely advice to risk managers. EFSA continues to enable citizens and stakeholders to contribute more widely to its scientific assessment processes by promoting communication, dialogue and transparency with the scientific community, applicants and society as a whole. This aims to increase trust, the effectiveness of EFSA's scientific advice and the predictability of the risk assessment process.

Over time, there will be fluctuations and evolution in the nature and the volume of these two core areas of provision and communication of scientific advice, for example, as a result of new risk management priorities, new legislation (e.g. the new animal health and plant health legislation) or outbreaks of food-borne diseases. As scientific advice for general risk assessment priorities and for regulated products will continue to be the central activities of EFSA, their detailed planning and prioritisation will be addressed in EFSA's annual work plans.

Table 2: Key performance indicators – SO1 – medium and long-term impact

| 1. SCIENTIFIC ADVICE & COMMUNICATION: PRIORITISE PUBLIC AND STAKEHOLDER ENGAGEMENT IN THE PROCESS OF SCIENTIFIC ASSESSMENT | | | | | | |
|--|------------------------------|---|---------------------------------------|------|------|------------------|
| Performance indicators | | Baseline | Target by 2020 ⁶ | | | |
| | | | 2017 | 2018 | 2019 | 2020 |
| Intermediary impact: Increased satisfaction of stakeholders regarding EFSA’s scientific outputs (for EC/MS risk managers and stakeholders) and the scientific assessment process and communication tools and materials | | | | | | |
| Satisfaction via feedback surveys: positive and relative qualitative improvement (with regard to follow-up actions) | Risk managers (EC/MS) | 2016 feedback exercise | Annual comparison | | | |
| | Stakeholders | TBD in 2017 | Annual comparison | | | |
| | Applicants | 2014 APDESK survey: index score = 12 (on a scale from -100 to +100) | N/A | 15 | N/A | N/A (18 in 2021) |
| User satisfaction rating of communication tools and materials | EFSA Journal | Outcome of 2016 Journal survey | Positive outcome/increase TBD in 2017 | | | |
| | Other communication products | TBD in 2017 | Positive outcome/increase TBD in 2017 | | | |

⁶ Where not defined, baseline to be measured and annual targets to be set in 2017.

| 1. SCIENTIFIC ADVICE & COMMUNICATION: PRIORITISE PUBLIC AND STAKEHOLDER ENGAGEMENT IN THE PROCESS OF SCIENTIFIC ASSESSMENT | | | | | | |
|---|--|--|-----------------------------|-------|-------|-------|
| Performance indicators | | Baseline | Target by 2020 ⁶ | | | |
| | | | 2017 | 2018 | 2019 | 2020 |
| Impact of media coverage (EFSA’s coverage in the media, including the favourability of articles. This measurement tool has been in place since 2015) Media impact index ⁷ | | 18 | 20 | 22 | 24 | 25 |
| Outcome: Increased engagement of stakeholders in scientific activities | | | | | | |
| Stakeholder engagement during public consultations, and other stakeholder engagement activities | Number of contributions received – total and by stakeholder group | To be measured in 2017 | Increase TBD in 2017 | | | |
| | Number of relevant contributions used in EFSA outputs | To be measured in 2017 | Increase TBD in 2017 | | | |
| | Survey feedback from SEA-registered members on the effectiveness of EFSA’s stakeholder engagement activities | N/A | Positive outcome in 2018 | | | |
| Outcome: Full availability of documentation relevant to EFSA's scientific outputs | | | | | | |
| Availability of documentation used in EFSA’s scientific outputs | Proportion of regulated product areas making dossier data (non-confidential parts) fully available to the public | 0 | N/A | N/A | TBD | 100% |
| | Proportion of EFSA’s scientific outputs providing direct access (links) to datasets and metadata | TBD in 2017 | Increase TBD in 2017 | | | 100% |
| Outcome: Enhanced outreach of communication | | | | | | |
| Social media effectiveness | Increased number of followers from social media platforms | 37 213 by 27 Oct. (to be reviewed on 31 Dec.) | +3% | +3% | +3% | +3% |
| | Traffic to EFSA web content from social media | 53 089 by 27 Oct. (to be reviewed on 31 Dec.) | +2% | +2% | +2% | +2% |
| | Social interactions | 14 881 | +30% | +20% | +10% | +10% |
| Traffic to EFSA’s web content (web metrics): number of sessions | | 2 383 290 by 27 Oct. (to be reviewed on 31 Dec.) | +0.5% | +0.5% | +0.5% | +0.5% |
| Number of subscribers to online subscription products (newsletter and alerts) | | 30 164 (to be reviewed on 31 Dec.) | +1% | +1% | +1% | +1% |
| Impact, visibility and discoverability of EFSA's scientific outputs (access, downloads, citations) | | TBD in 2017 | Increase TBD in 2017 | | | |

⁷ The current methodology for assessing the impact is under review and may change in 2017.

General risk assessment

EFSA's multi-annual focus will be on providing scientific advice based on the mandates received in the fields of biological and chemical hazards, animal health, plant health and human nutrition.

In the area of biological hazards, the activities will focus on assessing risks regarding food hygiene, transmissible spongiform encephalopathies, *Listeria monocytogenes* in ready-to-eat foods, food-borne viruses, antimicrobial resistance, simplified hazard analysis and critical control point schemes for small establishments, *Campylobacter*, *Echinococcus*, and food-borne parasites.

In the area of animal health and welfare, EFSA will continue categorising animal diseases to support the new animal health law⁸, and providing support to Member States in the risk assessment and surveillance related to new outbreaks of emerging diseases, such as Lumpy skin disease, African swine fever, and Avian influenza.

In the area of plant health, following the approval of the new plant health law by the European Parliament⁹, EFSA will give particular attention to the prevention of new plant pest introduction and outbreaks. EFSA's activities will cover pest risk prioritisation and risk assessment of identified new emerging plant health risks, scientific and technical support to surveillance programmes by Member States, pest categorisation and risk assessments to support the new plant health law.

In the area of contaminants, further work may be based on external mandates on heavy metals, process contaminants in food, non-allowed pharmacologically active substances in food of animal origin, masked mycotoxins and natural contaminants in food and feed, as well as detoxification of contaminants in feed. EFSA will also work on the re-evaluation of the temporary Tolerable Daily Intake (TDI) for Bisphenol A.

Regulated products

The evaluation of applications for regulated products will continue to absorb the vast majority of EFSA's resources. EFSA will continue providing support activities and updating its catalogue of services to applicants, and will further streamline administrative procedures associated with applications, from receipt to adoption. It will take additional steps to improve interaction with applicants, including targeted support to small and medium enterprises, to ensure a high level of fairness, predictability and accountability in the operations that affect third parties, and to simplify the application workflows. The early involvement of stakeholders in the development of guidance documents through various means, such as discussion groups for the development of guidance documents or the preparation of concept papers before updating/developing guidance, is expected to increase clarity about data requirements and scientific evaluation processes. With the same aim, support to stakeholders will continue by providing clarifications on existing guidance documents via webinars and info sessions.

EFSA will provide scientific advice based on the mandates received for the assessment of food enzyme dossiers. A total of 304 applications for food enzymes have been submitted to the European Commission. A multi-annual work programme for 2016-2021 has been established together with the European Commission to assess the dossiers received.

EFSA will continue working on the re-evaluation of approved food additives in accordance with relevant guidelines and taking into consideration requests from the European Commission (the majority of activities are expected to be terminated by 2020). Activities related to the assessment of new food additives or proposed changes for approved ones will be carried out in parallel. There will also be assessments related to 'other substances' added to food¹⁰ as well as adoptions of opinions on the safe use of food additives used in food destined for infants and young children.

The remit of the ANS Panel will change from June 2018 to include also the evaluation of food flavourings. The Panel will thus support EFSA's re-evaluation of flavourings, which is expected to

⁸ Regulation (EU) 2016/429.

⁹ Regulation of the European Parliament and of the Council on protective measures against pests of plants.

¹⁰ Regulation (EC) 1925/2006, Art. 8.

be finalised by 2018. In addition, it is estimated that there will be around ten applications for new flavourings and one or two applications for smoke flavourings per year.

EFSA will continue its safety assessment of additives and monomers for plastic materials and articles in contact with food and recycling plastics.

EFSA expects to finalise the outstanding re-evaluations for feed additives in 2017 and 2018.

EFSA will face a substantial increase of its workload in the area of novel foods when the new novel food regulation comes into effect in January 2018. The new regulation envisages a centralised risk assessment for all applications for novel food, and a notification procedure for traditional foods from third countries. EFSA has already published respective guidance documents. With the implementation of the regulation on foods for special medical purposes in 2016, EFSA expects to receive applications in this area in the coming years.

The complexity and workload in the area of pesticides will increase significantly. This is due to increasing demands to assess substances with endocrine disruptive potential following the development of joint guidance by EFSA and ECHA. Additional tasks are expected linked to the assessment of pesticides required to control a serious danger for plant health, and on co-formulants used in plant protection products.

Over the period of 2017-2020, EFSA will dedicate increasing resources to progressively eliminate the backlog related to the review of existing MRLs for all active substances. While the review of active substances included in the 'AIR III' programme will be finalised, EFSA will start the evaluation of the next group ('AIR IV' programme), which includes 212 substances whose approval expires by the end of 2021. The results of the additional resources hired throughout 2016 to progressively eliminate the backlog of outstanding reviews of existing MRLs are expected to become evident.

As recurrent key activities, the Annual report on pesticide residues and a scientific report to support EU positions in the Codex Committee on Pesticide Residues are published each year. Specific attention will be given to ensuring that these reports are published on time while maintaining the high quality expected of EFSA's scientific assessments. Through the Pesticides Steering Network – and in close cooperation with ECHA – EFSA and ECHA will further align the EFSA peer review process and the ECHA process for harmonised classification.

EFSA will continue to deliver evaluations of applications for the use of genetically modified organisms in food and feed as well as for cultivation uses.

EFSA expects to continue delivering evaluations of alternative treatments for animal by-products and on decontamination substances for food of animal origin.

Stakeholder engagement and communication

Through its risk communication activities EFSA seeks to raise awareness for and explain the implications of its scientific work. Further development of better contextualised communications for both risk managers and the general audience is envisaged. EFSA aims to provide appropriate, consistent, accurate and timely communications on food safety issues to all stakeholders and the public at large, based on its risk assessments and scientific expertise.

During 2017-2020, EFSA will focus on: strengthening clarity and improving information delivery; better understanding and meeting target audience needs; building awareness, understanding and recognition of EFSA in the EU and beyond; and promoting coherence in risk communications with the EU and international partners. EFSA will focus on increasing transparency, openness and dialogue, and on developing tools to systematically monitor users' expectations and satisfaction. Engagement will continue to be central to stakeholder initiatives. EFSA will refresh the way it interacts with stakeholders, and pilot the introduction of a system of registered stakeholders and new engagement modalities. A long-term plan is envisaged to strengthen EFSA's engagement with its institutional and media partners, with the aim of monitoring reputation and media impact.

A new approach to openness, and projects supporting openness, will be at the core of much of the Authority's communications work, as EFSA strives to make its risk assessments – including

supporting data and other evidence material – more transparent. The EFSA Journal provides open access to EFSA's risk assessments and scientific outputs within a framework that is meaningful for its scientific experts and staff, and that ensures effective dissemination. Through the partnership with a professional publisher, the editorial quality and accessibility of the scientific outputs have been improved, and reach, visibility and impact of the EFSA Journal content increased. Using state-of-the-art tools of the publishing industry, the Journal facilitates the reproducibility of EFSA's scientific assessments. In order to enrich the EFSA Journal experience, and in line with the needs of strengthened transparency/engagement measures, further work is envisaged for 2019-2020, with a view to link the outputs published in the EFSA Journal with the underpinning evidence and methods used via digital object identifiers. EFSA will work with its publishing partner to develop the next generation of the EFSA Journal platform, moving away from the traditional linear journal content presentation towards a 'hub' that will feature enhanced design, functionalities to create customised virtual issues on EFSA-specific topics, improved social media access, and better navigation thanks to the incorporation of classifications and taxonomies.

The initiative will also be supported by the continued improvement of the EFSA website. Communications will build on the progress made up to 2016 in the area of multimedia, using established tools like interactive infographics and videos as well as new tools, such as data visualisations, to make EFSA's work more accessible and comprehensible to different audiences.

Key development projects

TRANSPARENCY AND ENGAGEMENT IN RISK ASSESSMENT (TERA)

Openness and transparency are core values of EFSA since its inception. Following the delivery of an ex-ante assessment, the TERA project will continue to enhance the openness and transparency of EFSA's risk assessment processes by implementing a set of measures by 2020.

INFORMATION MANAGEMENT PROGRAMME

MATRIX

The MATRIX project aims to provide applicants and stakeholders with a more efficient solution for regulated product applications. This will be done by improving processes, in particular the management of digital dossiers throughout the application lifecycle. Integration of this information with EFSA's scientific data warehouse will further support risk assessors' work.

SOCIAL MEDIA AND DIGITAL COLLABORATION

The implementation of a multi-annual social media strategy will increase EFSA's visibility and influence on social media channels, and enable EFSA to better communicate and engage with its stakeholders. EFSA will further develop its services in the areas of communication and collaboration for both internal and external stakeholders by implementing a series of digital initiatives, including a digital collaboration platform.

2.2. Widen EFSA's evidence base and optimise access to its data

In the area of data collection and evidence management, EFSA will focus on achieving greater transparency of its scientific outputs by providing, as far as feasible, access to underpinning data and evidence. In doing so, EFSA will intensify collaboration with Member States to encourage the publication of their data on EFSA's data hub. Data exchange on open data platforms, as well as collaboration with other agencies and international organisations, will result in a wider availability of data and evidence. EFSA will improve the interoperability of its scientific data, to enable the receiving and sharing of data from/with its stakeholders, as well as the electronic transmission of regulated product dossier data, in a structured format.

Table 3: Key performance indicators – SO2 – medium and long-term impact

| 2. DATA COLLECTION & EVIDENCE MANAGEMENT: WIDEN EFSA’S EVIDENCE BASE AND OPTIMISE ACCESS TO ITS DATA | | | | | | |
|---|--|--|------------------------------------|-----------------|-----------------|------|
| Performance indicators | | Baseline | Target by 2020 | | | |
| | | | 2017 | 2018 | 2019 | 2020 |
| Intermediary impact: Increased satisfaction of stakeholders regarding EFSA’s evidence management services and fostered innovative re-use of data | | | | | | |
| Satisfaction via feedback surveys: positive and relative qualitative improvement (with regard to follow-up actions) | | TBD in 2017/2018 | Annual comparison | | | |
| Use and re-use of EFSA's accessible data and evidence | User statistics from the data warehouse and the evidence hub (Open ScAIE/Knowledge Junction) | TBD in 2017 | Increase for 2018-2020 TBD in 2017 | | | |
| | Data/evidence re-used by stakeholders via citation statistics | TBD in 2017 | Increase for 2018-2020 TBD in 2017 | | | |
| Outcome: Improved access to data | | | | | | |
| Data accessibility index | Number of publicly accessible data collections published without data aggregation by EFSA | 1 ¹¹ | 5 ¹² | 7 ¹³ | 8 ¹⁴ | 9 |
| | Number of data collection dashboards/aggregates published | 11 ¹⁵ | 15 ¹⁶ | 17 | 19 | 20 |
| Outcome: Wider data coverage | | | | | | |
| Number of digital objects (evidence) uploaded to EFSA’s open repository | | TBD in 2017 | Increase for 2018-2020 TBD in 2017 | | | |
| Outcome: Increased standardisation and interoperability of data | | | | | | |
| Share of regulated product areas covered by structured data | | 0 | N/A | N/A | TBD | 100 |
| Increased maturity in data interoperability – EIF/IMM index ¹⁷ | | TBD in 2017 | Increase for 2018-2020 TBD in 2017 | | | |
| Outcome: Improved quality of data | | | | | | |
| Data quality index | | TBD in 2017, in the framework of a pilot project under a partnership agreement with MS | Increase for 2018-2020 TBD in 2017 | | | |

¹¹ Compendium of botanicals.

¹² As in 2016, in addition data collections on: chemical contaminants (EFSA-owned), chemical contaminants (countries agreeing on data sharing), chemical hazards, zoonoses (level 3 tables – prevalence, food-borne outbreaks, animal diseases, animal populations).

¹³ As in 2017, in addition: pesticide residues and AMR.

¹⁴ As in 2018, in addition: veterinary medicinal products residues.

¹⁵ Chemical contaminants (occurrence), pesticide residues, zoonoses outbreaks, animal populations, animal diseases, prevalence, antimicrobial resistance, food consumption, botanicals, food composition, EFSA-owned raw data dashboards.

¹⁶ As in 2016, in addition: chemical contaminant levels, contaminants raw data, Food Additives Intake Model (FAIM) template, veterinary medicinal products.

¹⁷ European Interoperability Framework for European public services/Interoperability Maturity Model.

EFSA will intensify cooperation with Member States on its standard data collections underpinning the production of scientific advice and the annual EU summary reports, i.e. on: zoonoses and food-borne outbreaks; antimicrobial resistance; pesticide residues; veterinary medicinal product residues; and transmissible spongiform encephalopathies (TSE), the latter being a new data collection. EFSA will optimise its evidence management activities via a stronger coordination and integration of each data domain.

With the Scientific Data Warehouse (SDWH) project EFSA created a pan-European hub for data and analysis services, which is accessible to EU Member States, scientific experts and stakeholders who require improved access to information systems and data to enable their work. The SDWH is open to the general public since 2016. In 2017-2020, the SDWH will be enriched with metadata describing the collected datasets and will be extended, including the assignment of digital object identifiers. Eventually it will be available, using European open data standards, to Open Data Portals, including the EU Open Data Portal and IPCHEM Portal. Addressing the changing needs of risk managers, the content of the SDWH will be extended to include molecular typing and other bioinformatics data (e.g. from whole genome sequencing) as well as structured data for studies used in regulatory science (MATRIX Project).

With a view to improving data exchange and interoperability, taking into account international standards, EFSA envisages to participate in data exchange networking groups.

Key development projects

INFORMATION MANAGEMENT PROGRAMME

The Information Management Programme encompasses several projects handling EFSA's data and evidence in a more open and interoperable way. It coordinates, supervises, steers and monitors those projects over a period of seven years (2014-2020). The programme implements common metadata, thesauri and data models, adopting as much as possible EU and open standards. It enables the implementation of current and future services to provide insights into EFSA's information by means of new digital channels and tools.

INFORMATION ACCESS MANAGEMENT (IAM) PROJECT

The development of a centralised framework for Information Access Management (IAM) will provide the necessary IT tools and processes to allow for a corporate information access management. IAM targets include the enforcement of master data management, and the centralisation of identity management, i.e. secure access control for users and user groups.

OPEN SCIENTIFIC ADVANCE INFORMATION AND EVIDENCE HUB (OPEN SCAIE) PROJECT

Building on the deliverables of the OPEN SCAIE project, the 'Knowledge Junction' community will provide a platform and processes to share and reference, via unique digital object identifiers (doi), scientific evidence and methods needed for EFSA's evidence-based risk assessment, as well as source codes, reports, protocols and other materials for risk assessment. The 'Knowledge Junction' community runs on the EU-funded Zenodo research-sharing platform and has been publically available since November 2016.

2.3. Build the EU's scientific assessment capacity and knowledge community

In the area of cooperation and expertise management, EFSA aims to work in partnership with Member States and international partners to strengthen capacity building and sharing, foster the EU and international risk assessment community, and optimise EFSA's workforce model to increase efficiency, effectiveness and reduce divergences in EU and global risk assessment, thereby increasing trust in the EU food safety system.

Table 4: Key performance indicators – SO3 – medium and long-term impact

| 3. COOPERATION AND EXPERTISE MANAGEMENT: BUILD THE EU'S SCIENTIFIC ASSESSMENT CAPACITY AND KNOWLEDGE COMMUNITY | | | | | | |
|--|---|--------------|--|---------|---------|---------|
| Performance indicators | | Baseline | Target | | | |
| | | | 2017 | 2018 | 2019 | 2020 |
| Intermediary impact: Increased efficiency at European and international level | | | | | | |
| Increase of shared and decrease of duplicated/overlapping services/activities/outputs (risk assessments, data, methodologies) at MS and European/international level | | TBD in 2017 | Relative qualitative improvement TBD in 2017 for 2018-2020 | | | |
| Intermediary impact: Increased satisfaction of MS, EU and international partners with regard to the building and sharing of risk assessment capacity and a knowledge community at organisational and individual level, in general and via specific tools (e.g. grants) | | | | | | |
| Satisfaction – general satisfaction with and usefulness of joint outputs – via feedback surveys: positive and relative qualitative improvement (with regard to follow-up actions) | MS, EU, international, third-country organisations | TBD in 2017 | Annual comparison | | | |
| | Individual experts | | | | | |
| Outreach of supporting publications on grants and procurement (access, downloads, citations) | | TBD in 2017 | Increase TBD in 2017 | | | |
| Outcome: Building and sharing capacity within the risk assessment community at organisational level | | | | | | |
| Risk assessment agenda take-up index | Number of joint projects | N/A | 15 | 17 | 19 | 21 |
| | Number of priority areas covered | | 5 | 6 | 8 | 10 |
| | Number of partners (MS) in joint projects | | 20 (8) | 25 (10) | 30 (12) | 35 (14) |
| | Number of projects not funded primarily by EFSA | | 0 | 1 | 2 | 4 |
| Number of joint activities (staff exchange, joint projects/workshops) with international partners under cooperation agreements | | 5 | 8 | 11 | 11 | 11 |
| Research agenda take-up index | Number of research recommendations taken up in MS, EU or international research programmes | TBD in 2017 | Increase TBD in 2017 for 2018-2020 | | | |
| | Number of research projects (EU and international) to which EFSA is participating (actively or passively) | TBD in 2017 | Increase TBD in 2017 for 2018-2020 | | | |
| Participation of MS organisations to EFSA's work programme (science grants & procurement) | Application rate for EFSA's open calls | TBD for 2017 | Increase TBD in 2017 for 2018-2020 | | | |
| | Number of Article 36 organisations applying for EFSA grants | TBD for 2017 | Increase TBD in 2017 for 2018-2020 | | | |

3. COOPERATION AND EXPERTISE MANAGEMENT: BUILD THE EU'S SCIENTIFIC ASSESSMENT CAPACITY AND KNOWLEDGE COMMUNITY

| Performance indicators | | Baseline | Target | | | |
|--|--|---|--|------|------|------|
| | | | 2017 | 2018 | 2019 | 2020 |
| Outcome: Building and sharing within the risk assessment community at individual level | | | | | | |
| Increased common expertise pool coverage and availability index | Number of applicants (total and eligible) for panel renewals. | Total: 1 150 applicants for 10 panels (2013-2015) Eligible: 900 applicants for 10 panels (2013-2015) | Total: 2017 call: 50% increase 2021 call: 10% increase Eligible: 2017 call: 20% increase 2021 call: 10% increase | | | |
| | Balance of applicants (total and eligible) for panel renewals, in terms of age, gender & geography | TBD in 2017 | 2017 call: 10% absolute value deviation from balance defined by EFSA 2017 call: reduction of absolute value deviation from balance defined by EFSA. | | | |
| | Elapsed 'time to hire' for working group experts | TBD in 2017 | Measured compliance against threshold defined in 2017 | | | |
| Panel and WG quality evaluated via the expert impact factor | Panel expert impact factor | TBD in 2017 | Above minimum threshold for 2017 and 2021 calls TBD in 2017 | | | |
| | Working group expert impact factor | TBD in 2017 | Above minimum threshold for 2018-2020 TBD in 2017 | | | |
| Outcome: Strengthened capacity using innovative ways | | | | | | |
| Share of outputs produced using new types of capacity | This indicator captures the extent to which EFSA, together with MS, achieves capacity building through innovative approaches, I crowdsourcing, cognitive computing, artificial intelligence etc. | AMU/IMP/MP to establish baseline in 2017 | AMU/IMP/MP to establish baseline in 2017 | | | |

Each year, EFSA relies on more than 1 500 scientific experts for the development of its scientific advice. To maintain and regenerate this pool of experts, EFSA is taking a strategic approach to its workforce requirements with an emphasis on attracting, developing and rewarding staff and scientific experts.

Working together with other EU institutions, agencies and international bodies with a risk assessment mandate, EFSA will focus its efforts on strengthening and streamlining scientific cooperation with Member States (Advisory Forum, Focal Points, Scientific Networks), EU organisations (agencies, the JRC, reference laboratories), and international networks and for a, so as to ensure a consistent approach to risk assessment at EU level and to contribute to international harmonisation.

At EU level, activities to strengthen capacity building and work-sharing for the coming years include the review and strengthening of the role of the Article 36 network supporting the implementation of common risk assessment agenda priorities. The newly established EU risk assessment agenda provides a new *modus operandi* for the Advisory Forum to agree on common priorities for cooperation with other Member States, to avoid duplication of work, and make best use of resources. Joint projects will address these identified priorities. A small number of these projects may potentially be supported by grants from EFSA, others by resources identified through other European or international funding schemes, or in other ways, e.g. through workshops, the establishment of a particular network, or exchange of data and information.

EFSA will also continue to set up cooperation clusters with EU Agencies, reference laboratories and Member States, in close collaboration with the European Commission's DG Research and Innovation and its Joint Research Centre, with the aim to strengthen identification and take-up of research priorities by funding bodies, as well as EFSA's participation in key research programmes to ensure it stays abreast of scientific developments.

In the area of pesticides, the Pesticides Steering Network will develop and implement a plan for improving the cooperation between the Rapporteur, other Member States and EFSA scientists during the risk assessment phase. This will lead to further efficiency gains, increase transparency and ensure timely identification of key scientific issues that should be discussed at an early stage in order to facilitate common grounds during the EFSA peer review process.

EFSA supports networking between pre-accession countries and EU Member States as well as regional cooperation initiatives aiming to increase the preparedness on common food safety issues, such as transboundary animal diseases. The pre-accession project activities in the next period will focus on facilitating data collection and reporting to EFSA, specifically in the area of zoonoses, antimicrobial resistance and food-borne outbreaks, in close cooperation with ECDC. EFSA will apply for a new pre-accession project in 2017 to allow networking activities with pre-accession countries to continue.

At international level, EFSA will continue to prioritise multilateral cooperation, and increasingly liaise with international agencies, promoting harmonisation of methodologies and tools, and the development of guidance. Important progress in stimulating coherence with EU and international partners in risk communications is expected through the creation of an international platform on risk communication. EFSA will also continue to advise international partners across the world on the establishment of regional risk assessment structures, like in Southeast Asia (ASEAN), Africa, the Gulf Countries, South and Latin America. The overall aim is to promote a coherent voice and to align priorities by enhancing the existing cooperation with 11 risk assessment bodies outside the EU, and by establishing cooperation with 15 new third countries – including China and countries in South America and Africa – as well as with five international organisations.

Key development projects

EXPERTISE MANAGEMENT PROGRAMME

Within the Expertise Management Programme, EFSA aims to reinforce the perception of EFSA as an attractive work place and thus improve the quantity and quality of prospective staff and experts. In part, the project also improves the usability and integration of the various information technology solutions used by scientific experts in their work with EFSA. Fostering the growth of the risk assessment community encompasses efforts to create talent pools and communities of knowledge to increase the risk assessment capacity, as well as feasibility studies with a view to the piloting and implementation of expert knowledge elicitation, crowdsourcing and cognitive computing solutions in specific areas of EFSA's work.

2.4. Prepare for future risk assessment challenges

The section regarding preparedness and methodological development of EFSA's portfolio focuses on the anticipation of risk assessment priorities and related methodologies and evidence needs to ensure EFSA is prepared for present and new challenges in a dynamic food safety system. Innovation ensures that EFSA's scientific assessments remain relevant, while it helps harmonising methodologies across Europe and internationally to improve food safety, promote trust and reduce divergence.

EFSA will strengthen its involvement with Member States, the European Commission, European Agencies and international partners in the review, development and harmonisation of cross-cutting and sectoral guidance and methodologies that underpin its risk assessments, as well as in the identification of emerging risks and crisis preparedness.

Table 5: Key performance indicators – SO4 – Medium and long-term impact

| 4. PREPAREDNESS AND METHODS DEVELOPMENT: PREPARE FOR FUTURE RISK ASSESSMENT CHALLENGES | | | | | | |
|--|---|--|------------------------------------|------|------|------|
| Performance indicators | | Baseline | Target by 2020 | | | |
| | | | 2017 | 2018 | 2019 | 2020 |
| Intermediary impact: Increased effectiveness of preparedness and response | | | | | | |
| Preparedness with data, methods and expertise to address a risk assessment question when received and mutually agreed | % of questions for which data, methods and expertise are readily available | TBD in 2017 | Increase for 2017-2020 TBD in 2017 | | | |
| | % of questions (regular and urgent) delivered within the initially agreed timelines | TBD in 2017 | 100 | 100 | 100 | 100 |
| Intermediary impact: Increased satisfaction of stakeholders with regard to EFSA's preparedness, methodologies and response | | | | | | |
| Satisfaction via feedback surveys: positive and relative qualitative improvement (with regard to follow-up actions) | Risk managers (EU/MS) | TBD in 2017 | Annual comparison | | | |
| | Stakeholders (general) | N/A | 2019 comparison | | | |
| | MS, EU, international, third-country organisations | TBD in 2017 | Annual comparison | | | |
| Use of EFSA’s guidance, methodologies and tools (access, downloads, citations) | | TBD in 2017 | Increase TBD in 2017 for 2018-2020 | | | |
| Outcome: Fostered use of new approaches and enhanced ability to anticipate and respond to risks | | | | | | |
| Number and proportion of new approaches (self-tasks and internal mandates) moving from feasibility to piloting, endorsement of guidance documents, training, and application in risk assessments according to plan | | TDB in 2017 | TBD in 2017 for 2018-2020 | | | |
| Outcome: Accessibility of EFSA methods and tools | | | | | | |
| Number of methods and tools readily accessible for use by external users (available in online repositories and on platforms) | | TDB in 2017 | Increase for 2018-2020 TBD in 2017 | | | |
| Outcome: Harmonisation of risk assessment methodologies | | | | | | |
| Increase in the use of cross-cutting guidance documents by EFSA panels | | TDB in 2017 | TBD in 2017 for 2018-2020 | | | |
| Use of obligatory guidance documents by panels and working groups | | TBD in 2017 (compliance check on use of obligatory guidance) | 100%, to be measured in 2019 | | | |

In the years until 2020, EFSA plans to develop methodologies, and further strengthen horizontal processes and tools for emerging risk identification and crisis preparedness. Regarding the latter, EFSA will implement a crisis training program with the objective to develop urgent response capacity on both risk assessment and risk communication, focusing on different areas of EFSA's remit. The development of methodologies enabling backward and forward traceability of foods following a food-borne outbreak will be the focus in the period 2017-2020.

Methodological developments for horizon scanning and risk ranking, as well as surveillance methods, will support EU plant health crisis preparedness. The work on horizon scanning will build on the existing cooperation with the JRC in the area of automated media monitoring regarding new or emerging plant pests, which will be extended to literature monitoring. In the area of surveillance, the tools developed by EFSA for animal health and food safety will be improved and validated to be used also for plant health, and tested in cooperation with the European Commission and Member States. The focus in the area of plant health will be on newly identified risks and outbreak preparedness, e.g. in the case of *Xylella fastidiosa*, as well as on

assessing the risk of plant pest introduction into the EU with plant commodities, such as in the case of *Phyllosticta citricarpa* and other quarantine plant pests.

In the period 2017-2020, preparedness work in the area of animal health and welfare will focus on risk profiling regarding the introduction and spread of vector-borne diseases, and on animal welfare indicators for farmed animals. Highlights in the area of international collaboration will include harmonised data collection on the geographic distribution of vectors of human and/or animal pathogens in Europe and the Mediterranean Basin, and the planned harmonised disease surveillance in wildlife populations.

In the biological hazards area, work will focus on the application of new methodologies for risk assessment and surveillance such as molecular typing methods, e.g. whole genome sequencing, and on antimicrobial resistance (AMR). In the area of AMR, work will be done in cooperation with EMA and ECDC on: assessment of the food chain contribution to public health risks arising from AMR and identification of control options; harmonization of monitoring and reporting of AMR in veterinary and zoonotic pathogens; integrated analysis of antimicrobial consumption and AMR along the food chain; and identification of outcome indicators to better monitor trends. Scientific advice will continue to be provided in the form of rapid risk assessments during emergencies in cooperation with ECDC.

Guidance development work will include the Scientific Committee guidance on the use of a weight-of-evidence approach for risk assessment (expected in 2018), the integration of biological relevance for toxicological risk assessment (expected in 2017) and harmonised methodologies for the characterisation of uncertainties (finalisation expected in 2017). The Scientific Committee will also revise and update the guidance on the use of the threshold of toxicological concern (TTC) approach, and produce guidance on the risk assessment of substances present in food intended for infants. Activities to produce guidance on the human and environmental risk assessment of substances present in nano-form have also been initiated. The on-going sharing of information on international practices in all these areas will continue, and dedicated activities will be organised to disseminate knowledge on the methodologies.

EFSA's scientific panels will continue to develop and update guidance for applicants in the area of regulated products. This work will help provide the basis for harmonised, reproducible risk assessments and make the pre-authorisation process more efficient and predictable.

Risk assessments of GMOs will increasingly involve the evaluation of all hypothetically possible sub-combinations of multiple-stack events. This requires the development of risk assessment strategies. An updated guidance on the risk assessment of flavourings will be prepared, with particular consideration of methods for evaluating exposure.

In the area of pesticides, several activities covering the methodological developments regarding human health, also of relevance for other areas of EFSA's remit, are on-going and planned. The main focus will be on cumulative risk assessments, the use of epidemiological data and the assessment of uniquely human diseases – requiring a different approach than traditional animal models – and improving the risk assessment for consumers. As indicated in section 2.1, EFSA will develop joint guidance with ECHA for assessing endocrine disruptive potential¹⁸.

Regarding environmental risk assessment, new developments are expected in the areas of environmental fate and ecotoxicology, covering all non-target groups, birds and mammals, amphibians and reptiles, as well as aquatic organisms. The focus will be on modelling tools, bees, other non-target arthropods, soil organisms and non-target plants. EFSA will launch a long-term project for landscape environmental risk assessments addressing environmental and ecological variability. The initial focus will be on pesticides and plant health, with a view to extend the project to other areas where EFSA is responsible for the assessment of environmental risks. This will complement EFSA's on-going work on the development of a multi-disciplinary approach to the risk assessment of honeybees. In the area of plant health, EFSA will work on guidance to produce a tool for the quantitative risk assessment of plant pests.

¹⁸ Regulation (EC) 1107/2009.

Key development projects

METHODOLOGIES PROGRAMME

EFSA set up a risk assessment Methodologies Programme (MP) in order to drive the coordinated identification, prioritisation and management of guidance and methodologies development. Within its efforts towards more openness, EFSA will further develop the Knowledge Junction¹⁹ to enable links to methods and tools developed by EFSA as well as other scientific bodies in cooperation with Member States and international partners.

The PROMETHEUS (Promoting Methods for Evidence Use in Science) project aims to define and implement principles, processes and methods for the use of evidence in scientific assessment. It has critically evaluated available methods and, in line with the defined principles, proposed a process for collecting, validating and integrating evidence while ensuring transparency and data accessibility. It is being piloted in prioritised risk assessment activities and will continue in its second phase to identify the need for EFSA to define or refine specific methodologies.

2.5. Create an environment and culture that reflects EFSA's values

EFSA's horizontal, governance, coordination, and support services focus on assuring that EFSA has established an efficient, transparent and responsive environment and culture, ensuring the effective implementation of EFSA's strategic plan. EFSA will comply with the highest standards of performance and integrity by fostering a results-based orientation and by increasing collaboration and innovation. By optimising human, technical and financial resources, EFSA will ensure its efficiency, compliance and overall accountability.

Table 6: Key performance indicators – SO5 – Medium and long-term impact

| 5. ORGANISATIONAL PERFORMANCE: CREATE AN ENVIRONMENT AND CULTURE THAT REFLECT EFSA'S VALUES | | | | | | |
|---|---|---|---|------|------|------|
| Performance indicators | Description | Baseline | Target | | | |
| | | | 2017 | 2018 | 2019 | 2020 |
| Intermediary impact: Sound operational performance | | | | | | |
| Proportion of KPIs in programming documents reaching target (intermediate impact, outcome and output) | | TBD in 2017 | Intermediate impact: 80% Outcome: 90% Activity/Output: 100% | | | |
| Clean discharge (by the European Parliament) achieved | Discharge is granted | yes | yes | yes | yes | yes |
| | Accounts are closed | yes | yes | yes | yes | yes |
| | Observations are followed up within the prescribed deadlines | 100% | 100% | 100% | 100% | 100% |
| Intermediary impact: Efficiency | | | | | | |
| Improved ratio of effort (FTE) spent in operational vs support activities | | 2016 actual: 73.5:26.5 | >75:25 | | | |
| Efficiency index in EFSA's activities | Mature processes: improved index (ratio of output and/or quality/satisfaction vs input) | Efficiency framework and baseline TBD in 2017 | TBD in 2017 for 2018-2020 | | | |
| | Process maturity index: percentage of standardised vs total processes (with input/output relationships and clear efficiency targets/SLAs) | | | | | |
| | Projects: improved index (delivery on budget, on time, in scope or better) | | | | | |

¹⁹ Also mentioned in SO2.

**5. ORGANISATIONAL PERFORMANCE:
CREATE AN ENVIRONMENT AND CULTURE THAT REFLECT EFSA'S VALUES**

| Performance indicators | Description | Baseline | Target | | | |
|--|--|--|---|-------|-----------------------|------|
| | | | 2017 | 2018 | 2019 | 2020 |
| Outcome: People and culture | | | | | | |
| Staff engagement index via feedback survey (based on biannual survey – inter-agency framework) | Total favourable/engagement (%) | 63/76 (2015) | >60/75 | N/A | >70/80 | N/A |
| | Organisational awareness/commitment | N/A, TBD in 2017 | TBD in 2017 for 2018-2020 | | | |
| | Intention to stay (%) | 45 (2013) | 45-50 | N/A | 50-55 | N/A |
| Management and leadership index | Management feedback survey a) Line management; leadership b) Overall satisfaction | a) 69%; 46% b) 60% | a) 70%; 55% b) 65% | | a) 75%; 65% b) 70% | |
| | Occupancy rate (%) Statutory staff year average | 95% | >95.5% | | >96% | |
| | Competence management maturity level | TBD via: a) Feedback of participants in Managers’ development (MD) programme 2017 b) EFSA’s compliance with European skills/competences & occupations 2017 | Increase in maturity level for 2018-2020 to be defined in 2017, based on feedback from first survey to be launched for managers who participate in MD programme | | | |
| | | | | | | |
| Outcome: Compliance | | | | | | |
| Compliance index (laws, regulations, decisions, standards, policies and procedures applicable to EFSA) | Number of non-compliant events; exception requests; respective financial impact | <25; 90; 150K€ (2015) | <25; 90; 150K€ | | | |
| | Percentage of compliance with internal control standards (ICS) | 80 (2015) | 85 | 90 | 95 | 95 |
| | Number of ‘critical’, ‘significant’ or ‘very important’ findings (ECA, IAS, Audit Adviser) | 0; 4 (2016) | 0; <5 | | | |
| Outcome: Enabling work environment | | | | | | |
| Innovative collaboration methods supported by world-class IT tools | Ratio of physical meetings vs tele-meetings (experts & networks) | 85/15 | 80/20 | 75/25 | | |
| | Physical meetings (staff) | TBD in 2017 | Decrease TBD in 2017 for 2018-2020 | | | |
| | Email traffic (staff, experts, networks) | TBD in 2017 | | | | |
| | Social media (staff, experts, networks) | TBD in 2017 | | | | |
| Outcome: Capabilities | | | | | | |
| Performance-based management maturity level | | TBD in 2017 | TBD in 2017 for 2018-2020 | | | |
| World-class IT maturity level (COBIT ²⁰ model) | | TBD in 2017 | TBD in 2017 for 2018-2020 | | | |

Focusing on EFSA's people, organisation and processes, activities in this area will ensure sound operational performance in services to scientific experts, staff and institutional partners while ensuring compliance. At the same time, through the centralisation of responsibilities deployed through horizontal services, a focus on performance related to the outcomes of strategic objectives 1-4 will safeguard EFSA's overall strategic plan.

²⁰ Control Objectives for Information and related Technology.

EFSA will evolve toward a four-dimensional service delivery model: strategy and policy development; corporate management oversight; business partnering; and transactions services.

The key aspects of the evolution of these horizontal services are:

- an integrated approach to governance and accountability, and a strong focus on performance and results across all departments, in line with the strategy of the EU Agencies Network and the European Commission. This will enhance the quality of analysis and insight provided to EFSA's management, its Board and the Institutions in view of the realisation of EFSA's strategic objectives;
- consolidating assurance functions to strengthen the overall monitoring of risk, and leveraging the quality certification and the recently completed mapping of EFSA's processes through a continuous improvement practice. This includes maintaining strong audit records, completing the centralisation of the competing interest management, a revised Independence Policy, and the enhancement of EFSA's business continuity plan;
- continuing the year-over-year increase in performance of project and change management, financial management, environmental and facility management, so as to further increase the efficiency of processes (building on the strong result in efficiency obtained in 2015) and the wellbeing of staff. Improved processes (implementation of paperless workflows, centralisation of mission, meeting and event governance, new travel arrangements for experts, reduced time to hire etc.) will generate higher reliability, speediness, savings and increased customer satisfaction. Shared processes will be sought for at EU Agencies level to generate synergies and economies of scale, especially in the procurement area²¹;
- continuing to invest in the development of people and organisational performance and capabilities, and to integrate leadership and managerial standards into management policies and tools. EFSA will introduce novel approaches to promote and maintain a reward culture. It will also pilot, develop and implement innovative collaboration and engagement mechanisms for its staff, experts and partners (e.g. via social networking);
- continuing the rationalisation and modernisation of existing IT platforms and infrastructures while deploying standard solutions and investing in new computational platforms. The majority of IT resources will be dedicated to support the development projects described in this and previous sections. EFSA will begin to design the next generation of its IT supply chain in 2017, as a new service model and supply chain is required by 2019. Digitalisation and the opening of EFSA's boundaries will require an increase in cyber-security practice, aiming for best-in-class security levels by 2020. In this context EFSA will also continue to reinvest savings, achieved through its multi-annual efficiency programme, in better collaboration, communication and productivity tools.

Key development projects

EXPERTISE MANAGEMENT PROGRAMME

Through its Expertise Management Programme (EMP), EFSA will complete its efforts to develop a comprehensive competency-based approach to talent attraction, career management and talent retention for staff and experts. This is a key factor in enhancing performance and reputation, in line with good practice and supported by best technology tools to achieve efficiency gains.

INFORMATION MANAGEMENT PROGRAMME

Through its Information Management Programme (IMP), EFSA will continue its efforts to set up organisation-wide information governance by defining roles, responsibilities, authorities and accountabilities for the complete information lifecycle, as well as to strengthen its quality orientation with the definition of an efficient records and correspondence management in line with EU standards.

²¹ As an example, the cloud tender, led by EFSA on behalf of 20 agencies, proved a success generating €2.5 million overall cost savings. The grouping of tenders will be explored for external audit, LinkedIn, equipment maintenance, telephone and banking services.

CUSTOMER RELATIONSHIP MANAGEMENT

As part of the IMP, EFSA will launch a corporate Customer Relationship Management (CRM) in 2018-2019. The project aims at centralising the management and analysis of EFSA's customer and stakeholder relations with: the European Commission, European Parliament and Member States; key partners, such as Member State national authorities, Focal Points, Article 36 organisations; international partners; EFSA experts; and other stakeholders, such as applicants and data providers, as well as participants to EFSA's events.

3. Financial and human resource outlook for 2017-2020

3.1. Overview of past and current situation

The EU multi-annual financial framework for 2014–2020 translates the EU's political priorities into a financial reality. For EFSA – considered a 'cruising speed' agency – this entails a reduction of 2% of posts in 2017 and 1% in 2018. The EFSA budget is expected to remain stable at around €79.2 million until 2018, and increase to €82.5 million by 2020.

The resource allocation for the period reflects the following main drivers:

- A reduction of the establishment plan until 2018 as per the multi-annual financial framework, resulting in an overall reduction of EFSA's workforce by 36 posts. This is addressed by maximising efficiency gains and applying negative priorities.
- A most likely stable EFSA budget until 2018, with steadily increasing personnel cost, as rises in salaries and occupancy rate are not compensated by the reductions in the establishment plan. This results in an increase in Title I, which can only be compensated by decreases in Title II and Title III, made possible through the relentless drive for efficiency gains and by applying negative priorities. The expected budget increase in 2019-2020 should be sufficient to cover increased personnel costs, in particular for 2020.
- New tasks expected by EFSA in the areas of regulated products, plant health and data collection, which will generate additional workload, in particular in the following areas:
 - pesticides: new requests regarding the approval of active substances and the assessment of co-formulants, and the assessment of endocrine active substances under Reg. 1107/2009;
 - novel foods: additional tasks introduced by the new regulation – i.e. a centralised assessment by EFSA as from 1 January 2018, and a fast-track procedure for traditional foods from third countries – imposing strict deadlines on EFSA;
 - plant health: following approval of the new regulation by the European Parliament, a particular focus will be on preventing the introduction and outbreaks of new plant pests, with new tasks related to horizon scanning and surveillance support for Member States to be set up and implemented during 2017-2020 (and probably beyond); an increased workload is also expected due to the categorisation of plant pests, which started in 2014 and will continue 2017-2020 with a considerably higher number of assessments.
- Stable resources allocated to general risk assessment (SO1). As indicated above, the amount of work in the area of plant health will increase from 2017 onwards due to requests within the context of the new plant health regulation. While the number of other requests for scientific advice should remain relatively stable over the years, at an average of approximately 60-80 questions per year, 40-50 additional questions for the categorisation of plant health pests are to be expected.
- High workload in the area of regulated products (SO1). This generated a backlog of evaluations, particularly in the pesticides area, which is progressively being absorbed, over a timespan stretching beyond 2020, through re-prioritisation of activities and the provision of additional resources²². Additional workload is also expected due to new tasks in the areas of pesticides and novel foods (see above), requiring a substantial workforce increase. Conversely, the workload related to health claims and dietary reference values is expected to decrease, but with a smaller impact.
- Relative stability of resources allocated to communications and stakeholder engagement (SO1), with strengthened efforts in engagement from 2017 onwards.
- Relative stability of resources allocated to expertise management and cooperation (SO3) as well as horizontal services, governance, coordination and support (SO5), but increased

²² Ten additional short-term contract agents were requested in 2015. The deployment of this additional workforce capacity started in the fourth quarter of 2015 and was finalised in 2016.

demand for new data collections in the area of evidence management (SO2), and for methodological development/preparedness (SO4) in the area of plant health.

- Stable year-on-year investment on modernising EFSA, i.e. organisational development projects and self-task activities, to support strategy implementation towards fulfilling customer expectations and keeping EFSA a relevant global risk assessment player (SO1-SO5).

3.2. Resource programming for 2017-2020

Financial resources

Figure 1 shows the (forecast) distribution of financial resources by strategic objective in 2016-2020.

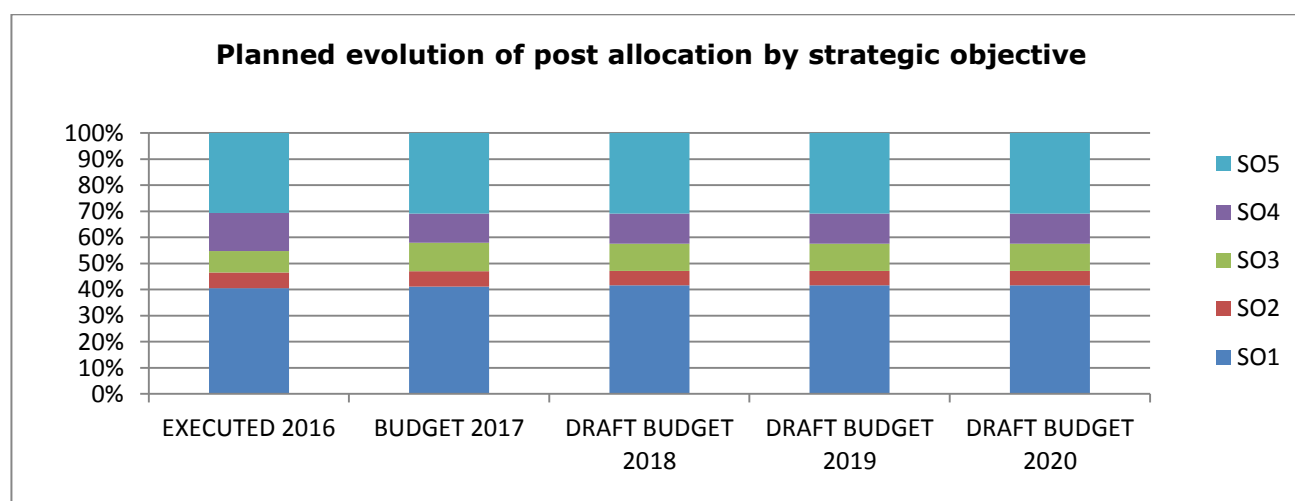


Figure 1: Financial resources by SO in 2016-2020

Human resources

Figure 2 shows the (forecast) allocation of human resources by strategic objective in 2016-2020.

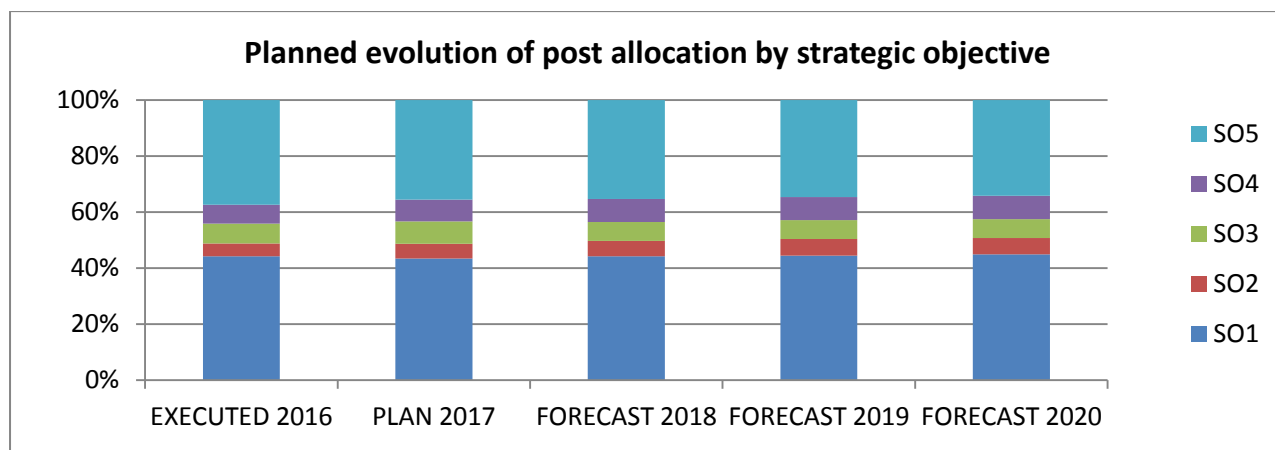


Figure 2: Human resources by SO in 2016-2020

The following table gives an overview of human resources by category in 2016-2020.

Table 7: Human resource overview

| HUMAN RESOURCES | 2016 | 2017 | 2018 | 2019 | 2020 |
|---------------------------------------|----------------|----------------------|----------------------|----------------------|----------------------|
| | BUDGET REQUEST | DRAFT BUDGET REQUEST | DRAFT BUDGET REQUEST | DRAFT BUDGET REQUEST | DRAFT BUDGET REQUEST |
| Establishment plan posts: AD | 230 | 227 | 226 | 226 | 226 |
| Establishment plan posts: AST | 100 | 96 | 93 | 93 | 93 |
| Total establishment plan posts | 330 | 323 | 319 | 319 | 319 |
| Contract agents | 125 | 125 | 125 | 125 | 125 |
| Seconded national experts | 15 | 15 | 15 | 15 | 15 |
| TOTAL STAFF | 470 | 463 | 459 | 459 | 459 |

Capacity vs demand balance

Focusing on human resources, EFSA is implementing actions aiming at efficiency gains by generating an extra 15% capacity in five years. Part of the added capacity is linked to occupancy rate improvements (from 93.8% in 2014 to 98.4% expected in 2017) obtained by improving the recruitment process as well as optimising the use of interim resources for covering long-term absences. The remaining extra capacity shall be generated via efficiency initiatives, as detailed in the table below.

Table 8: Sources of human resource capacity increase (FTEs)²³

| SOURCE | PROGRAMME | PROJECT | 2015 | 2016 | 2017 | 2018 | 2019 |
|---------------------------------|----------------------------------|--|------|------|------|------|------|
| Efficiency gains | Information Management Programme | EFSA Journal outsourcing | 0.0 | 1.0 | 10.0 | 10.0 | 10.0 |
| | | EFSA website update (AGORA) | 0.0 | 1.5 | 1.5 | 1.5 | 1.5 |
| | | Information Access Management (IAM) & metadata | 0.0 | 0.0 | 0.1 | 0.1 | 0.1 |
| | | Open ScaIE | 0.0 | 0.0 | -0.5 | -0.5 | -0.5 |
| | | Records and correspondence management | 0.0 | 0.0 | 0.5 | 0.5 | 0.5 |
| | | Regulated products workflow (MATRIX) | 0.0 | 0.0 | 0.0 | 7.5 | 7.5 |
| | | Scientific Data Warehouse (SDWH) | 0.0 | 1.3 | 2.0 | 2.1 | 2.1 |
| | | Total | 0.0 | 3.8 | 13.5 | 21.2 | 21.2 |
| | STEP 2018 | STEP 2018 and paperless workflow | 14.0 | 17.0 | 19.0 | 19.0 | 19.0 |
| | Expertise Management Programme | Missions centralisation and travel outsourcing | 0.0 | 0.0 | 0.0 | 9.0 | 9.0 |
| | | Obligations and rights management (SYSPER) | 0.0 | 0.0 | 0.0 | 2.0 | 2.0 |
| | | Talent management | 0.0 | 0.0 | 0.0 | 5.0 | 5.0 |
| | | Total | 0.0 | 0.0 | 0.0 | 16.0 | 16.0 |
| Efficiency gains total | | | 14.0 | 20.8 | 32.5 | 56.2 | 56.2 |
| Increased occupancy rate impact | | | 4.0 | 11.0 | 21.0 | 24.0 | 24.0 |
| Total generated capacity | | | 18.0 | 31.8 | 53.5 | 80.2 | 80.2 |

²³ Figures indicating efficiency gains are to be considered as cumulative, e.g. 'Missions centralisation and travel outsourcing' will produce efficiency gains of 9 FTEs in 2018, which will be carried over to 2019 and onwards.

Assuming that the overall demand for resources generated by development initiatives remains stable over the years, the increased human resource capacity will be used mainly to: cover the mandatory reduction of posts in the establishment plan (36 posts in 2013-2018); face increased complexity of scientific work; meet increased workload linked to certain core activities; and confront increased efforts required to improve transparency and stakeholder engagement. The table below shows the expected impact on human resource demands from these sources.

Table 9: Sources of human resource demand increase (FTEs)

| IMPACT | SOURCE | 2015 | 2016 | 2017 | 2018 | 2019 |
|---------------------------------------|--|--------------|--------------|--------------|--------------|---------------|
| Post reductions | | -18.0 | -24.0 | -31.0 | -36.0 | -36.0 |
| Increased complexity ²⁴ | | -4.0 | -8.0 | -12.0 | -16.0 | -20.0 |
| Increased workload | Novel foods | | -3.0 | -6.0 | -6.0 | -6.0 |
| | Pesticides (criteria for endocrine disruptors) | | -3.0 | -3.0 | -3.0 | -3.0 |
| | AIR IV (additional tasks) | | -7.0 | -6.0 | -6.5 | -5.0 |
| | Co-formulants in PPPs ²⁵ | | -0.3 | -1.0 | -1.5 | -2.0 |
| | Pests categorisation, pest horizon scanning system, and plant pest surveillance system | | | -5.0 | -5.0 | -5.0 |
| | EU Agencies Network (coordination) | | -1.0 | -6.4 | -0.6 | |
| Increased work load total | | | -14.3 | -27.4 | -22.6 | -21 |
| Increased transparency and engagement | | 0.0 | -8.0 | -13.0 | -18.0 | -23.0 |
| Total demand to be covered | | -22.0 | -54.3 | -83.4 | -92.6 | -100.0 |

It appears from the above two tables that the demand for human resources and the expected capacity increases will not be balanced in the coming years, with an estimated shortfall of 20 FTEs per year on average (yearly figures vary depending on the timing of the changes in demand and capacity).

Table 10: Balance of human resource demand and capacity increases

| | 2015 | 2016 | 2017 | 2018 | 2019 |
|---------------------------------|-------------|--------------|--------------|--------------|--------------|
| Total capacity increases (FTEs) | 18.0 | 31.8 | 53.5 | 80.2 | 80.2 |
| Total demand increases (FTEs) | -22.0 | -54.3 | -83.4 | -92.6 | -100.0 |
| Balance | -4.0 | -22.5 | -29.9 | -12.4 | -19.8 |

The human resource shortfall provides only a partial view on the impact of the increased demand, as shortfalls in specific competency areas are not fully aligned with the areas where extra-capacity is created.

In order to address the gap in human resource capacity, EFSA will continue its efforts towards further efficiency gains while strengthening its capability to predict, measure and manage efficiency gains (as part of the deployment of its results-based approach). Where additional efficiencies do not cover the expected human resource shortfall, EFSA will have to request additional workforce from the budgetary authorities or apply negative priorities, which it may be necessary for EFSA to identify.

In this context, it should be noted that EFSA always prioritises its core activities, i.e. responding to requests from its customers, while safeguarding the necessary investment for development

²⁴ Calculated as 2% of resources per year

²⁵ Plant Protection Products

and initiatives to ensure EFSA remains relevant and prepared in the medium to long term. A human resource shortfall will lead to a decrease of resources available for the implementation of EFSA's five-year strategy. This will potentially affect the pace of the transformation – in particular in the areas of expertise management (services to experts and staff), cooperation, capacity building and sharing (particularly in the area of international cooperation), and preparedness (scientific assessment data and methods) – as well as the level of ambition in EFSA's communications and engagement with stakeholders throughout the risk assessment process.

Section III. Final work programme 2017

1. Executive summary

In 2017, EFSA will have an extensive programme of scientific work addressing and communicating on approximately 400 requests of risk managers for scientific advice on the evaluation of applications for regulated products, and approximately 100 requests on priorities related to food and feed safety, animal health and welfare, plant health, and human nutrition. To further improve the provision of such advice, both in quality and efficiency, EFSA will carry out key initiatives guided by the multi-annual implementation plan set in 2016 to achieve EFSA's five strategic objectives.

Key activities to advance risk assessment include the development of guidance on weight of evidence, biological relevance in scientific assessment and risk assessment of nanoparticles. EFSA will further develop multi-sectoral activities on AMR in collaboration with other EU Agencies (EMA, ECDC) and will prioritise the development of preparedness in plant health, such as via horizon scanning and surveillance support to Member States. In 2017, EFSA will chair the meeting of the International Microbiological Food Safety Liaison Group (IMFSLG), and will also host the first meeting of the new International Food Safety Risk Assessment Liaison Group. These groups work to enhance information sharing, and foster better understanding and agreement between relevant governmental organisations on risk assessment methodologies and approaches.

In the context of EFSA's efforts to enhance participation of stakeholders in its scientific work, EFSA will complete a pilot project involving a consultative 'focus group' for guidance on the allergenicity assessment of genetically modified plants, and will roll out a series of prioritised measures. EFSA will also pilot innovative approaches such as crowdsourcing and machine learning techniques to promote openness and engagement in risk assessment and strengthen its risk assessment capacity.

EFSA will further enhance and streamline the interaction with applicants in the process of scientific assessment with the progressive implementation of the electronic management of applications (submission, management and communication) through the MATRIX project.

Within the continuous broadening of EFSA's evidence base and optimisation of access to its data, the scientific data warehouse becomes the hub for the EFSA open data strategy. In collaboration with ECDC, EFSA will extend its data collection and reporting capability to include the area of molecular typing. A pilot study will start to test the electronic data transmission of the new sample-based data collection on annual veterinary drug residues.

To foster scientific cooperation, EFSA will expand grant opportunities with a call for proposals for partnering projects, which will be in addition to the existing thematic grants and framework partnership agreements. This year should also mark the start of the implementation of the fellowship programme with national food agencies and Article 36 organisations.

Through its Brussels liaison office, EFSA will promote the organisation of joint meetings and events with other institutions on relevant corporate or scientific topics. As in 2017 EFSA will hold the Presidency of the EU Agencies Network, the Authority will take the lead role in improving effective relations among EU Agencies.

In the area of risk communication, EFSA will embark on the development and use of state-of-the-art web technologies and methodologies, including social media and online collaboration tools. EFSA will also conduct a pan-European survey to gain insights into risk perception related

to relevant topics. Together with the Communications Experts Network (CEN), EFSA will create a communications plan based on the results.

EFSA will continue to implement international and European quality standards in all areas of its activities, and will further strengthen its performance and results based approach. Corporate services will focus on obtaining the EMAS certification, as recommended by the European Commission and the OHSAS 18000 certification aimed at minimising risks to employees and improving the organisation's health & safety management. Finally, in 2017, EFSA will strengthen its decision-making framework and reorganise its assurance functions (risk management, internal control standards etc.) as part of an overall governance and accountability policy, and will finalise its new Independence Policy.

2. Activities per strategic objective

2.1. Prioritise public and stakeholder engagement in the process of scientific assessment

General risk assessment

The implementation of the TERA project measures will continue at full speed, with the roll-out of additional measures such as the increased use of consultations throughout the risk assessment process and more transparency in the publication of minutes.

EFSA will continue working on mandates in the areas of food hygiene, food-borne zoonoses such as transmissible spongiform encephalopathies (TSEs), and antimicrobial resistance (AMR).

In the area of food hygiene, EFSA will provide scientific opinions on microbiological criteria, while in the area of food-borne zoonoses, EFSA will provide advice on *Listeria monocytogenes* and on food-borne viruses such as Hepatitis E (HEV). In the area of TSEs, EFSA will work on scrapie, chronic wasting disease in cervids, BSE cases in animals born after the total feed ban, as well as a simplified approach to hazard analysis and critical control points (HACCP) for small retail establishments. Through cross-departmental collaboration, EFSA will produce statements on the qualified presumption of safety (QPS).

In the area of contaminants and chemical hazards, EFSA will publish opinions on pharmacologically active substances, natural toxins, as well as on environmental and process contaminants in food and feed (dioxins, perfluoroalkylated substances, chlorinated paraffins). EFSA will provide outputs on the detoxification of contaminants in feed, mycotoxins and natural toxins in food and feed, pharmacologically active substances in foods of animal origin, and process contaminants, e.g. furans.

In co-operation with ECDC, EFSA will deliver the yearly European Union summary report on trends and sources of zoonoses, zoonotic agents and food-borne outbreaks. EFSA will also deliver the yearly European Union summary report on antimicrobial resistance in zoonotic and indicator bacteria from humans, animals and food, and the yearly European Union summary report on TSE, as well as the annual report on the results from the monitoring of veterinary medicinal product residues and other substances in live animals and animal products. Other joint ECDC/EFSA technical reports include rapid outbreak assessments (ROAs) as appropriate.

EFSA will continue providing plant health risk assessments for plant pests and pathogens for the EU territory, as well as peer review pest risk assessments and other justification documents prepared by third parties. It will further provide risk assessments and communications on newly emerging plant pests and pathogens (e.g. *Xylella fastidiosa*), and produce other outputs, including state-of-the-art reports on biology, epidemiology and control, based on advanced research results. EFSA will also continue the risk assessment work to update the legislative annexes in support of the new EU quarantine plant health law. To this end, it will deliver fit-for-purpose and stepwise advice, developing pest categorisations, complete pest risk assessments and an evaluation of the effectiveness of risk reducing options. In this context, EFSA will start work on a new mandate to deliver pest categorisations for the remaining legislative annexes. In 2014, EFSA delivered 40 pest categorisations; in 2017-2020, it expects to work on 150 others.

Requests from the European Commission related to the categorisation and prioritisation of animal diseases in the context of the new animal health law have been received for 2016, and further requests are expected for 2017. EFSA will provide an output on animal welfare at the time of slaughter, and review scientific updates on main stunning methods. EFSA will further provide outputs on specific diseases depending on the disease context, and will continue its support and risk assessments related to outbreaks of African swine fever, Lumpy skin disease and Avian influenza.

In the area of food contact materials, EFSA will continue the protocol development for the re-evaluation of BPA safety, which started in 2016. The European Commission is expected to send other mandates in this area, including on the risk assessment of phthalates and heavy metals in ceramics.

In the area of nutrition, EFSA will deliver scientific advice on dietary reference values (DRV) for vitamin K and riboflavin, and will also work on advice on DRV for sodium and chloride. EFSA expects to receive a request from the European Commission to revise the Tolerable Upper Level Intake for vitamin D in infants, and will also work on preparing scientific advice on the appropriate age for the introduction of complementary feeding for infants.

EFSA's scientific risk assessment is supported by algorithmic tools and methodological approaches to expert knowledge elicitation, literature reviews, as well as traceability and machine learning. Further support to activities requiring ad-hoc data collection, occurrence analysis and/or dietary exposure assessment is provided through cross-departmental collaboration.

Regulated products

EFSA will continuously engage with stakeholders, via the creation of stakeholder discussion groups, throughout the entire MATRIX project development. In 2017, EFSA will start the implementation of the first phase of the MATRIX project regarding the electronic management of applications (submission, management and communication).

The REPRO Department's continuous developing and monitoring of new support initiatives (webinars, info sessions etc.) for applicants and other stakeholders aims to enhance the engagement with applicants throughout the applications life-cycle and to investigate possible ad-hoc support to small and medium-enterprise (SME) applicants, e.g. through an EFSA SME Office.

The re-evaluation programme of food additives will continue to finalise the evaluation of gums, starches, celluloses and pectins, and to prepare opinions on fatty acids and its salts and citrates. EFSA will continue to assess new food additives, as well as extensions of use or changes in the specifications of already authorised food additives. Preparatory work and launches of data calls will continue in the areas of food additives in infant formulae, dietary foods for infants for special medical purposes and special formulae for infants, and food additives for use in food supplements for infants and young children. The latter will be performed once the relevant guidance is adopted by EFSA's Scientific Committee.

EFSA will deliver scientific advice on food enzymes, following the multi-annual work programme agreed with DG SANTE in 2016. In order to foster stakeholder engagement, a series of open calls for data will be published on the EFSA website, so as to ensure the input and participation of stakeholders in the collection of data on the use of enzymes in the different processes. Up to 18 calls can be expected, corresponding to the number of food processes defined by the European Commission, and EFSA may consult on one or more food processes in each call. EFSA will also continue working on the remaining food flavourings on the EU list, such as benzophenone and ethyl acrylate, for which additional data have been requested, and expects to receive an increased number of new applications for flavouring substances.

The annual number of dossiers in the area of additives and monomers for plastic materials and articles in contact with food and recycling plastics is expected to remain stable. EFSA estimates to receive around one or two requests for the evaluation of the safety and efficacy of treatments to remove microbial surface contamination from foods of animal origin.

Regarding the re-evaluation of existing feed additives, EFSA plans to significantly reduce the number of dossiers currently under evaluation. EFSA will work on the assessment of new feed additives, new uses of existing feed additives, and the modification and renewal of existing authorisations.

In the area of genetically modified organisms (GMO) in food and feed, the work programme for 2017 includes the evaluation of applications for the use of GMOs as well as for cultivation uses. This also includes the assessment of renewal applications of GMOs that were authorised more than 10 years ago.

In the area of nutrition, EFSA will continue to evaluate applications for health claims and novel foods. An increased number of requests for novel food evaluations has been observed since the second half of 2016, and the trend is expected to continue in 2017, as this period represents the transitional phase before the entry into force of the new regulation for novel food²⁶ on 1 January 2018, which introduces a centralised evaluation by EFSA and the possibility to notify traditional foods from third countries. In the area of infant nutrition, EFSA will evaluate the safety and suitability for use by infants of a follow-on formula with lower protein content. EFSA will work on applications for foods for special medical purposes, and on applications for the exemption from labelling of food allergens.

In the area of pesticides, EFSA will continue with the second batch of the third renewal group (AIR-III) of active substances for peer review, and complete several public consultations on EFSA's scientific opinions and guidance documents. Two areas of particular relevance for 2017 are the cumulative risk assessment of pesticides, which is progressing with the publication of EFSA's first scientific assessments following the methodology it has developed, and the use of epidemiological data in risk assessment. The database comprising the list of endpoints of active pesticides substances assessed by EFSA will be populated and needs to be linked with EFSA's data warehouse.

The backlog reduction in the area of MRL reviews will continue in line with the implementation plan. The benefits of additional staff deployed in 2016 will start to be noticeable in 2017, contributing to reducing the backlog for article 12 MRLs (review of MRLs of all active substances). For article 10 MRLs (setting of a new MRL or modification of an existing MRL), EFSA expects to meet the legal deadlines.

The yearly summary report on pesticide residues will be produced including additional data quality checks and improvements regarding the connectivity with EFSA's data warehouse. EFSA will also update its risk assessments regarding the risk of neonicotinoids to bees.

In 2017, EFSA will continue its work on technical reports to provide guidance for the assessment of derogations to pesticide legislation for plant health threats as described in Article 4.7 of Regulation (EC) No 1107/2009. The last report on fungicides derogation applications will be delivered, and a public consultation on the three reports (insecticides, fungicides, herbicides) will be launched. EFSA will continue reviewing specific applications for derogation from the regulation.

In the area of animal welfare, EFSA will finalise the evaluation of the application for LAPS (low atmosphere pressure stunning systems) following provision of data by the applicant. In the area of animal by-products, EFSA expects to receive requests for the evaluation of application dossiers on alternative methods for processing animal by-products.

Cross-departmental support will continue in response to requests for technical support in the scientific evaluation of regulated products, such as the assessment of the dietary exposure to pesticide residues, food additives, enzymes and flavouring substances.

²⁶ Regulation (EU) 2015/2283.

Stakeholder engagement and communication

EFSA envisages further development of better contextualised communications for both risk managers and the general audience. Communication materials will continue to be tailored and focused on the impact of EFSA's work on human health, animal health and the environment. Through the partnership with a professional publisher and state-of-the-art tools, EFSA will continue improving the editorial quality and accessibility of its scientific outputs and the reproducibility of its scientific assessments. The initiative will also be supported by the continued improvement of the EFSA website. EFSA uses a variety of secondary communication materials to make its science accessible to a wider audience. To this end, EFSA will further explore the possibility of adding plain language summaries to its suite of tools to further extend the reach and impact of EFSA's communications. A benchmarking of plain language summaries used by other science-based organisations will lead to recommendations on formats or templates suitable for EFSA and a proposal for a pilot programme in 2017. EFSA will develop its digital collaboration approach to enhance the engagement of partners and stakeholders active in EFSA's value creation process. Well beyond technological support, the digital collaboration project – as part of the Information Management Programme – will begin implementing a roadmap to introduce the cultural and organisational changes needed to improve how people work together and share information with each other. EFSA will build on the progress it made in the area of multimedia, using established tools like interactive infographics and videos, as well as new tools such as data visualisations, to make EFSA's work more accessible and comprehensible to different audiences.

Research into how stakeholders perceive EFSA will continue in 2017, with a view to better understanding the drivers that impact on EFSA's reputation. Work in this area is designed to support EFSA's broader efforts related to openness and transparency. EFSA will also conduct a pan-European survey to gain insights into risk perception related to relevant topics. In cooperation with the Communications Experts Network (CEN), EFSA will create a communication plan based on the results.

EFSA will focus on increasing transparency, openness and stakeholder dialogue, and develop tools to systematically monitor users' expectations and satisfaction. EFSA will ensure effective liaison and engagement with EFSA's stakeholders through its communication channels in order to respond to their needs and expectations. The year 2017 will see a new approach to stakeholder engagement, designed to improve the way external stakeholders interact with EFSA at different stages of the risk assessment process. Linked to this strategic initiative, EFSA will begin the implementation of its roadmap for the development and use of innovative web technologies and methodologies, including social media and online collaboration tools. With the support of its Brussels liaison office, EFSA will focus on promoting the organisation of joint meetings and events on relevant corporate or scientific topics.

The launch of the social media project will expand EFSA's social media presence by decentralising its activities on three different levels. At the top level, corporate communication on EFSA's priorities and events to a broad audience will continue via the corporate accounts. At a second level, EFSA will pilot thematic accounts that target specific audiences with stakeholder-oriented communication, information and opportunities for engagement. Finally, brand ambassador communication through personal accounts of managers and active staff will give EFSA a more human face, providing a personal approach and multiplying corporate messages when communicating and engaging on EFSA-related topics.

Table 11: Input indicators for SO1 (FTEs and Budget as full cost of all Titles)

| INPUT INDICATORS | | | |
|--|-----------------------------|---------------|-------------------|
| Total SO1 | Resources invested per year | Executed 2016 | Draft 2017 |
| | FTEs | 200 | 198 ²⁷ |
| | Budget (K, €) | 32.33 | 32.63 |
| Scientific – general risk assessment | | | |
| Input subKPI | FTEs | 49 | 43 ²⁸ |
| | Budget (K, €) | 9.67 | 8.70 |
| Scientific – regulated products evaluation | | | |
| Input sub-KPI | FTEs | 121 | 122 |
| | Budget (K, €) | 18.33 | 18.71 |
| Communication & engagement | | | |
| Input sub-KPI | FTEs | 30 | 32 |
| | Budget (K, €) | 4.33 | 5.22 |

Table 12: Activity and output indicators for SO1

| ACTIVITIES – OUTPUT INDICATORS | | |
|--|--|----------------------|
| Scientific – general risk assessment | | |
| Indicator | Achieved 2016 ²⁹ | Target 2017 |
| Number of questions delivered for scientific outputs and technical reports | 60 (forecast) | 114 ³⁰ |
| Number of questions delivered for 'other publications' ³¹ (external reports, event reports) | 74 (forecast) for all activities ³² | 7 (external) |
| Proportion of scientific/technical questions adopted within deadline | 100% | 100% |
| Scientific – regulated products evaluation | | |
| Indicator | Achieved 2016 | Target 2017 |
| Number of questions delivered for scientific outputs and technical reports | 373 (forecast) | 408 |
| Number of questions delivered for 'other publications' (external reports, event reports) | 74 for all activities | 2 (external reports) |

²⁷ The decrease in 2017 compared to 2016 is mainly due to: i) a different classification of the DATA Unit's contribution to the EU Summary Reports, now classified under SO2 together with the general data collection activities; ii) the classification of all guidance and methodological development by RASA and REPRO Units under SO4; and iii) a shift of resources to the panel renewal activities in 2017 under SO3.

²⁸ Please see previous footnote.

²⁹ To be confirmed at the end of 2016.

³⁰ The significant increase as of 2017 is due to new requests to be received for plant pest categorisation (approximately 150 questions in 2017-2019), which have a lower complexity compared to regular questions.

³¹ According to definitions of EFSA outputs <http://www.efsa.europa.eu/en/efsajournal/scdocdefinitions>.

³² Allocation to SO is not available for 2016, as this way of classification is new as of 2017.

| ACTIVITIES – OUTPUT INDICATORS | | |
|---|---------------|------------------|
| Indicator | Achieved 2016 | Target 2017 |
| Number of questions in backlog in PRAS (art. 12 only) | 46 | 45 ³³ |
| Proportion of scientific questions adopted within deadline | 90% | 90% |
| Number of service catalogue activities with applicants (meetings, webinars, info sessions etc.) | 50 per year | +10% |
| Percentage of positive feedback on regulated product opinions from applicants | TBD in 2017 | TBD in 2017 |
| Communication & engagement | | |
| Indicator | Achieved 2016 | Target 2017 |
| Proportion of scientific outputs delivered within 28 working days of adoption (%) | TBD in 2017 | 85 |
| Number of i) media and ii) stakeholder enquiries addressed within agreed deadlines | TBD in 2017 | TBD in 2017 |
| Number of public consultations on EFSA outputs | TBD in 2017 | TBD in 2017 |
| Percentage of positive feedback from engagement activities carried out with registered stakeholders | TBD in 2017 | TBD in 2017 |
| Total number of registered stakeholders | 70 | 85 |

Table 13: SO1 – Key process and project milestones

| KEY PROCESS AND PROJECT MILESTONES | 2016 | 2017 |
|--|------|------|
| Stakeholder Engagement Approach (SEA) | | |
| Pilot year – successful implementation of initial SEA measures (e.g. Stakeholder Forum and Stakeholder Bureau), baseline setting for positive feedback. | | X |
| MATRIX project | | |
| Start of execution phase (August 2016). Development of detailed workflows with associated communications for piloting areas (PRAS, FEED, GMO). Evaluation of formats for building structured dossiers. | X | |
| Piloting workflows for PRAS, GMO, FEED. Definition of dossier structure and creation of dossier builder. | | X |
| Reputation Barometer | | |
| Pilot survey. | | X |
| TERA | | |
| Roll-out of TERA measures according to plan as presented to MB in June 2016. Focus on: publishing timely and more detailed minutes of scientific meetings; agreeing on guidelines for use of consultations across risk assessment process; enhancing use of consultations in different steps of risk assessment process (including pilot on draft mandates); introducing consultation meetings with MSs authorities; enhancing transparency on re-opening of opinions process. | | X |

³³ The full plan foresees a total of 269 adopted questions by the end of 2021 (46 in 2016, 45 in 2017, 35 in 2018, 47 in 2019, 48 in 2020 and 48 in 2021).

| KEY PROCESS AND PROJECT MILESTONES | 2016 | 2017 |
|---|------|------|
| Social media | | |
| Launch pilot of thematic and personal accounts | X | |
| Strategy review and recommendations Implementation plan: Roadmap and action plan | | X |
| COMMS digital collaboration | | |
| Envisioning workshop | X | |
| Detailed analysis | | X |
| Launch and curation of pilot communities | | X |

2.2. Widen EFSA's evidence base and optimise access to its data

Building on the SDWH, EFSA will continue streamlining the management of standard data collections and broadening its data collections to address the needs of risk managers. EFSA will continue to provide library and access-to-literature services. These activities underpin the scientific work of EFSA, and enable the gradual opening of EFSA's evidence to stakeholders. Ad-hoc data collection reports are expected to continue to be delivered upon request from risk managers.

In 2017, EFSA will continue to deliver new capabilities for data collection and scientific collaboration. The molecular typing project, carried out in collaboration with ECDC, will be fully operational. The feasibility of extending this collaboration tool to collecting and reporting data on whole genome sequencing (WGS) will be explored. The standard sample description 2.0 pilot is in its third year of implementation with Member States. Training will be provided to Member State data providers to transmit to EFSA sample-based data on veterinary medicinal product residues using this standard. The last phase of the EU menu project will incorporate food consumption data collected from remaining countries. EFSA will further support the implementation of the food classification and description system (FOODEX2 project).

EFSA will engage in supporting data collections and management activities related to plant and animal health, fostering the acquisition and availability of data for environmental risk assessment.

The information management programme will continue developing a framework for information access management and, building on the success of the SDWH, will explore the process of assigning digital object identifiers (dois), so as to link EFSA outputs to underpinning data (Data doi project) and evidence (Open SCAIE project). Also, a process for including EFSA metadata in open data platforms, such as the EU open data portal and IPCHEM portal, will be piloted.

EFSA will continue the Open SCAIE project by starting the migration of evidence, and completing the full functionality of the Knowledge Junction community.

Table 14: Input indicators for SO2 (FTEs and Budget as full cost of all Titles)

| INPUT INDICATORS | | | |
|------------------|-----------------------------|---------------|--------------------|
| Total SO2 | Resources invested per year | Executed 2016 | Target 2017 |
| | FTEs | 21 | 24 ³⁴ |
| | Budget (K, €) | 5.25 | 4.64 ³⁵ |

³⁴ The increase in 2017 compared to 2016 is mainly due to a different classification of the DATA Unit's contribution to the EU Summary Reports, now classified under SO2 together with the general data collection activities.

³⁵ The budget reduction in 2017 is related to the closure of relevant projects, such as data warehouse (remaining activities in Q1 2017 have no budget impact) and molecular typing.

Table 15: Activity and output indicators for SO2

| ACTIVITIES – OUTPUT INDICATORS | | |
|--|------------------|------------------|
| Indicator | Achieved 2016 | Target 2017 |
| Number of questions delivered for scientific outputs and technical reports | 15 (forecast) | 10 |
| Number of questions delivered for 'other publications' ³⁶ (external reports, event reports) | 15 (forecast) | 15 |
| Proportion of scientific/technical questions adopted within deadline | 100% | 100% |
| Number of operational data collections prepared and opened within deadline (total & open) | 12 ³⁷ | 13 ³⁸ |
| Number of enhancements to operational data collections | TBD (early 2017) | TBD (early 2017) |
| Number of new data collections under implementation | 1 ³⁹ | 2 ⁴⁰ |
| Number of new data collections under design | 2 ⁴¹ | 2 ⁴² |

Table 16: SO2 – Key process and project milestones

| KEY PROCESS AND PROJECT MILESTONES | 2016 | 2017 |
|--|------|------|
| Information Management Programme | | |
| Programme blueprint finalised and approved | X | |
| Programme benefits management methodology finalised | X | |
| Programme and project benefits monitoring in place | X | |
| Programme risk management strategy finalised | X | |
| Change management pilot completed | | X |
| Open ScaIE project | | |
| Repositories identified and agreed | X | |
| Hub technology selected, i.e. Zenodo | X | |
| Metadata standards defined | X | |
| Knowledge Junction community first release live | X | |
| Business process for uploading, managing and curating evidence in place, including assignment of doi's to evidence | | X |
| Repository management web services (API) in place | | X |
| Existing evidence migrated, and metadata populated | | X |

³⁶ According to definitions of EFSA outputs <http://www.efsa.europa.eu/en/efsajournal/scdocdefinitions>.

³⁷ Data collections on: chemical contaminants, veterinary medicinal products residues (VMPP), pesticide residues, food consumption, additive usage, additive occurrence, molecular typing, and zoonoses (5).

³⁸ As in 2016, plus TSE/BSE.

³⁹ TSE/BSE.

⁴⁰ At least two data collections: SSD2-Matrix, and animal health & plant health.

⁴¹ At least two data collections: SSD2-Matrix, and animal health & plant health.

⁴² GEO data.

| KEY PROCESS AND PROJECT MILESTONES | 2016 | 2017 |
|--|------|------|
| Knowledge Junction community fully functional | | X |
| EU Menu | | |
| Three external scientific reports | | X |
| Development of system for assigning doi (DATA) | | |
| Capability (tools and processes) to specify and manage metadata for EFSA's data collections; Pilot (process and tool) for assigning doi to datasets published in EFSA Journal | | X |
| Introduction of a framework for Information Access Management | | |
| To-be recommendation for data collecting models finalised | X | |
| To-be recommendation for controlled terminologies finalised | X | |
| IMM ⁴³ assessment of 4 EFSA public services finalised | X | |
| Architectural interoperability guidelines | | X |
| Oracle service bus and scenarios in production | | X |
| Identity management repository | | X |
| Identity management authentication and authorisation service | | X |

2.3. Build the EU's scientific assessment capacity and knowledge community

The process for renewing membership of EFSA's Scientific Committee and scientific panels will kick off in spring 2017 with the publication of the call for expressions of interest. EFSA will continue to provide learning and development activities for experts, in particular with regard to key areas of risk assessment and EFSA's new guidance documents and methodologies.

The Expertise Management Programme will launch a project to define the talent pool available for EFSA's external experts and the associated attraction levers, aiming at further enhancing the availability of external experts collaborating with EFSA, and in particular supporting the expert panel renewal process (10 panels) in 2017. The programme will also develop best-technology solutions in the area, and a scientific competency library in line with the European Skills/Competences & Occupations (ESCO) framework, to support the efficient and effective assessment of experts' applications.

A strong push to build risk assessment capacity in Member States is expected with the kick-off in 2017 of the EU-FORA fellowship programme to strengthen Europe's capacity in food safety risk assessment. This programme aims at attracting early to mid-career scientists (fellows) to be placed for one year in a competent authority or an Article 36 organisation of another country for on-the-job training in risk assessment.

The Advisory Forum (AF) will continue to strengthen its strategic role in actively steering the EU risk assessment agenda, interacting with other networks such as Article 36 organisations and Focal Points. An EU risk assessment agenda conference will be organised by EFSA involving the different networks. To further strengthen partnerships, the Executive Director visits all EU Member States, stimulating joint projects among them with the support of EFSA.

EFSA will continue using grant schemes to stimulate projects between Member States through the EU risk assessment agenda, expanding the use of thematic grants and framework partnership agreements, and adding a new grant scheme for partnering projects to support knowledge transfer and capacity building among knowledge hubs in Member States. EFSA, in collaboration with Member States, envisions additional mobility and training activities to

⁴³ Interoperability Maturity Model.

strengthen risk assessment capacity building and sharing, e.g. in the area of tracing food-borne outbreaks, planned to kick off in 2017.

Scientific cooperation through EFSA's scientific networks is actively supported by the Focal Points and may be strengthened further following an external review of the networks to be undertaken in 2017. Also in 2017, EFSA will host the first meeting of a new International Food Safety Risk Assessment Liaison Group (IFSRA), with the aim of enhancing information sharing and fostering better understanding and agreement between relevant governmental organisations on risk assessment methodologies and approaches.

Table 17: Input indicators for SO3 (FTEs and Budget as full cost of all Titles)

| INPUT INDICATORS | | | |
|------------------|-----------------------------|---------------|--------------------|
| Total SO3 | Resources invested per year | Executed 2016 | Target 2017 |
| | FTEs | 32 | 37 ⁴⁴ |
| | Budget (K, €) | 6.49 | 8.67 ⁴⁵ |

Table 18: Activity and output indicators for SO3

| ACTIVITIES – OUTPUT INDICATORS | | |
|--|---------------|-------------|
| Indicator | Achieved 2016 | Target 2017 |
| Number of MS cooperation activities (network meetings, national FP events/workshops) | 73 | 75 |
| Number of cooperation agreements with international and third country organisations | 14 | 17 |
| Number of international cooperation activities (meetings, events, missions) | 19 | 24 |

Table 19: SO3 – Key process and project milestones

| KEY PROCESS AND PROJECT MILESTONES | 2016 | 2017 |
|--|------|------|
| Expertise Management Programme | | |
| Programme blueprint finalised and approved | X | |
| Programme benefits defined and approved | X | |
| Programme risk management defined | X | |
| Programme benefits monitored | | X |
| Talent pool defined and shared | | X |
| Competency library for scientific experts defined and in use | | X |
| Evaluation of EFSA's scientific networks – 'integration/streamlining' of various networks | | |
| Launch external evaluation of EFSA's scientific networks | | X |
| European Food Risk Assessment Fellowship (EU-FORA Programme) | | |
| Start with first cohort of fellows | | X |

⁴⁴ The increase of resources in 2017 is mainly related to EFSA's panel renewal.

⁴⁵ Budgets for 2017 and 2018 include amounts related to thematic grants to be launched for scientific development initiatives. Once the initiatives are identified, the related budget will be moved to the relevant SOs.

| KEY PROCESS AND PROJECT MILESTONES | 2016 | 2017 |
|---|------|------|
| Development and implementation of innovative partnership schemes – partnering projects | | |
| Launch call for proposals for partnering projects | | X |
| Evaluate incoming proposals | | X |
| Innovative approach for Article 36 networking and management of the list | | |
| New concept for implementing Article 36 developed | X | |
| Project launched | | X |

2.4. Prepare for future risk assessment challenges

The identification of EFSA's preparedness and methodological needs, the development of relevant actions and their prioritisation, and the implementation of adequate solutions is key for ensuring that EFSA stays at the forefront of regulatory science, and is able to respond in a timely and high-quality manner to the needs of scientific risk assessment. Activities in this area include the revision of existing guidance, as well as the development and harmonisation of new guidance, methods and tools for EFSA's risk assessment needs.

The procedure to identify emerging risks often involves data collection or generation for preparedness. In 2017, EFSA will continue working on framework partnership agreements with Member States for the characterisation of ciguatera food poisoning, the further development of tracing methodologies, and the collection of data on risks to bee health, as well as on developing methodologies for the identification of emerging risks by investigating existing chemical substance databases and analysing food supply chains. A holistic field survey on bee health will be launched to support the development and validation of the MUST-B model, which is currently being developed with the objective of ensuring a holistic multifactorial risk assessment.

Other highlights include media monitoring of emerging plant health risks in the MedSys platform developed in collaboration with the JRC. This work will be expanded to literature monitoring under a new mandate on horizon scanning of plant pests. Based on previous scientific opinions and results of outsourced projects, quantitative methodologies, including quantitative pathway analysis models, will be further developed. Starting from 2017, EFSA will also deliver advice on horizon scanning and surveillance for the early identification of new outbreaks. EFSA will continue the development of databases on plant pests based on the revised structure of the EU database of apple fruit pests and diseases, which was developed within a pilot project to support free-trade agreements. EFSA's cooperation with the Baltic States and Poland on African swine fever will aim to harmonise the collection and analysis of epidemiological data. A cooperation project with Bulgaria, Greece and pre-accession countries will focus on the prevention and control of lumpy skin disease. Under the VectorNet project, data collection on occurrence and abundance of a range of important animal disease vectors will continue.

In the area of biological hazards, EFSA will complete several on-going procurement activities in the area of *Listeria monocytogenes* and of classical scrapie infectivity in sheep embryos, as well as drive thematic grants in the area of whole genome sequencing.

EFSA will start a methodologies programme to ensure a coordinated approach to the development and implementation of guidance and methodologies for risk assessment. The piloting of the PROMETHEUS approach across EFSA will continue, as will the identification of additional guidance to be developed.

In 2017, EFSA will finalise its guidance on uncertainty in scientific assessment, following the completion of an internal testing phase and evaluation of the impact that the implementation of the might have on EFSA's activities and its communication with stakeholders. The guidance will also elaborate on the outcomes of a dedicated research project on communicating uncertainties to different stakeholder communities, as well as on the consequent impact on risk perception. The on-going activities related to sharing information on international practices for dealing with

uncertainty (already started with WHO, OECD, EU-ANSA, non-food scientific committees, BfR and ANSES) will continue during 2017 and possibly culminate in an institutional stakeholder workshop, to take place after the adoption of the guidance document.

EFSA will adopt guidance on substances in foods for infants below 16 weeks of age, weight of evidence, and biological relevance in scientific assessment, and it will revise its previous opinion on TTC.

EFSA will develop best practice and scientific guidance in the area of animal welfare at the time of killing, with the support of Member States' national contact points through the cooperation established under Article 20 of Regulation (EC)1099/2009.

EFSA will support the development of new and/or refined methods and guidance for the assessment of dietary exposure to substances in the remit of regulated products.

In the area of food additives, EFSA expects the adoption of new guidance on nutrient sources in 2017. It is also planned to finalise updated guidelines for data requirements for the safety evaluation of substances to be used in food contact materials, replacing the currently used guidance developed by the Scientific Committee of Food in 2001. This activity is the second phase of a two-step approach that EFSA has agreed with the European Commission.

In the area of GM food and feed, EFSA will focus on the finalisation of the guidance on low-level presence of GMOs, and the guidance on allergenicity assessment of GM plants. This guidance included a pilot project to enhance participation of stakeholders in EFSA's scientific work through a consultative focus group.

In the area of nutrition and food for specific groups, EFSA will continue to update the guidance documents related to health claim applications, and will work on a guidance document for applications for infant and/or follow-on formulae manufactured from protein hydrolysate. The revision of guidance documents used in the feed additives area will continue and will likely be finalised by mid-2018.

In the area of pesticides, EFSA will provide, together with ECHA, advice to the European Commission for technical guidance on the implementation of criteria to identify endocrine disruptors. EFSA will publish scientific reports on cumulative risk assessment, and will initiate work on a landscape-based environmental risk assessment of pesticides. EFSA will adopt opinions on the identification of a complementary testing battery based on *in vitro* or alternative models; on limitations of epidemiological studies in risk assessment; and on risk assessment of pesticides for in-soil invertebrates, amphibians and reptiles. EFSA will also initiate or continue work on the development of guidance documents for amphibians and reptiles, in-soil invertebrates, non-target arthropods, non-target plants, and birds and mammals.

EFSA will continue cooperating with Member States to develop innovative approaches for risk assessment, including toxicokinetic, toxicodynamic and dynamic energy budget models, with a view to integrate these new approaches in human, animal and environmental risk assessment. It will also further explore the use of machine learning, cognitive computing and crowdsourcing in its risk assessment process as means to increase its capacity.

Table 20: Input indicators for SO4 (FTEs and Budget as full cost of all Titles)

| INPUT INDICATORS | | | |
|------------------|-----------------------------|---------------------|------------------|
| Total SO4 | Resources invested per year | Executed 2016 | Target 2017 |
| | FTEs | 30 | 35 ⁴⁶ |
| | Budget (K, €) | 10.01 ⁴⁷ | 8.77 |

⁴⁶ The increase of planned resources is mainly related to: the move of all guidance and methodologies development activities from SO1 and SO2 to SO4; the launch of the Methodologies Programme; the development of the Methodologies Hub; and projects such as Development of Machine Learning Techniques.

⁴⁷ The 2016 budget includes the amount for thematic grants associated with SO4; in 2017 and 2018 the thematic grants budget is allocated under SO3, pending the identification of themes.

Table 21: Activity and output indicators for SO4

| ACTIVITIES – OUTPUT INDICATORS | | |
|--|-------------------------------|----------------------------------|
| Indicator | Achieved 2016 | Target 2017 |
| Number of questions delivered for scientific outputs and technical reports | Included in SO1 ⁴⁸ | 40 |
| Number of questions delivered for 'other publications' (external reports, event reports) | Included in SO1 | 18 (14 external/4 event reports) |
| Proportion of scientific/technical questions adopted within deadline | 100% | 100% |

Table 22: SO4 – Key process and project milestones

| KEY PROCESS AND PROJECT MILESTONES | 2016 | 2017 |
|---|------|------|
| Methodologies Programme | | |
| Concept developed and charter approved | X | |
| Definition of the new activity (programme) to manage cross-cutting methodology development projects, i.e. governance structure and strategies for managing benefits, risks/issues, monitoring, reporting, stakeholder engagement and information. Implementation of the programme | | X |
| Prize contest on innovative ideas | | |
| Hackathon contest | X | |
| Innovation contest in emerging risk scanning area | | X |
| Evidence use in risk assessment(PROMETHEUS) | | |
| Technical report | X | |
| Workshop | | X |
| Set-up of a process and tool for horizon scanning and web-based monitoring for early identification and rapid response in the area of plant health risks | | |
| Mapping developing tools | | X |
| Set-up of a plan for the further development and use of animal-based indicators for animal welfare risk assessment | | |
| Expert knowledge elicitation (EKE) workshop, list of animal-based measures (ABM) | | X |
| Open ScaIE | | |
| Pilot Open ScaIE repository and implementation of R4EU ⁴⁹ (specifically targeted and user friendly online models) | X | |
| Implementation of Open ScaIE and R4EU Development of model building platform for risk assessment community | | X |
| Expert knowledge elicitation (EKE) | | |
| Implementation of EKE process based on guidance | X | |
| Further implementation of EKE process based on guidance and training | | X |
| Cumulative risk assessment of pesticides (phase 2016-2021) | | |
| Two external scientific reports on cumulative exposure of nervous system and thyroid to cumulative assessment groups (CAGs) | X | |
| Four scientific reports on the composition of CAGs for nervous system, thyroid, eye and development; and four technical reports on public consultation Two scientific reports on cumulative RA of the first two CAGs | | X |

⁴⁸ For 2016, it is not possible to differentiate between SO1 and SO4, as the past these were merged under Activities 1 and 2.

⁴⁹ R Services for EU projects.

| KEY PROCESS AND PROJECT MILESTONES | 2016 | 2017 |
|--|------|------|
| Integrating new approaches in chemical risk assessment (toxicokinetic [TK] and dynamic energy budget models [DEB]) | | |
| External scientific report (reviewing available TK data, physiologically-based models, databases, and software for human, animal, and eco risk assessment) | X | |
| External scientific report (database and R-codes of toxico-, physio-, biological variables to calibrate TK models for risk assessment of single chemicals) | | X |
| Modelling human variability (toxicokinetic and toxicodynamic processes) | | |
| External scientific report on data collection on human variability (major phase I) | | X |

2.5. Create an environment and culture that reflects EFSA's values

An increased focus on the delivery of horizontal services (strategy and management policy and standards; corporate oversight, governance and compliance; transactional and support services) will enforce the 'enabling' dimension of this strategic objective.

In order to continue optimising the use of resources ensuring efficiency, accountability, compliance and best value for tax-payers' money:

- EFSA will further review its internal governance framework as part of an overall accountability policy and finalise its new Independence Policy.
- Efforts will be focused on further developing an integrated performance (result) based approach, including the strengthening of a multi-year analytical and forecasting capability. Completion of the enhanced corporate controlling, planning and monitoring as well as the finalisation of the EFSA process architecture will provide defined procedures for improved forecasting of EFSA's results, as well as for the efficient, economical and dynamic allocation of EFSA's resources. Emphasis will also be put on improved project, process and change management capacities throughout the organisation.
- Following the achievement of the ISO 14001 certification, EFSA is about to obtain the EMAS registration and will thus comply with the EU 2020 sustainable growth strategy. EFSA is also focusing on international occupational health and safety management system specifications, targeting the OHSAS 18000 certification in 2017. This certification is aimed at minimising risks to employees and improving the existing OH&S management system. The enhancement of EFSA's business continuity plan will be prioritised in order to ensure the continuity of the organisation's business processes over the occurrence of a disruptive event within a set restoring timing.
- EFSA will continue to monitor customer satisfaction in order to plan improvement actions where results fall short of customer requirements – balancing the economy and cost of those services, also reviewing and realigning processes as needed. Preparatory work will start on developing a customer relationship management capability, to be integrated with the performance management and quality framework.
- Market intelligence will be developed to ensure the enlargement of sourcing tools with the aim of making EFSA tenders more adapted and attractive to economic actors. The gradual implementation of a strategic sourcing approach, managing the supply chain efficiently and in an integrated manner, will progressively substitute the current procurement-by-need planning.
- Information technology services will continue improving quality support to staff and experts by strengthening digitalisation and through improved collaboration, communication and productivity tools. At the same time, they will begin to design the next generation of EFSA's IT supply chain.
- EFSA's financial services will build on the efficiency gains realised in 2016 through further automation, self-service and paperless workflows.

- EFSA will start activities for the third independent external evaluation of its achievements, according to Article 61 of EFSA's Founding Regulation (EC) 178/2002. The evaluation should assess the working practices and impact of the Authority, and take into account the views of stakeholders at both EU and national level.
- As chair of the EU Agencies Network (44 agencies) in 2017, EFSA will lead efforts to improve effective relations among EU Agencies. EFSA will support the development of shared services among the agencies as a way to increase efficiency and synergies while emphasising the contribution of these agencies to EU policies and priorities.
- EFSA will focus on relations with EU institutions (European Commission, Council and Parliament) to support EFSA on budget, discharge and the implementation of its recommendations, as well as on policy/regulatory matters. Highlights include: a scientific event with the European Parliament in the context of Bee Week 2017; addressing the ENVI and AGRI committees and hosting a delegation of the ENVI committee; and addressing chief veterinary officers and plant health officers during the Maltese and Estonian Presidency terms. These activities will also be supported by EFSA's Brussels liaison office.

The Expertise Management Programme (EMP) will play a key role in 2017 to support the deployment of an integrated set of policies, processes and IT tools allowing for efficient talent management. The dedicated project will continue its roll-out plan, focusing in 2017 on the expert panel renewal process, on-boarding and off-boarding, and ensuring that staff and experts are more effectively supported throughout the whole lifecycle of their relationship with EFSA. The pilot phase of SYSPER should also, in a longer-term perspective, support this endeavour. The EMP also encompasses the review of EFSA's Independence Policy and the alignment of its rules for the management of conflicting interests with the policy, which should be adopted in the first part of the year. The pilot project on mission centralisation will be finalised, while the outsourcing of travel management will start with new re-engineered processes and procedures, expected to yield the benefit of having nine FTEs redeployed in 2018.

The information management programme will see the closure of two key projects, i.e. information governance, and correspondence and records management.

Table 23: Input indicators for SO5 (FTEs and Budget as full cost of all Titles)

| INPUT INDICATOR | | | |
|-----------------|-----------------------------|---------------|-------------------|
| | Resources invested per year | Executed 2016 | Target 2017 |
| Total SO5 | FTEs | 169 | 162 ⁵⁰ |
| | Budget (K, €) | 25.33 | 24.50 |

Table 24: Activity and output indicators for SO5

| ACTIVITIES – OUTPUT INDICATORS | | |
|--|---------------|-------------|
| Indicator | Achieved 2016 | Target 2017 |
| Proportion of experts with approved annual DOI (aDOI) before first meeting invitation | 100% | 100% |
| Proportion of experts with approved specific DOIs (sDOI) before participation in an EFSA meeting | 100% | 100% |
| Proportion of original budget committed/paid at year end – differentiated | 100% | 100% |
| Proportion of original budget committed/paid at year end – non-differentiated | 100% / 90% | 100% / 90% |

⁵⁰ SO5 includes both operational and support activities: for details please see Appendix C and Annex I. The decrease in resources for 2017 (FTEs and budget) compared to 2016 is mainly linked to the completion of relevant projects such as 'Step 2018' (organisational redesign) and 'Prime' (project management methodology).

| ACTIVITIES – OUTPUT INDICATORS | | |
|---|---------------|-------------|
| Indicator | Achieved 2016 | Target 2017 |
| Proportion of original science grants and procurement budget committed/paid at year end | 100% | 100% |
| Carry-forward of payments to following year | ≤10% | 10% |
| Service delivery index ⁵¹ | 73% | 77% |
| Transformation performance index (development project execution index) ⁵² | 63% | 78% |

Table 25: SO5 – Key process and project milestones

| KEY PROCESS AND PROJECT MILESTONES | 2016 | 2017 |
|---|------|------|
| Independence Policy | | |
| Concept approved | X | |
| Adoption of new Independence Policy in June 2017 MB session | | X |
| Centralisation of competing interest management | | |
| First phase completed | X | |
| Ex-post review by Management Team of first six months of implementation of desired degree of centralisation | | X |
| Performance and results management approach | | |
| STEP 2018 processes delivered | X | |
| New EFSA Strategy adopted | X | |
| Development of set of impact/outcome/outpour KPIs | X | |
| EFSA process architecture developed | X | |
| Model for streamlining (organisational) compliance and performance (internal audit, risk management, internal control, quality, process management, performance management) | X | |
| Definition of RESU organisation blueprint | X | |
| Definition of performance/results management maturity model and targets (including for efficiency) | | X |
| Definition of process management capability | | X |
| Implementation of new organisational model for compliance and performance management | | X |
| Implementation of RESU organisation blueprint | | X |
| EU Agencies Network (EUAN) | | |
| Preparation of draft EUAN work programme 2017-2018 | X | |
| Coordinate implementation of EUAN work programme 2017-2018 | | X |
| External evaluation | | |
| Charter approved | | X |
| Call launched | | X |
| Correspondence and records management | | |
| New correspondence management process defined and piloted | X | |
| Correspondence management, policy, SOP and WIN finalised | X | |

⁵¹ For the sub-set of mature processes followed.

⁵² For the subset of key projects followed.

| KEY PROCESS AND PROJECT MILESTONES | 2016 | 2017 |
|--|------|------|
| Correspondence management workflow tested | X | |
| Correspondence management workflow finalised | | X |
| Concerned EFSA staff trained on correspondence management policy, SOP and WIN | | X |
| Sunset of legacy tool chrono-in | | X |
| Definition of records in EFSA and related retention period | | X |
| New record management business process | | X |
| Record management policy, SOP and WIN | | X |
| Existing impacted policies and SOPs updated | | X |
| Information governance project | | |
| Information governance framework established | | X |
| 'EFSA information areas' needing information governance established and prioritised | | X |
| Scientific data collection governance (policies, standards, processes, roles & responsibilities) established | | X |
| Impacted stakeholders trained on new governance, policies, process and new roles | | X |
| EMAS certification registration / ISO 14001 certification & certification achievement / OHSAS 18000 certification | | |
| Audits and inspections | X | |
| Audits, inspections and certification achievement | | |
| Preparatory work | X | |
| Registration achieved | | X |
| Organisational development: mission centralisation & travel logistics outsourcing | | |
| Mission centralisation and travel management outsourcing | X | |
| Management Team endorsement and charter finalised | X | |
| Mission centralisation achieved | | X |
| Travel management outsourcing: Call for tender (CFT) awarded | | X |
| Organisational development: processes and procedures reengineered | | X |
| Talent Management | | |
| Sourcing and selection tool for staff | X | |
| Sourcing and selection tool for Panels | | X |

Appendices

Appendix A – Predicted questions closed per strategic objective in 2017

Table 26: Predicted number of questions closed in 2017

| QUESTIONS PER STRATEGIC OBJECTIVE AND TYPE OF EFSA OUTPUT | REPRO | | | | | | RASA | | | | | TOTAL |
|---|--------|------|------------------|-----|-------|------|------------------|-----|------------------|------|------|-------|
| | APDESK | FEED | FIP | GMO | NUTRI | PRAS | ALPHA | AMU | BIOCONTAM | DATA | SCER | |
| SO1 – Prioritise public and stakeholder engagement in the process of scientific assessment | | | | | | | | | | | | |
| SO1 – EFSA scientific outputs – general risk assessment | | | | | | | | | | | | |
| Of which: | | | | | | | | | | | | |
| – Opinion of the Scientific Committee / Scientific Panel | | 1 | | | 2 | | 70 ⁵³ | | 19 ₅₄ | | | 92 |
| – Scientific report of EFSA | | | | | | | | | 6 | 4 | | 10 |
| SO1 – Technical reports – general risk assessment | | | | | 3 | | 4 | | 5 | | | 12 |
| SO1 – Other publications (external scientific reports/event reports) – General risk assessment | | | | | | | | | 7/- | | | 7 |
| SO1 – Sub total – general risk assessment | | 1 | | | 5 | | 74 | | 37 | 4 | | 121 |
| SO1 – EFSA scientific outputs – evaluation of regulated products | | | | | | | | | | | | |
| Of which: | | | | | | | | | | | | |
| – Conclusion on pesticides peer review | | | | | | 40 | | | | | | 40 |
| – Opinion of the Scientific Committee / Scientific Panel | | 50 | 99 ⁵⁵ | 12 | 16 | | | | 1 | | | 178 |
| – Reasoned opinion | | | | | | 121 | | | | | | 121 |
| – Scientific report of EFSA | | | | | | 11 | | | | | | 11 |
| – Statement of EFSA | | | | | | 2 | | | | | | 2 |
| SO1 – Technical reports – evaluation of regulated products | | | | 16 | 5 | 35 | | | | | | 56 |
| SO1 – Other publications (external scientific reports/event reports) – evaluation of regulated products | | | | | | 2/- | | | | | | 2/- |
| SO1 – Sub total – evaluation of regulated products | | 50 | 99 | 28 | 21 | 211 | | | 1 | | | 410 |
| SO1 – Total | | 51 | 99 | 28 | 26 | 211 | 74 | | 38 | 4 | | 531 |
| SO2 – Widen EFSA’s evidence base and optimise access to its data | | | | | | | | | | | | |
| SO2 – EFSA scientific outputs | | | | | | | | | | 2 | | 2 |
| SO2 – Technical reports | | | | | | | | | | 7 | 1 | 8 |

⁵³ 70 questions, from which 25 from AHAW Panel and 45 from PLH Panel.

⁵⁴ 19 questions, from which 13 from BIOCONTAM Panel and 6 from CONTAM Panel.

⁵⁵ 100 questions (99 under SO1 and 1 under SO4), from which 68 for CEF Panel and 32 for ANS Panel.

| QUESTIONS PER STRATEGIC OBJECTIVE AND TYPE OF EFSA OUTPUT | REPRO | | | | | | RASA | | | | | TOTAL |
|--|--------|-----------|------------|-----------|-----------|------------|-----------|----------|-----------|-----------|-----------|------------|
| | APDESK | FEED | FIP | GMO | NUTRI | PRAS | ALPHA | AMU | BIOCONTAM | DATA | SCER | |
| S02 – Other publications (external scientific reports/event reports) | | | | | | | | | | 14 | 1 | 15 |
| S02 – Total | | | | | | | | | | 23 | 2 | 25 |
| S03 – Build the EU’s scientific assessment capacity and knowledge community | | | | | | | | | | | | |
| S03 – EFSA scientific outputs | | | | | | | | | | | | |
| S03 – Technical reports | | | | 1 | | | | | 2 | | 1 | 4 |
| S03 – Other publications (external scientific reports/event reports) | | | | | | | | 2/- | | | | 2/- |
| S03 – Total | | | | 1 | | | | 2 | 2 | | 1 | 6 |
| S04 – Prepare for future risk assessment challenges | | | | | | | | | | | | |
| S04 – EFSA scientific outputs | | | | | | | | | | | | |
| Of which: | | | | | | | | | | | | |
| – Opinion of the Scientific Committee / Scientific Panel | | | | | | 2 | | | 2 | | | 4 |
| – Scientific report of EFSA | | | | | | | | | | | 1 | 1 |
| – Statement of the Scientific Committee / Scientific Panel (general risk assessment) | | | | | | | | | 2 | | | 2 |
| – Guidance of the Scientific Committee / Scientific Panel (regulated products) | | 4 | 1 | 2 | 2 | | | | | | 4 | 13 |
| – Guidance of EFSA (regulated products) | | | | 2 | | 2 | | | | | | 4 |
| S04 – Technical reports | | | | 2 | | 5 | | | 1 | | 8 | 16 |
| S04 – Other publications (external scientific reports/event reports) | | | | - /1 | | 6/- | | 3/- | 3/- | | 2/3 | 14/4 |
| S04 – Total | | 4 | 1 | 7 | 2 | 15 | | 3 | 8 | | 18 | 58 |
| Total questions | | 55 | 100 | 36 | 28 | 226 | 74 | 5 | 48 | 27 | 21 | 620 |

Appendix B – Resource allocation per strategic objective in 2017

Table 27: Resource allocation by SO1 – 2017 projects and processes

| LEADING DEPT. | LEADING UNIT | PROJECT/PROCESS TITLE | OPERATIONS / SUPPORT | TOTAL EFSA RESOURCES PER PROJECT/PROCESS | |
|---------------|--------------|--|----------------------|--|-------|
| | | | | FTEs | K€ |
| COMMS | COMMS | Digital collaboration | 0 | 0.6 | 497 |
| | EXREL | Media relations | 0 | 6.2 | 759 |
| | | Reputation management | 0 | 0.4 | 95 |
| | | Risk communications networks | 0 | 4.8 | 532 |
| | | Stakeholder platform – new approach | 0 | 3.3 | 376 |
| | RISKCOM | Communication tools and dissemination | 0 | 3.8 | 484 |
| | | Communications content development | 0 | 8.9 | 1,191 |
| | | EFSA Journal | 0 | 3.6 | 905 |
| | | Post-publication follow-up | 0 | 1.0 | 95 |
| | | Social media (SOME 2020) | 0 | 0.0 | 99 |
| RASA | ALPHA | AHAW generic opinions – Art 29 | 0 | 9.0 | 1,747 |
| | | ALPHA general scientific and technical assistance – Art 31 | 0 | 2.4 | 545 |
| | | PLH generic opinions – Art 29 | 0 | 10.0 | 2,036 |
| | AMU | AMU general scientific and technical assistance – Art 31 | 0 | 0.4 | 95 |
| | BIOCONTAM | AMT – decontamination dossiers | 0 | 0.2 | 41 |
| | | BIOCONTAM general scientific and technical assistance – Art 33 | 0 | 0.5 | 98 |
| | | BIOHAZ applications – animal by-products | 0 | 1.0 | 165 |
| | | BIOHAZ generic opinions – Art 29 | 0 | 3.7 | 909 |
| | | CONTAM generic opinions – Art 29 | 0 | 8.5 | 1,933 |
| | | Food-borne outbreak investigation | 0 | 0.3 | 34 |
| | | Zoonoses & AMR summary reports | 0 | 4.3 | 539 |
| | DATA | DATA general scientific and technical assistance – Art 31 | 0 | 1.0 | 98 |
| | SCER | Multi-sectoral opinions & statements | 0 | 1.1 | 279 |
| | | Transparency in risk assessment | 0 | 1.2 | 187 |
| REPRO | APDESK | Customer-oriented approach for applications for regulated products | 0 | 1.6 | 148 |
| | | Stakeholders support & webform | 0 | 2.4 | 293 |
| | | The MATRIX project | 0 | 2.8 | 1,826 |
| | FEED | FEEDAD – applications | 0 | 14.7 | 2,300 |
| | | FEEDAD – EC generic requests | 0 | 0.4 | 100 |
| | FIP | BPA project | 0 | 2.8 | 370 |
| | | ENZ – applications | 0 | 6.4 | 927 |

| LEADING DEPT. | LEADING UNIT | PROJECT/PROCESS TITLE | OPERATIONS / SUPPORT | TOTAL EFSA RESOURCES PER PROJECT/PROCESS | |
|---|--------------|--|----------------------|--|--------|
| | | | | FTEs | K€ |
| | | FCM – applications | 0 | 5.2 | 752 |
| | | FCM – generic requests – BPA | 0 | 0.1 | 206 |
| | | Flavour – applications | 0 | 1.6 | 277 |
| | | Flavour – re-evaluation | 0 | 2.9 | 469 |
| | | FOODAD – applications | 0 | 1.1 | 213 |
| | | FOODAD – Art 8 – other substances | 0 | 0.9 | 142 |
| | | FOODAD – re-evaluation | 0 | 6.9 | 1,453 |
| | | Handling urgent requests related to applications, mandates and published outputs | 0 | 0.7 | 85 |
| | | NUTRIENT – applications | 0 | 0.1 | 10 |
| | | Scientific and technical assistance. Regulation (EC) No 178/2002, Article 31 | 0 | 0.2 | 22 |
| | GMO | GMO – applications | 0 | 14.1 | 2,211 |
| | | GMO – urgent / politically sensitive requests | 0 | 1.5 | 164 |
| | | GMO – guidelines on low-level presence (LLP) | 0 | 0.7 | 100 |
| | NUTRI | Age of introduction of complementary feeding | 0 | 0.4 | 77 |
| | | CLAIMS – applications | 0 | 2.6 | 381 |
| | | DRV – EC generic requests | 0 | 4.5 | 666 |
| | | Handling urgent requests related to applications, mandates and published outputs | 0 | 0.4 | 38 |
| | | NOVEL FOODS – applications | 0 | 3.5 | 557 |
| | PRAS | Amendments of the condition of approval of active substances | 0 | 0.1 | 5 |
| | | Annual report on pesticide residues | 0 | 2.6 | 252 |
| | | Approval of basic substances | 0 | 0.1 | 6 |
| | | Approval of new active substances | 0 | 0.3 | 24 |
| | | Assessment of existing MRLs | 0 | 6.2 | 588 |
| | | Commission requests on the assessment of the risks related to MRLs | 0 | 3.4 | 637 |
| | | Commission requests on the review of the approval of active substances | 0 | 22.7 | 2,361 |
| | | Confirmatory information on active substances | 0 | 0.1 | 6 |
| | | MRL applications | 0 | 5.5 | 530 |
| | | Preparation of the annual CCPR meeting | 0 | 0.9 | 83 |
| | | Renewal of the approval of active substances | 0 | 1.6 | 434 |
| RESU | CORSER | Stakeholder platform – new approach | 0 | 0.0 | 183 |
| Total activities under SO1 – Prioritise public and stakeholder engagement in the process of scientific assessment | | | | 197.8 | 32,633 |

Table 28: Resource allocation by SO2 – 2017 projects and processes

| LEADING DEPT. | LEADING UNIT | PROJECT/PROCESS TITLE | OPERATIONS / SUPPORT | TOTAL EFSA RESOURCES PER PROJECT/PROCESS | |
|---|------------------|---|----------------------------------|--|-------|
| | | | | FTEs | K€ |
| RASA | AMU | Library management & services | 0 | 2.2 | 744 |
| | | Open SCAIE Project | 0 | 1.2 | 306 |
| | DATA | Data collection | 0 | 11.1 | 1,777 |
| | | Data collection services | 0 | 1.9 | 177 |
| | | Data warehouse | 0 | 0.3 | 32 |
| | | Developing a system to assign doi to data, allowing the linking of data used in EFSA outputs and tracing of data re-use. doi are key to the success of Open Data. | 0 | 0.5 | 100 |
| | | EU Menu | 0 | 0.5 | 594 |
| | | FOODEX 2 implementation | 0 | 0.1 | 30 |
| | | IPCHeM Project | 0 | 0.1 | 5 |
| | | New data collection on veterinary drug residues | 0 | 0.1 | 8 |
| | | New project: 'Structuring new data types' | 0 | 0.3 | 28 |
| | | Formation of a data exchange/open data networking group to implement interoperability and widen EFSA's evidence base | 0 | 0.2 | 15 |
| | | SSD implementation | 0 | 0.3 | 25 |
| | | SCER | Chemical hazard database | 0 | 0.5 |
| | Hazard databases | | 0 | 0.2 | 131 |
| | RESU | PTT | Information Management Programme | 0 | 3.3 |
| Introduction of a framework for Information Access Management | | | 0 | 1.2 | 144 |
| Total activities under SO2 – Widen EFSA’s evidence base and optimise access to its data | | | | 23.8 | 4,636 |

Table 29: Resource allocation by SO3 – 2017 projects and processes

| LEADING DEPT. | LEADING UNIT | PROJECT/PROCESS TITLE | OPERATIONS / SUPPORT | TOTAL EFSA RESOURCES PER PROJECT/PROCESS | |
|---------------|--------------|--|----------------------|--|-------|
| | | | | FTEs | K€ |
| COMMS | AFSCO | Advisory Forum – scientific cooperation | 0 | 3.8 | 456 |
| | | Art. 36 list | 0 | 1.2 | 123 |
| | | Cooperation tools | 0 | 1.5 | 1,062 |
| | | Fellowship programme | 0 | 2.0 | 725 |
| | | Focal Points | 0 | 1.8 | 943 |
| | | Innovative approach for Article 36 networking and management of the list | 0 | 1.2 | 128 |
| | | Inter-agency cooperation | 0 | 0.3 | 25 |
| | | International cooperation | 0 | 6.1 | 627 |
| | | RA capacity building | 0 | 0.9 | 129 |
| | | Scientific networks coordination | 0 | 2.0 | 740 |
| | | ED country visits and joint projects | 0 | 2.0 | 450 |
| ED | ED | Strategic workforce model project | 0 | 0.5 | 43 |
| RASA | AMU | Guidance on expert knowledge elicitation methodology | 0 | 0.1 | 103 |

| LEADING DEPT. | LEADING UNIT | PROJECT/PROCESS TITLE | OPERATIONS / SUPPORT | TOTAL EFSA RESOURCES PER PROJECT/PROCESS | |
|--|--------------|---|----------------------|--|-------|
| | | | | FTEs | K€ |
| | SCER | Scientific colloquia | 0 | 0.1 | 80 |
| RESU | CORSER | Outreach support | 0 | 3.3 | 351 |
| | HUCAP | Define and roll out talent management | 0 | 3.7 | 1,586 |
| | | Expert selection for SC, Panels and WGs | 0 | 3.9 | 379 |
| | | Expertise Management Programme | 0 | 2.1 | 540 |
| | | Experts training | 0 | 0.2 | 175 |
| Total activities under SO3 – Build the EU’s scientific assessment capacity and knowledge community | | | | 36.6 | 8,665 |

Table 30: Resource allocation by SO4 – 2017 projects and processes

| LEADING DEPT. | LEADING UNIT | PROJECT/PROCESS TITLE | OPERATIONS / SUPPORT | TOTAL EFSA RESOURCES PER PROJECT/PROCESS | |
|---------------|--------------|--|----------------------|--|-------|
| | | | | FTEs | K€ |
| COMMS | AFSCO | Methods and systems for identifying emerging food risks | 0 | 0.2 | 24 |
| RASA | ALPHA | ALPHA internal projects | 0 | 2.4 | 1,528 |
| | | Define new activity on urgent response for plant health issues | 0 | 0.4 | 38 |
| | | Coordinated framework for the development of environmental risk assessment across the various EFSA units and panels: pilot projects with Member States on 4 areas (pesticides soil, pesticides aquatic, plant health, multi-stressors) | 0 | 1.3 | 205 |
| | AMU | Benchmark dose follow-up | 0 | 0.6 | 77 |
| | | Crowdsourcing | 0 | 0.3 | 174 |
| | | Methodological development and assistance | 0 | 1.5 | 303 |
| | | Methodologies and tools hub | 0 | 0.9 | 257 |
| | | Methodologies for equivalence | 0 | 0.2 | 122 |
| | | PROMETHEUS | 0 | 1.8 | 191 |
| | | Tracing methodology | 0 | 0.9 | 173 |
| | BIOCONTAM | AMR umbrella process | 0 | 0.1 | 10 |
| | | BIOCONTAM internal projects | 0 | 0.6 | 57 |
| | | BIOHAZ self-tasks | 0 | 2.0 | 361 |
| | | EC mandate for application and use of whole genome sequencing for risk assessment | 0 | 0.6 | 220 |
| | SCER | Bee health | 0 | 2.1 | 740 |
| | | Crisis support | 0 | 1.2 | 197 |
| | | Develop cross-cutting guidance documents | 0 | 3.6 | 1,099 |
| | | EFSA activities on emerging risks | 0 | 1.4 | 136 |
| | | Emerging risks identification | 0 | 1.1 | 166 |
| | | Methodologies programme | 0 | 1.7 | 168 |
| | | Preparatory work for future advice | 0 | 0.9 | 156 |
| | | RASFF & Horizon 2020 support | 0 | 0.2 | 22 |
| | | Use of toxicokinetic and metabolism data in chemical risk assessment | 0 | 0.1 | 6 |
| | | Update on read-across approaches such as TTC | 0 | 0.3 | 33 |

| LEADING DEPT. | LEADING UNIT | PROJECT/PROCESS TITLE | OPERATIONS / SUPPORT | TOTAL EFSA RESOURCES PER PROJECT/PROCESS | |
|---|--------------|--|----------------------|--|--------------|
| | | | | FTEs | K€ |
| | | Harmonise EFSA environmental risk assessment (ERA) schemes | O | 0.2 | 16 |
| REPRO | FEED | FEEDAD – guidance documents | O | 0.1 | 131 |
| | FIP | Guidance on submissions for evaluation of nutrients or other ingredients proposed for use in the manufacture of foods. | O | 0.4 | 50 |
| | GMO | GMO – guidance documents on allergenicity | O | 0.3 | 206 |
| | NUTRI | Use of protein hydrolysates in formulae | O | 0.2 | 32 |
| | | Guidance documents for health claims | O | 0.5 | 70 |
| | PRAS | EFSA guidance documents | O | 2.1 | 518 |
| | | Scientific opinions and guidance documents of PPR Panel | O | 5.4 | 1,259 |
| RESU | PTT | Prize contest on innovative ideas | O | 0.0 | 21 |
| Total activities under SO4 – Prepare for future risk assessment challenges | | | | 35.4 | 8,767 |

Table 31: Resource allocation by SO5 – 2017 projects and processes

| LEADING DEPT. | LEADING UNIT | PROJECT/PROCESS TITLE | OPERATIONS / SUPPORT | TOTAL EFSA RESOURCES PER PROJECT/PROCESS | |
|---------------|--------------|--|---------------------------|--|-------|
| | | | | FTEs | K€ |
| ED | IAC | Audit engagement | S | 0.8 | 152 |
| RASA | DATA | Information governance | O | 1.0 | 95 |
| | SCER | Internal scientific coordination | O | 0.9 | 85 |
| | | Quality management system operation | S | 2.5 | 280 |
| RESU | CORSER | Business continuity implementation | S | 1.1 | 370 |
| | | Centralised logistic support to meetings | S | 9.9 | 968 |
| | | Corporate business continuity deployment | S | 0.1 | 9 |
| | | Enhance building | S | 0.2 | 30 |
| | | Site management | S | 6.6 | 643 |
| | | | | | |
| | FIN | Accounting services | S | 2.0 | 197 |
| | | Control environment deployment | S | 3.1 | 303 |
| | | Financial back-office | S | 13.3 | 1,633 |
| | | Procurement – centralised support | TRANSVERSAL ⁵⁶ | 9.9 | 979 |
| | HUCAP | Develop and train EFSA talents | O | 3.4 | 341 |
| | | Managing change in staff status | S | 3.2 | 1,902 |
| | | Motivate, care and retain talents | S | 8.3 | 829 |
| | | Plan, forecast and monitor staffing needs | S | 1.5 | 158 |
| | | Sourcing and attracting talents | S | 6.0 | 832 |
| | | Staff Committee | S | 0.1 | 10 |
| | | Supporting people engagement | S | 0.9 | 437 |
| | | Training attendance | O | 10.2 | 995 |
| | LRA | Centralisation of declaration of interests screening | O | 2.3 | 235 |
| | | Compliance to public access to documents | S | 3.3 | 352 |
| | | Ethics and fraud prevention and investigation | S | 0.2 | 22 |
| | | Management Board | S | 1.4 | 250 |

⁵⁶Transversal activities are allocated to operations/support according to cost drivers specific to each activity. On average, the total of the transversal activities in 2016 is currently allocated 60% to operations and 40% to support; this 60%/40% ratio has been assumed also for 2017 and 2018 years.

| LEADING DEPT. | LEADING UNIT | PROJECT/PROCESS TITLE | OPERATIONS / SUPPORT | TOTAL EFSA RESOURCES PER PROJECT/PROCESS | |
|--|--|---|---|--|--------|
| | | | | FTEs | K€ |
| | | Personal data protection environment | S | 0.4 | 36 |
| | | Pre-litigation and litigation management | S | 0.2 | 143 |
| | | Promoting legality & regularity | S | 3.2 | 394 |
| | | Reform of Independence Policy | O | 0.8 | 79 |
| | PTT | Budget preparation & management | S | 1.4 | 133 |
| | | Correspondence management | O | 0.5 | 96 |
| | | DMS process | O | 2.4 | 235 |
| | | EFSA Strategy project | TRANSVERSAL | 0.3 | 264 |
| | | Enhance IT | O | 4.7 | 1,063 |
| | | IT innovator | O | 1.8 | 179 |
| | | PCO | O | 1.7 | 171 |
| | | Planning, performance progress monitoring and corporate reporting | S | 8.8 | 888 |
| | | Run IT | O | 6.0 | 4,468 |
| | | Secure EFSA | S | 0.0 | 161 |
| | | Transform EFSA | O | 0.0 | 100 |
| | | RESU | EU Agencies Network: Coordination 2016-2019 | S | 3.2 |
| | General management coordination | | TRANSVERSAL | 14.5 | 1,415 |
| | General support duties for compliance with horizontal support activities | | S | 5.6 | 554 |
| | General support duties management assistance | | S | 14.6 | 1,474 |
| Total activities under SO5 – Create an environment and culture that reflects EFSA’s values | | | | 162.3 | 24,501 |

ANNEXES

Annex I. Resource allocation per strategic objective 2017-2019

1. Financial resources per strategic objective

Table 32: Anticipated evolution of budget allocations (% of the total EFSA budget)

| EFSA'S STRATEGIC OBJECTIVE | EXECUTED 2016 M€ | BUDGET 2017 | | DRAFT BUDGET 2018 | | DRAFT BUDGET 2019 | |
|--|------------------------|-------------|--------------|----------------------|--------------|----------------------|--------------|
| | | % | M€ | % | M€ | % | M€ |
| SO1 Prioritise public and stakeholder engagement in the process of scientific assessment | 32.20 | 41% | 32.63 | 42% | 33.00 | 42% | 33.24 |
| SO2 Widen EFSA's evidence base and optimise access to its data | 4.83 | 6% | 4.64 | 6% | 4.37 | 6% | 4.40 |
| SO3 Build the EU's risk assessment capacity and knowledge community | 6.50 | 8% | 8.67 | 10% | 8.22 | 10% | 8.28 |
| SO4 Prepare for future risk assessment challenges | 11.60 | 15% | 8.77 | 12% | 9.19 | 12% | 9.25 |
| SO5 Create an environment and culture that reflects EFSA's values | 24.35 | 31% | 24.50 | 31% | 24.42 | 31% | 24.59 |
| Of which operations | 9.02 | 11% | 9.74 | 12% | 9.67 | 12% | 9.74 |
| Of which support | 15.33 | 19% | 14.76 | 19% | 14.75 | 19% | 14.85 |
| Total EFSA | 79.49 | 100% | 79.20 | 100% | 79.20 | 100% | 79.76 |

2. Human resources per strategic objective

Table 33: Anticipated evolution of staff allocations (% of the total EFSA FTE)

| Efsa's activities | Executed 2016 | Plan 2017 | | Forecast 2018 | | Forecast 2019 | |
|--|---------------------------|----------------------------|-------------|----------------------------|-------------|---------------|-------------|
| | FTE ⁵⁷ / posts | FTEs ⁵⁸ / posts | % | FTEs ⁵⁹ / posts | % | FTEs / posts | % |
| SO1 Prioritise public and stakeholder engagement in the process of scientific assessment | 200/202 | 198/201 | 43% | 203 | 44% | 204 | 44% |
| SO2 Widen EFSA's evidence base and optimise access to its data | 19/19 | 24/24 | 5% | 25 | 5% | 27 | 6% |
| SO3 Build the EU's risk assessment capacity and knowledge community | 31/32 | 37/37 | 8% | 31 | 7% | 31 | 7% |
| SO4 Prepare for future risk assessment challenges | 35/36 | 35/36 | 8% | 38 | 8% | 38 | 8% |
| SO5 Create an environment and culture that reflects EFSA's values | 179/181 | 162/165 | 36% | 162 | 35% | 159 | 35% |
| Of which operations | 57/58 | 50/51 | 11% | 46 | 10% | 50 | 11% |
| Of which support | 122/123 | 112/114 | 25% | 116 | 25% | 109 | 24% |
| Total EFSA | 464/470 | 456/463 | 100% | 459 | 100% | 459 | 100% |

⁵⁷ Actual available FTEs

⁵⁸ Planned FTEs are based on a 98% occupancy rate assumption applied to the average number of posts available during the year. Planned posts are the number of statutory staff and SNE posts assigned to EFSA at the end of each year.

⁵⁹ In years 2018-2020 the amount of FTEs has been assumed equal to the number of posts assigned to EFSA at the end of each year.

Annex II. Financial resources 2017-2019

1. Expenditure

Table 34: Expenditure

| Expenditure/title | 2016 | | 2017 | |
|---|-----------------------------|--------------------------|---------------------------|------------------------|
| | Budget commitment execution | Budget payment execution | Commitment appropriations | Payment appropriations |
| Title I - Staff expenditure | 40.51 | 39.62 | 42.06 | 42.06 |
| Title II - Infrastructure and operating expenditure | 9.73 | 7.48 | 8.58 | 8.58 |
| Title III - Operational expenditure | 29.25 | 24.01 | 28.56 | 29.79 |
| TOTAL EXPENDITURE | 79.49 | 71.12 | 79.20 | 80.43 |

| Expenditure | Commitment appropriations | | | | | | |
|--|---------------------------|-------------------|-------------------|-----------------|-------------------|-------------------|-------------------|
| | Executed budget 2015 | Budget 2016 | Draft budget 2017 | | VAR 2017/2016 (%) | Envisaged 2018 | Envisaged 2019 |
| | | | Agency request | Budget forecast | | | |
| Title 1 - Staff expenditure | 39.437.577 | 40.513.288 | 42,059,185 | | 3.8% | 42,559,185 | 43,119,000 |
| Salaries & allowances | 34.423.456 | 35.944.081 | 37,131,185 | | 3.3% | 37,781,185 | 38,341,000 |
| - Of which establishment plan posts | 28.677.262 | 29.179.558 | 29,304,185 | | 0.4% | 29,954,185 | 30,514,000 |
| - Of which external personnel | 5.746.195 | 6.764.523 | 7,827,000 | | 15.7% | 7,827,000 | 7,827,000 |
| Expenditure relating to staff recruitment | 674.234 | 474.109 | 480,000 | | 1.2% | 480,000 | 480,000 |
| Mission expenses | 201.000 | 196.668 | 361,000 | | 83.6% | 361,000 | 361,000 |
| Socio-medical infrastructure | 228.624 | 295.317 | 319,000 | | 8.0% | 319,000 | 319,000 |
| Training | 813.413 | 579.075 | 584,000 | | 0.9% | 564,000 | 564,000 |
| External Services | 2.025.350 | 1.776.144 | 1,869,000 | | 5.2% | 1,739,000 | 1,739,000 |
| Receptions, events and representation | 1.851 | 5.000 | 5,000 | | 0.0% | 5,000 | 5,000 |

| Expenditure | Commitment appropriations | | | | | | |
|---|---------------------------|-------------------|-------------------|-----------------|-------------------|-------------------|-------------------|
| | Executed budget 2015 | Budget 2016 | Draft budget 2017 | | VAR 2017/2016 (%) | Envisaged 2018 | Envisaged 2019 |
| | | | Agency request | Budget forecast | | | |
| Social welfare and School contributions | 1.069.649 | 1.242.894 | 1,310,000 | | 5.4% | 1,310,000 | 1,310,000 |
| Other staff related expenditure | 0 | 0 | 0 | | 0 | 0 | 0 |
| Title 2 - Infrastructure and operating expenditure | 11.844.042 | 9.725.259 | 8,578,000 | | -11.8% | 8,578,000 | 8,578,000 |
| Rental of buildings and associated costs | 7.406.212 | 5.436.717 | 4,914,500 | | -9.6% | 4,914,500 | 4,914,500 |
| Information, communication technology and data processing | 3.461.702 | 3.548.179 | 2,814,000 | | -20.7% | 2,814,000 | 2,814,000 |
| Movable property and associated costs | 105.419 | 35.010 | 100,000 | | 185.6% | 100,000 | 100,000 |
| Current administrative expenditure | 255.838 | 244.995 | 263,000 | | 7.3% | 263,000 | 263,000 |
| Postage/ Telecomm. | 519.313 | 365.375 | 364,500 | | -0.2% | 364,500 | 364,500 |
| Meeting expenses | 93.406 | 93.862 | 110,000 | | 17.2% | 110,000 | 110,000 |
| Running costs in connection with operational activities | 0 | 0 | 0 | | 0.0% | 0 | 0 |
| Information and publishing | 2.152 | 1.121 | 12,000 | | 970.0% | 12,000 | 12,000 |
| Studies | 0 | 0 | 0 | | 0 | 0 | 0 |
| Other infrastructure and operating expenditure | 0 | 0 | 0 | | 0 | 0 | 0 |
| Title 3 - Operational expenditure | 28.222.696 | 29.252.110 | 28,565,000 | | -2.3% | 28,071,964 | 28,065,000 |
| Scientific evaluation and Risk assessment | 18.056.282 | 18.571.983 | 17,380,000 | | -6.4% | 16,980,000 | 16,980,000 |
| Communication & Cooperation | 1.180.070 | 1.131.733 | 1,399,000 | | 23.5% | 1,399,000 | 1,399,000 |
| General operational support | 8.986.344 | 9.548.395 | 9,786,000 | | 2.5% | 9,692,964 | 9,686,000 |
| TOTAL | 79.504.315 | 79.490.657 | 79,202,185 | | -0.4% | 79,209,149 | 79,762,000 |

| Expenditure | Payment appropriations | | | | | | |
|---|------------------------|----------------------|-------------------------------------|-----------------|-------------------|-------------------|-------------------|
| | Executed budget 2015 | Executed Budget 2016 | Draft budget 2017 Agency request | Budget forecast | VAR 2017/2016 (%) | Envisaged 2018 | Envisaged 2019 |
| Title 1 - Staff expenditure | 38.480.426 | 39.621.497 | 42,059,185 | | 6.2% | 42,559,185 | 43,119,000 |
| Salaries & allowances | 34.405.842 | 35.935.787 | 37,131,185 | | 3.3% | 37,781,185 | 38,341,000 |
| - Of which establishment plan posts | 28.677.262 | 29.179.558 | 29,304,185 | | 0.4% | 29,954,185 | 30,514,000 |
| - Of which external personnel | 5.728.581 | 6.756.229 | 7,827,000 | | 15.8% | 7,827,000 | 7,827,000 |
| Expenditure relating to Staff recruitment | 562.292 | 412.328 | 480,000 | | 16.4% | 480,000 | 480,000 |
| Mission expenses | 183.084 | 189.645 | 361,000 | | 90.4% | 361,000 | 361,000 |
| Socio-medical infrastructure | 169.523 | 219.507 | 319,000 | | 45.3% | 319,000 | 319,000 |
| Training | 484.393 | 264.790 | 584,000 | | 120.6% | 564,000 | 564,000 |
| External Services | 1.613.132 | 1.357.544 | 1,869,000 | | 37.7% | 1,739,000 | 1,739,000 |
| Receptions, events and representation | 1.351 | 2.558 | 5,000 | | 95.5% | 5,000 | 5,000 |
| Social welfare and School contributions | 1.060.809 | 1.239.338 | 1,310,000 | | 5.7% | 1,310,000 | 1,310,000 |
| Other Staff related expenditure | 0 | 0 | 0 | | 0 | 0 | 0 |
| Title 2 - Infrastructure and operating expenditure | 9.161.188 | 7.480.789 | 8,578,000 | | 14.7% | 8,578,000 | 8,578,000 |
| Rental of buildings and associated costs | 6.052.790 | 4.473.077 | 4,914,500 | | 9.9% | 4,914,500 | 4,914,500 |
| Information, communication technology and data processing | 2.518.918 | 2.570.642 | 2,814,000 | | 9.5% | 2,814,000 | 2,814,000 |
| Movable property and associated costs | 73.044 | 27.446 | 100,000 | | 264.3% | 100,000 | 100,000 |
| Current administrative expenditure | 109.451 | 146.427 | 263,000 | | 79.6% | 263,000 | 263,000 |
| Postage / Telecommunications | 317.769 | 198.091 | 364,500 | | 84.0% | 364,500 | 364,500 |
| Meeting expenses | 87.064 | 65.105 | 110,000 | | 69.0% | 110,000 | 110,000 |
| Running costs in connection with operational activities | 0 | 0 | 0 | | 0.0% | 0 | 0 |
| Information and publishing | 2.152 | 0 | 12,000 | | 0.0% | 12,000 | 12,000 |

| Expenditure | Payment appropriations | | | | | | |
|---|------------------------|----------------------|-------------------|-----------------|-------------------|-------------------|-------------------|
| | Executed budget 2015 | Executed Budget 2016 | Draft budget 2017 | | VAR 2017/2016 (%) | Envisaged 2018 | Envisaged 2019 |
| | | | Agency request | Budget forecast | | | |
| Studies | 0 | 0 | 0 | | 0.0% | 0 | 0 |
| Other infrastructure and operating expenditure | 0 | 0 | 0 | | 0.0% | 0 | 0 |
| Title 3 - Operational expenditure | 22.745.214 | 24.014.822 | 29,794,280 | | 24.1% | 28,959,809 | 29,315,000 |
| Scientific evaluation and Risk assessment | 15.974.629 | 18.077.427 | 18,644,280 | | 3.1% | 18,649,223 | 18,650,000 |
| Communication & Cooperation | 484.181 | 352.390 | 1,399,000 | | 295.8% | 1,399,000 | 1,399,000 |
| General operational support | 6.286.404 | 5.585.005 | 9,751,000 | | 74.6% | 8,911,586 | 9,266,000 |
| TOTAL | 70.386.828 | 71.117.107 | 80,431,465 | | 13.1% | 80,096,994 | 81,012,000 |

2. Revenues

Table 35: Revenues

| Revenues | 2016 | 2017 |
|--|----------------------------------|-----------------|
| | Revenues estimated by the Agency | Budget forecast |
| EU contribution | 77.16 | 78.53 |
| Additional EU funding: ad hoc grants and delegation agreements | 0 | 0 |
| Other revenue | 2.15 | 1.90 |
| TOTAL REVENUES | 79.32 | 80.43 |

| Revenue | 2015 | 2016 | 2017 | | VAR 2018/2017 (%) | Envisaged 2018 | Envisaged 2019 |
|---|--------------------|---|-------------------------------------|------------------------|-------------------------|-------------------|-------------------|
| | Executed budget | Revenues estimated by the Agency | As requested by the Agency | Budget forecas t | | | |
| 1 REVENUE FROM FEES AND CHARGES (including balancing reserve from previous years surplus) | | | | | | | |
| 2 EU CONTRIBUTION | 75,945,921 | 77,164,066 | 78,533,267 | | -0.4% | 78,199,698 | 79,092,909 |
| Of which Administrative (Title 1 and Title 2) | | | | | | | |
| Of which Operational (Title 3) | | | | | | | |
| - Of which assigned revenues deriving from previous years 'surpluses | 918,000 | 1,089,066 | 738,267 | | -40.2% | 441,639 | 441,639 |
| 3 THIRD COUNTRIES CONTRIBUTION (incl. EEA/EFTA and candidate countries) | 2,202,400 | 2,075,991 | 1,898,198 | | 0.0% | 1,897,297 | 1,919,091 |
| - Of which EEA/EFTA (excl. Switzerland) | 2,202,400 | 2,075,991 | 1,898,198 | | 0.0% | 1,897,297 | 1,919,091 |
| Of which candidate countries | | | | | | | |
| 4 OTHER CONTRIBUTIONS | 600,000 | | | | | | |
| Of which delegation agreement, ad hoc grants | 600,000 | | | | | | |
| 5 ADMINISTRATIVE OPERATIONS | 83,347 | 78,945 | 0 | | | | 0 |
| 6 REVENUES FROM SERVICES RENDERED AGAINST PAYMENT | | | | | | | |
| 7 CORRECTION OF BUDGETARY IMBALANCES | | | | | | | |
| TOTAL REVENUES | 78,831,668 | 79,319,002 | 80,431,465 | | -0.4% | 80,096,994 | 81,012,000 |

3. Calculation budget outturn

Table 36: Budget outturn and cancellation of appropriations

| BUDGET OUTTURN | 2013 | 2014 | 2015 |
|---|-------------------|---------------------|-------------------|
| Reserve from the previous years' surplus (+) | | | |
| Revenue actually received (+) | 76,163,717.96 | 79,943,670.40 | 79,615,122.45 |
| Payments made (-) | - 69,013,665.16 | -71,559,306.16 | -71,261,085.63 |
| Carry-over of appropriations (-) | -6,712,395.82 | -7,789,288.82 | -8,151,428.61 |
| Cancellation of appropriations carried over (+) | 383,720.58 | 300,664.19 | 509,211.80 |
| Exchange rate differences (+/-) | 768.29 | 978.81 | -4,318.82 |
| Adjustment for carry-over from previous years of assigned revenue | 95,902.53 | 212,691.02 | 31,094.66 |
| Outturn Pre-accession programme DG enlargement | -0.90 | -20,343.27 | -328.61 |
| TOTAL | 918,047.48 | 1,089,066.17 | 738,267.24 |

Cancellation of appropriations

Cancellation of commitment appropriations

- Out of the available €79.66 million commitment appropriations, €79.50 million or 99.8% (99.7% in 2014) were utilised leaving €0.15 million commitment appropriations unutilised. Most of the under-spent originates from training and scientific meetings.

Cancellation of payment appropriations for the year

- Out of the €78.16 million payment appropriations available, €70.39 million or 90.1% (89.3% in 2014) was paid and €7.5 million or 108% (11.4% in 2014) carried forward.

Cancellation of payment appropriations carried over

- Out of the €7.42 million payment appropriations carried over, €7.23 million or 93.4% were paid leaving €0.51 million unutilised.

Justification

Budget outturn

- The budget outturn decreased in 2015 compared to 2014 and stands at €0.74 million (€1.09 million in 2014) or 0.93% of total revenue. It mainly originates from cancellation of appropriations carried forward. Tight treasury management and payment forecast system allows optimisation of the treasury utilisation thereby reducing the outturn.

Cancellation of appropriations

- The cancellation of the commitment and payment appropriations remains at same level compared to last year showing close monitoring of budgetary planning, implementation and control. The cancellation of commitment appropriations are mainly related to training and scientific cooperation meetings as explained above.

Annex III. Human resources 2017-2019 – Quantitative

1. Staff population and its evolution

Table 37: Overview of all categories of staff

| Staff population ⁶⁰ | | Staff pop. actually filled at 31.12.2014 ⁶¹ | Staff pop. in voted EU budget 2015 ⁶² | Staff pop. actually filled at 31.12.2015 | Staff pop. in draft EU budget 2016 | Staff pop. actually filled at 31.12.2016 | Draft budget 2017 ⁶³ | Staff pop. envisaged in 2018 ⁶⁴ | Staff pop. envisaged in 2019 |
|--|--------|--|--|--|------------------------------------|--|---------------------------------|--|------------------------------|
| Officials | AD | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 |
| | AST | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| | AST/SC | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| TA | AD | 210 | 232 | 212 | 225 | 207 | 222 | 221 | 221 |
| | AST | 115 | 100 | 110 | 100 | 108 | 96 | 93 | 93 |
| | AST/SC | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Total ⁶⁵ | | 330 | 337 | 327 | 330 | 320 | 323 | 319 | 319 |
| CA GFIV | | 58 | 70 | 66 | 75 | 87 | 90 | 92 | 92 |
| CA GF III | | 4 | 9 | 4 | 11 | 4 | 7 | 7 | 7 |
| CA GF II | | 41 | 40 | 32 | 38 | 28 | 27 | 25 | 25 |
| CA GFI | | 1 | 1 | 1 | 1 | 1 | 1 | 1 | 1 |
| Total CA ⁶⁶ | | 104 | 120 | 103 | 125 | 120 | 125 | 125 | 125 |
| SNE ⁶⁷ | | 15 | 20 | 16 | 15 | 10 | 15 | 15 | 15 |
| Structural service providers ⁶⁸ | | 71 | 60 | 49 | 49 | 49 | 49 | 49 | 49 |
| TOTAL | | 520 | 537 | 495 | 519 | 499 | 512 | 508 | 508 |
| External staff ⁶⁹ or occasional replacement ⁷⁰ | | 20 | | 26 | | 29 | | | |

⁶⁰ 31.12.2016 (estimate): posts filled include seven offer letters sent and accepted.

⁶¹ Offer letters sent should be counted as posts filled in with a clear reference in a footnote with a number how many posts/positions it concerns.

⁶² As authorized for officials and temporary agents (TA) and as estimated for contract agents (CA) and seconded national experts (SNE).

⁶³ Figures should not exceed those indicated in the Legislative Financial Statement attached to the founding act (or the revised founding act) minus staff cuts in the context of 5% staff cuts over the period 2013-2017.

⁶⁴ Ibid.

⁶⁵ Headcounts.

⁶⁶ FTE.

⁶⁷ FTE.

⁶⁸ Service providers are contracted by a private company and carry out specialised outsourced tasks of horizontal/support nature, for instance in the area of information technology. At the European Commission the following general criteria should be fulfilled: 1) no individual contract with the Commission 2) on the Commission premises, usually with a PC and desk 3) administratively followed by the Commission (badge, etc.) and 4) contributing to the value added of the Commission. Structural service providers (2016 FTEs) are referred to: PTT Unit: PM (4), Infrastructure (4), Service Desk (8), Business empowerment team (1).

Corporate Services (CORSER) and Human Capital (HUCAP) Units: Guards (10.5), Cleaning (6), Huissier/Archive, Reception/Post Office (11), Maintenance (2), Building Technical Assistance (1), Safety consultant (1), Medical Doctor (0.5).

⁶⁹ FTE.

⁷⁰ For instance replacement due to maternity leave or long sick leave.

It should be noted that, in accordance with the staff regulations reform, EFSA is aware of the implementation of the new AST/SC type of post. Based on its needs analysis as well as on the inter-agency consultation to be implemented in the next coming months, EFSA will consider the possibility to progressively convert some AST posts into SC posts.

2. Multi-annual staff policy plan 2017-2019

Table 38: Establishment plan evolution 2016-2019

| Category and grade | Establishment plan in EU budget 2015 | | Actually filled as of 31/12/2015 | | Modifications envisaged in establishment plan 2015 in application of flexibility rule ⁷¹ | | Establishment plan in voted EU budget 2016 | | Modification in year 2016 in application of flexibility rule | | Establishment plan in draft 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 | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| AD 15 | - | 1 | - | - | - | - | - | 1 | - | - | - | 1 | - | 1 | - | 1 |
| AD 14 | - | 2 | - | 1 | - | - | - | 2 | - | - | - | 2 | - | 2 | - | 2 |
| AD 13 | - | 2 | - | 1 | - | - | - | 2 | - | - | - | 2 | - | 2 | - | 2 |
| AD 12 | 1 | 15 | - | 5 | - | - | 1 | 15 | - | - | 1 | 16 | 1 | 16 | 1 | 16 |
| AD 11 | - | 11 | - | 5 | - | - | - | 11 | - | - | - | 11 | - | 11 | - | 11 |
| AD 10 | 1 | 16 | - | 8 | - | - | 1 | 16 | - | - | 1 | 17 | 1 | 18 | 1 | 19 |
| AD 9 | 1 | 41 | - | 26 | - | - | 1 | 42 | - | - | 1 | 42 | 1 | 43 | 1 | 44 |
| AD 8 | - | 53 | - | 59 | - | - | - | 54 | - | - | - | 54 | - | 54 | - | 54 |
| AD 7 | 1 | 59 | 4 | 46 | - | - | 1 | 57 | - | - | 1 | 56 | 1 | 55 | 2 | 54 |
| AD 6 | 1 | 21 | 1 | 45 | - | - | 1 | 17 | - | - | 1 | 15 | 1 | 14 | - | 13 |
| AD 5 | - | 11 | - | 16 | - | - | - | 8 | - | - | - | 6 | - | 5 | - | 5 |
| Total AD | 5 | 232 | 5 | 212 | - | - | 5 | 225 | - | - | 5 | 221 | 5 | 221 | 5 | 221 |
| AST 11 | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| AST 10 | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| AST 9 | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| AST 8 | - | 3 | - | - | - | - | - | 3 | - | - | - | 3 | - | 3 | - | 3 |
| AST 7 | - | 4 | - | 2 | - | - | - | 4 | - | - | - | 4 | - | 4 | - | 4 |
| AST 6 | - | 8 | - | 1 | - | - | - | 9 | - | - | - | 9 | - | 9 | - | 9 |
| AST 5 | - | 29 | - | 15 | - | - | - | 30 | - | - | - | 30 | - | 30 | - | 30 |
| AST 4 | - | 29 | - | 35 | - | - | - | 26 | - | - | - | 23 | - | 23 | - | 24 |
| AST 3 | - | 25 | - | 19 | - | - | - | 25 | - | - | - | 25 | - | 23 | - | 22 |
| AST 2 | - | 2 | - | 35 | - | - | - | 3 | - | - | - | 2 | - | 1 | - | 1 |
| AST 1 | - | - | - | 3 | - | - | - | - | - | - | - | - | - | - | - | - |
| Total AST | - | 100 | - | 110 | - | - | - | 100 | - | - | - | 96 | - | 93 | - | 93 |
| AST/SC6 | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| AST/SC5 | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| AST/SC4 | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - |

⁷¹ Ibid.

| Category and grade | Establishment plan in EU budget 2015 | | Actually filled as of 31/12/2015 | | Modifications envisaged in establishment plan 2015 in application of flexibility rule ⁷¹ | | Establishment plan in voted EU budget 2016 | | Modification in year 2016 in application of flexibility rule | | Establishment plan in draft 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/SC3 | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| AST/SC2 | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| AST/SC1 | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| Total AST/SC | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| TOTAL | 5 | 332 | 5 | 322 | - | - | 5 | 325 | - | - | 5 | 318 | 5 | 314 | 5 | 314 |

Annex IV. Human resources

2017-2019 – Qualitative

1. Recruitment policy

Statutory staff (officials, temporary agents, contract agents)

In order to achieve the requested targets of reduction in the number of establishment plan posts in the coming years, a specific and analytical post management analysis is being implemented along with the efficiency initiatives. This is done to constantly monitor and ensure the right post allocation and, taking into account possible turnover rates, to define which freed-up posts could be phased out, upgraded or redeployed.

In 2016, EFSA has adopted an innovative recruitment solution in the context of the talent management project aiming to better attract, source and select EFSA's talents, including staff, experts, trainees and SNEs.

The recruitment procedure itself, as laid down in the staff regulations, has been streamlined to improve time-to-hire and optimize resources involved. Also, inter-agency mobility has been facilitated by the adoption in 2015 of the new implementing rules on engagement and use of temporary agents 2(f).

EFSA is further developing an employer branding strategy to position EFSA as an employer of choice. Enhanced visibility of career opportunities is achieved via targeted dissemination of vacancies, recruitment campaigns and pro-active using of social media.

To facilitate the launch of a competency based approach to people management in the organisation, EFSA is developing the processes and tools required through the talent management project. In parallel, within the Expertise Management Programme, a strategic competency analysis project is starting to ensure EFSA has mapped the competencies and job profiles required to deliver its strategic goals – from today until 2020. The project should deliver its envisaged outcomes starting from 2017 which should then impact on the various processes of workforce planning, selection and development of talents.

The increase in quality of the above processes is promoted through a targeted leadership development programme, aimed at training managers on harmonised standards as well as organisational values.

The list below recaps the typical grades at which each job category is filled⁷²:

Assistant Jobs family:

- Assistant Job Category (staff carrying out administrative, technical or training activities such as assistance and/or secretariat requiring a certain degree of autonomy): typically these posts are filled by grades SC1-SC2, AST1-AST3; FGI.1-3; FGII.4-7 and long term mainly by FGI.1-3; FGII.4-7.
- Technical Assistant Job Category (staff providing support with a medium degree of autonomy in the drafting of documents and assistance in the implementation of policies and procedures in areas such as administration, law, finance, science, communication, following advice from the hierarchy. Technical assistants may also provide assistance in

⁷² Pending confirmation on types of post and titles

general and budgetary processes, as well as coordinate administrative work.): typically these posts are filled by grades AST4-AST9; FGI.8-12.

- Senior Assistant Job Category (staff carrying out administrative, technical or training activities requiring a high degree of autonomy and carrying significant responsibilities in terms of staff management, budget implementation or political coordination): typically these posts are filled by grades AST10-AST11.

Operational Jobs family:

- Junior Officer Job Category (staff providing junior officer expertise in a specific field of knowledge, e.g. junior legal officer, junior scientist, etc): typically these posts would be filled by AD5; FGIV.13.
- Officer Job Category (staff providing officer expertise in a specific field of knowledge, e.g. legal officer, scientist, etc): typically these posts would be filled by AD6-AD7; FG IV.14-18.
- Senior Officer Job Category⁷³ (staff providing senior officer expertise in a specific field of knowledge, e.g. senior legal officer, senior scientist, etc): typically these posts would be filled by AD8-AD9.
- Lead Officer (staff providing top level expertise in a specific field of knowledge, recognised both internally and externally to the organisation): typically these posts would be filled by AD9-AD12.b

Management Jobs family:

- Manager Job Category (staff providing managerial expertise in the definition of the organisation strategy, e.g. Head of Department and staff providing managerial expertise in the implementation of the organisation strategy, e.g. Head of Unit): typically these posts would be filled by AD9-AD14.
- Senior Manager Job Category (Executive Director): typically this post would be filled by AD14-AD15.

Following the 2014 staff regulations reform, EFSA adopted and is already applying the new implementing rules on the engagement and use of temporary staff for Agencies (TA2f) thus ensuring a more consistent staff policy.

Concerning the duration of employment, temporary agents and contract agents (long term) are currently offered a five year contract, renewable for another limited time period not exceeding five years. These contracts are converted into contracts of indefinite period if a second renewal is offered and accepted. All contracts renewals are subject to an assessment of the performance of the staff member and depend on budget availability and the business needs for the function occupied.

In addition, EFSA is activating short-term contract agents (Function Group IV) to be allocated to its scientific departments ensuring the principle of budget neutrality. This engagement of staff allows EFSA to keep an adequate degree of flexibility both in view of the progressive transformation of its population from fixed term to indefinite contract duration (following second contract renewals) and of the temporary coverage of annual or multi-annual project needs. When preparing the draft budgets, EFSA is committed to ensuring that the budget ceilings provided by the European Commission are complied with. These short-term Contract Agents', as approved by the Management Board for the Budget 2015, do not contribute to the balancing logic of staff categories but follow strict criteria of resource efficiency and financial capacity. Instead of outsourcing certain operational tasks and considering that such outsourcing is not allowed for core tasks of EFSA, it was therefore decided to adjust the number of Contract Agents for operational reasons, to address the structural backlog observed in certain areas.

⁷³ Although in specific cases staff holding AD8 grade could cover a similar level of responsibility

Non-statutory staff

Seconded national experts (SNEs) and national experts on professional training (NEPTs):

The objective of the SNEs programme is to foster the exchange of experience and knowledge of the European food safety risk assessment working methods and to widen the expertise network. Experts can be seconded to EFSA for the duration of a minimum of six months to a maximum of four years.

Short-term attachment (guest scientist):

Since 2014, EFSA has been developing other routes for two-way exchanges (swap) of experts with public administrations and public institutions (EU Agencies and institutions, EU Member States, international and third countries risk assessment organisations). The purpose is to establish a more flexible short-term form of staff exchange to further enhance the scientific cooperation.

The 'guest scientist' attachment does not oblige the host institution to any financial contribution and is expected to further enhance the exchange of scientific knowledge and expertise, as well as the harmonization of methodologies in the area of risk assessment.

Traineeships:

EFSA offers paid traineeships as well as unpaid study visits to talented, highly qualified young professionals at the start of their careers, in a field of their choice. Trainees at EFSA have the opportunity to immerse themselves in the Agency's work and in the European food safety system in general. The traineeship may last from a minimum of five months to a maximum of twelve months.

The selection procedure is open and transparent through the publication of a call for expressions of interest on the EFSA website.

Interims:

In compliance with both the EU legal framework and Italian labour legislation, EFSA's policy is intended to rely on interim services only under specific circumstances and for limited periods of time.

EFSA holds a framework contract managed by HUCAP Unit, which has been concluded with an "Agenzia Interinale" selected via a public call for tender in order to purchase interim services. This framework contract, signed in 2013, has introduced a broader spectrum of skills with the aim to include more technically specialised staff. The types of interim services that can be deployed are the following:

- Administrative support covering tasks performed by statutory staff classified as assistant level job category (temporary agent or contract agent). This corresponds to services with low/medium level of technical competencies to be delivered with a low/medium level of autonomy.
- Administrative, technical and scientific tasks performed by statutory staff classified as junior officer level job category (temporary agent or contract agent). This corresponds to services with medium/high level of technical competencies to be delivered with a medium/high level of autonomy.

In addition of providing ad-hoc temporary support for specific projects, EFSA is employing interim staff solely for replacements of absent staff members due to maternity leave, parental leave and sick leave.

Structural service providers:

All services are procured via dedicated open calls for tenders. All procurement activities are carried out in accordance with the following legal provisions:

Basic act: Council Regulation (EC) 178/2002 (EFSA Founding Regulation)

Financial regulation: Council Regulation (EC, EURATOM) n. 966/2012, Title V

Rules of application: Commission Regulation (EC, EURATOM) n. 1268/2012

2. Appraisal of performance and reclassification/promotion

Talent development and performance management at EFSA takes place through continuous dialogue between people and managers. The yearly performance dialogue exercise is one occasion of formal feedback. EFSA, however, promotes a culture of on-going feedback with a mandatory formal intermediate dialogue and other informal opportunities throughout the year.

The outcome of the 2016 promotion/reclassification exercise resulted in 39 statutory staff members being promoted/reclassified (corresponding to approximately 12% of eligible staff), distributed as follows: 30 temporary agents and 9 contract agents (out of the final list of 39 staff members promoted/reclassified, 12 are pending the third language requirement before 31/12/2016).

Apart from promotion/reclassification, other actions relating to career development were discussed at the 2016 talent review meetings. Having in mind the career aspirations expressed by people, the process led to: 13 mobilities towards people's development, the offer of 4 high profile courses (courses of up to €15,000 leading to a certification, PhD, or in general to enhance the person's CV) and 7 people on a newly formalised stretch assignment path. In addition, in line with Strategic Objective 5, it was proposed to embark a total of 14 people on a managerial development path ('managerial pipeline'). With prior assessment on the availability of necessary budgetary resources and taking into account the appraisal philosophy that EFSA wants to implement (i.e. focusing the reward on top performers of the Organisation), it is foreseen to monitor EFSA's promotion rate in the coming years so as to respect as much as possible the rates indicated in Annex IB of the staff regulations.

Following changes to staff regulations, EFSA will evaluate the budgetary implication of aligning the promotion rate / career progression and evaluate the possible increase accordingly.

Table 39: Reclassification of temporary staff/promotion of officials

| Category and grade | Staff in activity at 1.01.2014 | | 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 15 | | | | | |
| AD 14 | | | | | |
| AD 13 | | 1 | | | |
| AD 12 | | 3 | | | |
| AD 11 | | 9 | | | |
| AD 10 | | 8 | | | |
| AD 9 | | 29 | | 1 | 4.17 |
| AD 8 | | 49 | | 6 | 7.36 |
| AD 7 | 3 | 40 | | 3 | 4.70 |
| AD 6 | 2 | 50 | | 7 | 5.04 |
| AD 5 | | 16 | | 2 | 5.69 |
| Total AD | 5 | 205 | | 19 | 5.74 |
| AST 11 | | | | | |
| AST 10 | | | | | |
| AST 9 | | | | | |
| AST 8 | | | | | |
| AST 7 | | 2 | | | |

| Category and grade | Staff in activity at 1.01.2014 | | 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 6 | | | | | |
| AST 5 | | 11 | | 1 | 5.84 |
| AST 4 | | 34 | | 2 | 5.25 |
| AST 3 | | 19 | | 2 | 4.84 |
| AST 2 | | 42 | | 5 | 6.71 |
| AST 1 | | 7 | | 2 | 7.30 |
| Total AST | 0 | 115 | | 12 | 6.18 |
| AST/SC6 | | | | | |
| AST/SC5 | | | | | |
| AST/SC4 | | | | | |
| AST/SC3 | | | | | |
| AST/SC2 | | | | | |
| AST/SC1 | | | | | |
| Total AST/SC | 0 | 0 | | | |
| Total | 5 | 320 | | 31 | 5.91 |

Table 40: Reclassification of contract staff

| Function group | Grade | Staff in activity at 1.01.2014 | How many staff members were reclassified in 2015 | Average number of years in grade of reclassified staff members |
|----------------|-------|--------------------------------|--|--|
| CA IV | 18 | | | |
| | 17 | | | |
| | 16 | 3 | | |
| | 15 | 1 | | |
| | 14 | 37 | 2 | 5.29 |
| | 13 | 14 | 2 | 5.27 |
| CA III | 12 | | | |
| | 11 | | | |
| | 10 | | | |
| | 9 | 2 | | |
| | 8 | 2 | | |
| CA II | 7 | | | |
| | 6 | | | |
| | 5 | 24 | 4 | 5.24 |
| | 4 | 19 | 4 | 6.63 |
| CA I | 3 | | | |
| | 2 | 1 | | |
| | 1 | | | |
| Total | | 103 | 12 | 5.71 |

3. Mobility policy

Mobility within EFSA

All internal moves are processed via article 7 of the staff regulations and for transparency purposes they are published internally on the intranet portal.

In order to ensure its continued ability to perform and deliver efficient service of quality, EFSA has put in place a number of internal mobility opportunities, creating a motivated and versatile workforce able to respond to future demands and challenges.

During 2016 (Jan-Oct), 36 EFSA staff members changed job through internal mobility, both to respond to business needs and to staff motivations. In practical terms, the tools used to cover vacant posts internally have been career opportunity projects, performance dialogue career

motivations, talent review outcomes, assignments to specific projects, transfer in the interest of service including compulsory mobility (e.g. after ten years of service in the same function) related to sensitive and managerial functions.

Mobility amongst agencies (inter-agency job market)

On 6 October 2009, EFSA joined the inter-agency job market (IAJM). As for all other agencies, the basis of EFSA's participation in the inter-agency job market is to offer possibilities of mobility to staff in agencies by assuring a continuation of careers and grades.

Mobility between the agencies and the EU institutions

At present, there is no mobility policy between the agencies and the EU institutions.

4. Gender and geographical balance

Gender balance (31.12.2016)

The overall gender balance among EFSA's staff – as presented in table 3 – shows a female prevalence; this majority is more marked among Contract Agents and Seconded National Experts.

As a measure to promote equal opportunities, the terms of published vacancy notices prevent any kind of discrimination and the selection board's composition is balanced as far as possible.

Without prejudice to non-discrimination practices, EFSA will try to follow as much as possible a gender balanced structure of its staff at the time of the appointment of the successful incumbent. In particular, EFSA has introduced a verification step at the end of each selection procedure to assess the impact of the potential recruitment in terms of gender and nationality balance.

Table 41: EFSA staff by gender

| | Officials | | Temporary Agents | | Contract Agents | | | | SNEs | TOTAL | |
|--------------|-----------|----------|------------------|------------|-----------------|----------|-----------|----------|-----------|------------|-------|
| | AD | AST | AD | AST | FGIV | FG III | FG II | FG I | | | |
| Female | 2 | 0 | 100 | 86 | 55 | 1 | 23 | 1 | 7 | 275 | 61.1% |
| Male | 3 | 0 | 107 | 22 | 32 | 3 | 5 | 0 | 3 | 175 | 38.9% |
| TOTAL | 5 | 0 | 207 | 108 | 87 | 4 | 28 | 1 | 10 | 450 | |

Geographical balance (31.12.2016)

EFSA's recruitment policies are designed to attract and retain the best competences to support the delivery of its work plan, with no discrimination with regard to gender and geographical balance, in compliance with the staff regulations. The distribution of staff by nationality is presented in table 4.

Implementing measures include the following:

In order to promote equal opportunities, the terms of the vacancy notices prevent any kind of discrimination and the selection board's composition is balanced as far as possible.

Broad dissemination of vacancy notices through publication in specialized international press as well as on relevant social media platforms;

Close collaboration of EFSA management with the Board of European Schools and the management of the "Scuola per l'Europa" in Parma to ensure that staff members' children enjoy

multilingual top quality education (i.e. candidates with children will not refrain from applying if they know that excellent multilingual education opportunities are offered in Parma).

Moreover, as a keystone of European Union food and feed safety risk assessment, EFSA provides a sound foundation for European policies and legislation, which benefit citizens directly by ensuring a high level of food safety and consumer protection. Hence, this citizens' dimension is reflected in the way how EFSA's is functioning and is an integrated part of EFSA's governance and working practices.

Table 42: EFSA staff by nationality

| | Officials | | Temporary Agents | | Contract Agents | | | | SNEs | TOTAL | |
|----------------|-----------|----------|------------------|------------|-----------------|----------|-----------|----------|-----------|------------|-------|
| | AD | AST | AD | AST | FGIV | FG III | FG II | FG I | | | |
| Austria | | | 9 | | 1 | | | | | 10 | 2.2% |
| Belgium | | | 23 | 11 | 2 | 1 | | | | 37 | 8.2% |
| Bulgaria | | | | | 2 | 1 | 1 | | | 4 | 0.9% |
| Croatia | | | | | 1 | | | | | 1 | 0.2% |
| Czech Republic | | | 1 | 1 | 1 | | | | | 3 | 0.7% |
| Denmark | | | 1 | 1 | | | 1 | | | 3 | 0.7% |
| Finland | | | 1 | | | | | | | 1 | 0.2% |
| France | 1 | | 16 | 5 | 4 | | | 1 | | 27 | 6.0% |
| Germany | | | 15 | 1 | 3 | 1 | 2 | | 1 | 23 | 5.1% |
| Greece | | | 8 | 1 | 10 | | 1 | | 3 | 23 | 5.1% |
| Hungary | | | 6 | 2 | 3 | | 2 | | 1 | 14 | 3.1% |
| Ireland | | | 2 | 5 | | | | | | 7 | 1.6% |
| Italy | 1 | | 77 | 62 | 35 | 1 | 17 | | 1 | 194 | 43.1% |
| Serbia | | | | | | | | | | 0 | 0.0% |
| Latvia | | | 1 | | | | | | | 1 | 0.2% |
| Luxembourg | | | 3 | | | | | | | 3 | 0.7% |
| Malta | | | | 1 | | | | | | 1 | 0.2% |
| Montenegro | | | | | | | | | 1 | 1 | 0.2% |
| Netherlands | | | 6 | | | | | | | 6 | 1.3% |
| Poland | | | | | 4 | | 2 | | | 6 | 1.3% |
| Portugal | 2 | | 6 | 3 | 1 | | | | | 12 | 2.7% |
| Romania | | | 1 | 2 | 4 | | | | 1 | 8 | 1.8% |
| Russia | | | | | | | | | 1 | 1 | 0.2% |
| Slovakia | 1 | | | 1 | 3 | | 1 | | | 6 | 1.3% |
| Spain | | | 18 | 6 | 10 | | | | 1 | 35 | 7.8% |
| Sweden | | | | 1 | | | | | | 1 | 0.2% |
| United Kingdom | | | 13 | 5 | 3 | | 1 | | | 22 | 4.9% |
| TOTAL | 5 | 0 | 207 | 108 | 87 | 4 | 28 | 1 | 10 | 450 | |

5. Schooling

EFSA considers schooling as an essential part of its staff policy. For this purpose, a European school ("Scuola per l'Europa") was established in 2004 and accredited in 2008 under the system of European schools. The school includes teaching up to the baccalaureate level. In 2009, the Italian authorities have commissioned the construction of a new building to host the school (the current facilities being in poor conditions), through a project totaling a value of €35 million (to be paid by the Italian authorities).

Due to financial difficulties with the constructor, works were suspended in 2012 (at about 90% completion), and remained on hold until May 2016. They have now been resumed and the building is set for completion in 2017. The move to the new facilities is planned to take place before the start of the school year 2017-18.

A contribution to the EU accredited European school in Parma worth €1.13 million was paid from the EFSA's budget in 2016. The amount paid in 2016 and budgeted for 2017 has been slightly increased to cover the foreseen increases both in the annual school fees and in the number of pupils and children (€1.03 was paid in 2015).

Table 43: Number of pupils per scholastic year

| 2012/2013 | 2013/2014 | 2014/2015 | 2015/2016 | 2016/2017 | 2017/2018 |
|-----------|-----------|-----------|-----------|-----------|-----------|
| 142 | 147 | 140 | 148 | 156 | 160 |

Annex V: Buildings

1. Current building

| | Name, location and type of building | Other comment |
|---|--|--|
| Information to be provided per building: | EFSA seat, Parma, office building | EFSA seat was acquired on 19 December 2011. |
| Surface area (in square metres) Of which office space: Of which non-office space: | 27,500 m ² total 14,200 m ² office space 1,600 m ² restaurant / kitchen 11,700 m ² Parking, basement and technics | |
| Annual down payment (in EUR) | €1.8 million | |
| Type and duration of rental contract | 25 years, ending December 2036 | |
| Host country grant or support | 0 | |
| Present value of the building | €25.88 million | Capital value remaining due at 31/12/2016 |
| | | |
| Information to be provided per building: | EFSA representative office, Brussels | EFSA renting contract was signed on 01/09/2016 |
| Office space area (in square metres) | 41 m ² office space | |
| Annual rent (in EUR) | €41,000, all services included | |
| Type and duration of rental contract | 1 year, renewable | |
| Host country grant or support | 0 | |
| Present value of the building | - | |

2. Building project in the planning phase

Not applicable

3. Building projects submitted to the European Parliament and the Council

Not applicable

Annex VI: Privileges and immunities

| Agency privileges | Privileges granted to staff | |
|--|--|----------------------|
| | Protocol of privileges and immunities / diplomatic status | Education / day care |
| In the seat agreement, Italy committed to apply to the Authority the privileges and immunities provided for in the protocol on the privileges and immunities of the European Communities, signed in Brussels on 8 April 1965. | The Executive Director of the Authority and members of the senior management team, their spouse and dependent family members are granted privileges and immunities, facilities and concessions granted by the Italian Government to members of equivalent rank in the diplomatic corps in Italy. | |
| The Authority, its assets and funds, wherever they may be, are immune – in the performance of the official activities – from any form of legal proceedings and are not the subject of any administrative or legal measure of constraint. | Staff is exempt from national taxes on salaries, wages and emoluments paid by the Authority. | |
| The premises and the buildings used by the Authority as well as the archives are inviolable. | Staff is immune from legal proceedings in respect of acts performed by them in the exercise of official duties. | |

Annex VII: Evaluations

The third meta-evaluation of EFSA shall be commissioned in 2017, as foreseen in Article 61 of EFSA's Founding Regulation (EC) 178/2002. The specifications will be established by the Management Board in close cooperation with the European Commission and the results submitted to the European Parliament and the Council in the course of 2018. Through its progress reports, EFSA will ensure that the Management Board will be apprised regularly of the implementation of the recommendations that might result from the meta-evaluation.

Since 2014, EFSA is equipped with a regulatory framework that integrates ex-ante and ex-post evaluations of significant programmes and activities. EFSA developed its policy approach towards applying these provisions and implemented them by chartering all activity of the Authority by process and project. Furthermore, business cases were updated and developed for transformation programmes and other selected expenditures.

Ex-ante evaluations allow for addressing the business cases, the scope of the programmes, projects or activities when they represent at least 5% of the annual operational budget. Ex-ante evaluations also apply to the policies and the management objectives that are to be achieved as well as the link to EFSA priorities. Ex-ante evaluations in particular cover:

- The options available, including the risks associated with them and the priority (low/medium/high);
- The results and impacts expected including the indicators and evaluation arrangement needed to measure them;
- The most appropriate method of implementation for the preferred option(s);
- The internal coherence of the proposed programme, projects or activity and its relations with other relevant programmes, projects or activities;
- The volume of appropriations, human resources and other administrative expenditure to be allocated to each proposal with due regard for the cost-effectiveness principle;
- The monitoring and reporting arrangements which have been standardized across all projects and processes of the Authority.

Ex-post evaluations cover all programmes, projects or activities where the resources mobilised exceed 10% of the annual operational expenditure of the Authority. In practice, the project methodology requires it even for smaller projects; to this end EFSA is incrementally implementing project closure reports on the realization of the business case and achievement of expected benefits.

The above practice will be further specified and verified with the continued maturation and improvement of EFSA's project management methodology.

Annex VIII: Risks 2017

An important element of EFSA's strategic planning is the identification and mitigation of the risks to which the organisation is exposed. This is crucial in formulating a risk management strategy that is based on a good awareness and understanding of the risk environment.

The operational risks are captured at the level of the processes and projects, and it falls under the responsibility of the process and project manager to monitor and where necessary escalate to management the risks inherent to the process or project. EFSA management participates in the risk assessment exercise identifying the high level corporate risks, which find their risk responses in the implementation plan of EFSA's strategy and the cascaded projects or processes which fall under the responsibility of the assigned unit and managers.

In 2018, EFSA will continue to work on the mitigation of the critical and significant risks identified and shall organise a high level risk management workshop.

Mitigation of current risks identified

In 2016, EFSA organised a risk management workshop with stakeholders in support of transparency and engagement. The purpose was to review the risks already identified by EFSA and to gather, where assessed appropriated or needed by EFSA's stakeholders, additional risk mitigation proposals for these risks. The second aspect of the workshop was to collect from stakeholders any other high level risks they would have identified as well as their proposals to mitigate them.

The outcome of the workshop was that none of the high level risks was regarded as critical, i.e. with the potential to threaten the realisation of major objectives, cause serious damage to partners, result in critical intervention at a political level or seriously impact on the organisation's image or reputation:

It should be noted that stakeholders discarded the risk of "being static". They perceive it as not applicable to EFSA. The reputation risk, however, was flagged as the more significant one. Three other risks were identified i.e. "being slow", lack of communication with the public at large and the risk of "being less inclusive".

These risks are either noted or assessed significant. The required mitigating actions or additional control in order to bring their potential impact back to acceptable level are imbedded in the implementation plan of EFSA's strategy. For each risk, the strategy implementation plan identifies outcomes, activities or outputs that address it. The risks concerned are the following:

- Being inept: EFSA lacking expertise, competences and talents externally and internally to deliver prime quality science. Hence, EFSA becoming inept to conduct its mission.
- Risk of loss of reputation: EFSA becoming a questioned, frequently challenged reference at large, hence defeating its role as authority.
- Being narrow: EFSA missing the generic risk assessment focus and narrowing down its role, hence becoming irrelevant.
- Being blind: EFSA not anticipating the evolutions in its role and not envisioning its future positioning and needs, hence being short-sighted.
- Being slow: EFSA not managing stakeholders' expectations in a timely manner would undermine the stakeholder engagement approach.
- Lack of communication with the public at large: EFSA and national bodies not having the same outcome or not being aligned in communicating might create perplexity in the European public.
- Being less inclusive: EFSA not targeting information to the right stakeholders or being unbalanced in stakeholders' representation might lead to disengagement.

Annex IX: Final work programme for grants and operational procurements 2017

1. Science programme: procurements and grants

Introduction

Public procurement and grants procedures of EFSA are governed by the relevant EU regulations, in particular:

- Council Regulation (EU, EURATOM) No 966/2012 of 25 October 2012 on the financial rules applicable to the general budget of the Union and repealing Council Regulation (EC, Euratom) No 1605/2002, as amended by Regulation (EU, EURATOM) 1929/2015 of the European Parliament and of the Council of 28 October 2015, referred to hereafter as "EU Financial Regulation-(EU FR)" and,
- Commission Delegated Regulation (EU) No 1268/2012 of 29 October 2012 on the rules of application of Regulation (EU) No 966/2012 of the European Parliament and of the Council on the financial rules applicable to the general budget of the Union, as amended by Commission Delegated Regulation (EU) No 2015/2462 of 30 October 2015, referred to hereafter as "Rules of Application - (RAP)".

Article 84(2) of the EU FR states that: "Except in the case of appropriations which can be implemented without a basic act in accordance with point (e) of the first subparagraph of Article 54(2), the commitment of expenditure shall be preceded by a financing decision adopted by the institution or the authorities to which powers have been delegated by the institution". Article 94 of the RAP, states under paragraph 2, that the financing decision shall in particular set out certain essential elements for an action involving the expenditure from the budget for grants and for procurement. In addition under paragraph 3 it is stated that the work programme which contains the information set out in paragraph 2 shall be considered to be the financing decision for grants and procurements. Specific for grants: Article 128 of the EU FR states that: "Grants shall be subject to a work programme, to be published prior to its implementation."

Basic act and financing source

Regulation (EC) No 178/2002 of the European Parliament and of the Council of 28 January 2002 laying down the general principles and requirements of food law, establishing the European Food Safety Authority and laying down procedures in matters of food safety, referred to hereafter as "EFSA's Founding Regulation".

The following refers specifically to grants:

- Article 36 of EFSA's Founding Regulation.
- Commission Regulation (EC) No 2230/2004 of 23 December 2004 laying down detailed rules for the implementation of EFSA's Founding Regulation with regard to the network of organisations operating in the fields within the European Food Safety Authority's mission. In particular, Article 5(2) foresees that financial support for tasks entrusted to organisations on the Article 36 list shall take the form of subsidies awarded in accordance with EFSA's financial regulation and implementing rules.

Budget line

3210

Tasks to be entrusted, objectives to be achieved, priority areas, and results to be expected

Scientific cooperation between EFSA and Member States is a key priority for EFSA as it helps support the development of risk assessment within the Authority's remit by building on scientific expertise in Member States. To ensure the contribution of organisations from Member States and third countries in carrying out scientific cooperation projects, EFSA has implemented grant and procurement schemes.

In the previous years, the activities related to grants and procurements in science were presented on an annual work programme basis. For the first time, within the framework of the new multiannual [EFSA Strategy 2020](#), EFSA is developing a multi-annual work programme implementing its strategic objectives. To this end, the 2017 work programme on science grants and procurements is directly linked to implementation of strategic objectives 1, 2, 3 & 4.

Eligibility and exclusion criteria

For grants:

- Applicants must be on the Article 36 list adopted by the Management Board of EFSA on 19 December 2006, which is updated regularly, implying fulfilment of the criteria laid down in the Commission Regulation (EC) No 2230/2004; and shall not be in one of the exclusion situations referred to in Article 106 and 107 of the EU Financial Regulation (FR) and as listed in the EFSA guidance for tenderers available at EFSA website.

For procurement:

- The rules of participating to EFSA's procurement procedures are detailed in the EFSA guidance for tenderers available at EFSA website. Tenderers shall not be in one of the exclusion situations referred to in Article 106 and 107 of the EU FR.

Selection and award criteria

The eligible proposals/tenders will be evaluated against the selection criteria indicated in each call. In general, there are two sets of selection criteria to be assessed:

- Economic and financial capacity (e.g. annual turnover);
- Technical and professional capacity.

The proposals/tenders which meet the selection criteria and are compliant with the call specifications will be evaluated against the award criteria indicated in each call. In general, in

each call there is an assessment of quality and price (budget in case of grants). Here below are examples of the most frequently used criteria:

- The quality of the submitted proposal/tender, e.g. assessing aspects as listed below:
 - The methodology proposed for implementation (convincing justification and step by step explanation of the methodology)
 - The proposed project organisation and management by the applicant/tenderer (clarity of organization of project into work packages, clear and detailed information on distribution of the tasks among the project team);
 - The proposed risk management approach (risks identifications and proposed mitigating actions);
 - Measures proposed to meet deadlines;
 - Measures proposed to guarantee quality of deliverables (special additional measures for quality assurance proposed for this particular project).
 - The cost effectiveness of the estimated budget (in case of grants) / the price (in case of procurement).

Importantly, each call will specify in detail all the award criteria.

Maximum rate of co-financing for grants

Up to 90% of the eligible costs, however, the call for proposal might specify lower co-financing rates. Overall, regarding EFSA's grant schemes the following co-financing rates are applicable⁷⁴:

- Specific Article 36 grants – max. 90% of the project eligible costs
- Thematic grants - max. 50% of the project eligible costs
- Joint scientific projects within scope of Article 190 of RAP – max. 90% for low value grants (max. 60,000 EUR EFSA grant amount) and max. 50% for bigger scope and long-term cooperation projects with Article 36 organizations mainly under a Framework Partnership Agreement (FPA).
- Focal Points grant agreements - the co-financing rate of 70% is already embedded in the lump sum.
- Fellowship programme – the co-financing rate of 90% will be embedded in the lump sum.
- Partnering projects – to be defined in 2017

Monitoring the added value of science programme implementation

Grants and procurements in science can have different purposes. They can contribute to a scientific opinion, support the evolution of methodologies, trigger innovation or foster collaboration. Therefore it is proposed that the call specifications will specify the impact expected in line with the particular project scope. The expected impact can be as diverse as the purpose of each call. The key performance indicators (KPIs) to be applied for measuring the impact of the science programme will be an output of a pilot project in 2017. The KPIs should be clustered to reflect the priorities set in EFSA's Strategy 2020.

Synergies with inter-agency and inter-institutional procurements

EFSA in liaison with ECDC has developed the Fellowship programme. In addition, EFSA systematically explores possibilities to join inter-institutional procurement and to share resources via launching inter-agency calls for implementing its science programme.

⁷⁴ The indicated co-financing rates are subject to modifications based on EFSA's decision

Indicative schedule of calls for proposals and of calls for tenders for 2017

Launch of calls for proposals/tenders: it is expected that the majority of the calls will be launched during the first half of 2017⁷⁵. Potential applicants/tenderers are invited to visit the list with the [forthcoming calls for tenders \(procurement\) and calls for proposals \(grants\)](#) which is updated regularly by EFSA including the indicative title, budget and timing for launch.

Amounts available for calls for proposals/tenders for 2017 and indicative list of scientific activities to be outsourced

The budget of €9.7 million for scientific projects in 2017 is comparable to the approved 2016 budget of €9.68 million (rounded) for scientific activities, and reflects the importance for EFSA of the budget allocated for such projects. EFSA has confirmed two new cooperation tools for 2017: the fellowship programme and partnering grants. These new tools are targeting organizations listed under Article 36 of EFSA's Founding Regulation and are considered complementary to the Article 36 grants used so far by EFSA. In the case of the Fellowship programme, the grant agreements will allow host institutes to cover salary costs of fellows to be based in their organization for one year. The partnering grants would target joint projects among two or more Member States to exchange knowledge and expertise, in support of the EU RAA priorities.

Innovation prize: In 2016, EFSA launched the first contest for an innovation prize. This contest was framed under procurement, in line with EU FR. As regards the reference to the basic act and budget lines, refer to the above information for science procurement. In line with EFSA's strategic objective 4, the contest foreseen for 2017 aims at stimulating and rewarding innovative thinking in a competition among eligible candidates under a set topic. The winning proposals will be awarded monetary/non-monetary prizes and will allow EFSA the use of the innovative methods in its work. Indicative timing: launch contest in spring 2017; Indicative amount: €30,000, which shall cover all related costs.

Table 44: Breakdown of EFSA's budget for scientific grant and procurement projects in 2017 by indicative type of outsourcing scheme and by EFSA's strategic objectives 1 to 4, subject to modifications based on EFSA's decision.

| Outsourcing scheme | Efsa strategy 2020 objectives | Proposed budget [C] | Share of total [%] |
|---|-------------------------------|---------------------|--------------------|
| Procurements (including Innovation prize) | Strategic objective 1 | 1,425,164 | 54 |
| | Strategic objective 2 | 922,987 | |
| | Strategic objective 3 | 159,629 | |
| | Strategic objective 4 | 2,942,316 | |
| | Sub-total | 5,450,096 | |
| Grants | Strategic objective 1 | 198,836 | 46 |
| | Strategic objective 2 | 420,013 | |
| | Strategic objective 3 | 2,386,371 | |
| | Strategic objective 4 | 1,034,684 | |
| | Sub-total | 4,039,904 | |
| Total | | 9,490,000 | 100 |

⁷⁵ In case a call for proposals/tenders is launched before the official approval of the budget, a respective clause will be added to indicate that the project is subject to the approval of EFSA's 2017 budget by the budgetary authority and that no grant/procurement project will be awarded before such approval.

Overall, the share of procurement projects accounts for 54% and the share of grant projects accounts for 46% of the EFSA budget for scientific projects to be outsourced in 2017.

The evolution of the EFSA budget allocated for grants and procurement in science is presented in Table 2. Specific information about current and past EFSA grant and procurement activities in science and corresponding annual work programme are available on EFSA's website⁷⁶.

Table 43: Evolution of the EFSA budget allocated for grants and procurement in science (commitment target vs commitment executed)

| Year | Commitment <u>target</u> [€, rounded] | Commitment <u>executed</u> [€, rounded] | Change target vs executed [%] |
|------|--|--|----------------------------------|
| 2012 | 9,220,000 | 9,430,000 | +2.3 |
| 2013 | 10,520,000 | 10,800,000 | +2.7 |
| 2014 | 9,480,000 | 11,730,000 | +23.7% |
| 2015 | 9,054,000 | 9,830,000 | +8% |
| 2016 | 9,688,650 | 10,265,390 | +5.9% |

Table 3 provides a detailed overview of the indicative list of scientific projects intended to be financed by the EFSA budget in 2017, broken-down by the indicative type of outsourcing tools and by EFSA Strategy 2020 strategic objectives 1 to 4. The indicative scientific projects and outsourcing tools are subject to modifications based on EFSA's decision.

2. Communication programme

Basic act and legislation setting procurement rules to follow

- EFSA's Founding Regulation.
- Public procurement procedures of EFSA are governed by the relevant EU Regulations, in particular see above under "Science Programme" - procurement.

Budget lines

3410, 3420, 3520

Eligibility, exclusion, selection and award criteria

See above under "Science Programme" - procurement.

Indicative schedule of calls for tenders for 2017

The launch of an open call for tenders for the professional conference organisation and exhibition services is expected in the last quarter of 2017. Indicatively, the majority of the communication programme outsourcing needs could be covered by implementing EFSA's existing framework contracts. Potential tenderers are invited to visit the list with the [forthcoming calls for tenders \(procurement\) and calls for proposals \(grants\)](#) which is updated regularly by EFSA including the indicative title, budget and timing for launch.

⁷⁶ Current and previous years' work programmes for grants and procurement in science are available on the EFSA website at: <http://www.efsa.europa.eu/en/calls/procurement>.

Table 44: Breakdown of EFSA's budget for the communication programme in 2017 by indicative subject and in support of EFSA's strategic objectives 1 to 4. The indicated information is subject to modifications based on EFSA's decision.

| Indicative subject | Proposed budget [€] |
|---|---------------------|
| Communications content development, content dissemination, EFSA Journal and social media. | 1,089,800 |
| Media relations, institutional and stakeholders relations, new stakeholder platform approach and EU insights, fellowship programme exchange | 310,200 |
| Organisation of communication events related to specific scientific topics and EU Agencies' Network (outreach events and corporate support) | 1,100,000 |
| Total | 2,500,000 |

Synergies with inter-agency and inter-institutional procurements

EFSA is systematically exploring possibilities to join inter-institutional framework contracts and leading or joining the launch of inter-agency calls in the remit of its communication programme. EFSA will investigate the effectiveness and possibility to launch an inter-agency call for tenders on Professional Conference Organisation and Exhibition Services.

3. Operational support

Basic act and legislation setting procurement rules to follow

- EFSA's Founding Regulation.
- Public procurement procedures of EFSA are governed by the relevant EU regulations, in particular see above under "Science Programme" - procurement.

Budget lines

3500, 3501, 3512, 3514, 3530, 3540

Eligibility, exclusion, selection and award criteria

See above under "Science Programme" - procurement.

The launch of an open call for tenders for the EFSA external evaluation and for travel agency services is expected in the first quarter of 2017. Indicatively, the majority of the operational support outsourcing needs could be covered by implementing EFSA's existing framework contracts. Potential tenderers are invited to visit the list with the forthcoming calls for tenders (procurement) and calls for proposals (grants) which is updated regularly by EFSA including the indicative title, budget and timing for launch.

Table 45: Breakdown of EFSA's budget for the operational support in 2017 by indicative subject and in support of EFSA's strategic objectives 1 to 4. The indicated information is subject to modifications based on EFSA's decision.

| Indicative subject | Proposed budget [€] |
|--|---------------------|
| Logistical support to meetings | 1,025,000 |
| Operational IT systems run, IT innovator, enhance IT, business continuity roadmap, various business transformation projects | 5,177,000 |
| Consultancy costs related to quality management, external evaluation, information management programme, organisational development, expertise management programme, strategy support | 800,000 |
| Library management services | 534,000 |
| Total | 7,536,000 |

Synergies with inter-agency and inter-institutional procurements

EFSA is systematically exploring possibilities to join inter-institutional framework contracts and leading or joining the launch of inter-agency calls in the remit of operational support. EFSA will investigate the effectiveness and possibility to launch an inter-agency call for tenders on travel agency services.

Table 46: provides a detailed overview of the indicative list of scientific projects intended to be financed by the EFSA budget in 2017

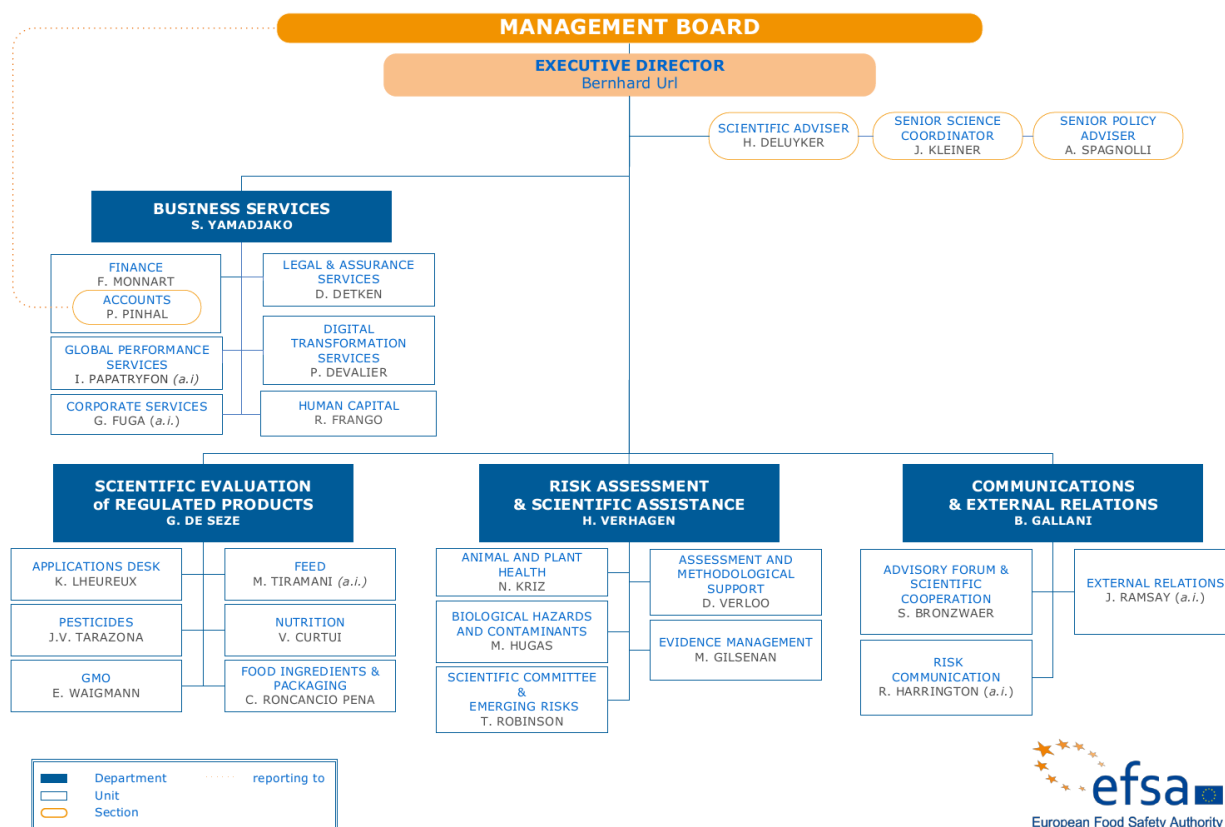
| Indicative list of scientific projects intended to be financed by the efsa budget in 2017 | Indicative outsourcing tool | Strategic objective |
|--|---|---------------------|
| Generating, collecting, collating, synthesising and analysing evidence supporting preparatory work for evidence-based scientific assessment in EFSA, including literature review in the area of animal health and welfare, plant health, in the remit of Biocontam Unit and PRAS Unit, on BPA, re-evaluation food additives legal deadlines 2018-2020, literature search for guidance on risk assessment in nanomaterials. | Procurement - implementation of FWC via reopening of competitions | 1 |
| Expert assistance on drafting the main EUSR including analysis of AMR data | Procurement - negotiated procedure | 1 |
| FWCs: Collection, preparation and updating of data on flavourings and flavouring substances; Lot 1: Non-toxicity data to be summarised & Lot 2: Toxicity data to be summarised | Procurement - direct implementation of FWC | 1 |
| FWC: Preparation of summary reports from dossiers on food enzymes from genetically modified micro-organisms or genetically modified plants / FWC: Preparation of summary reports of technical data from dossiers on food enzymes / FWC: Preparation of summary reports from dossiers on food enzymes; toxicological data | Procurement - direct implementation of FWC | 1 |
| Framework partnership agreement on BPA | Grant - open call | 1 |
| Validation of systematic literature review, for renewal dossiers in the GMO area | Procurement - negotiated procedure | 1 |
| FWCs: Statistical and toxicological support for evaluation of risk assessment of GMO dossiers ; support for the evaluation of bioinformatics in the risk assessment of GMO dossiers | Procurement - direct implementation of FWC | 1 |
| (OpenScaie project) Open - single point of access for the deposition of information relevant for food and feed safety risk assessment : support for the population of OpenScaie with key literature | Grant - open call | 2 |
| Support the EFSA Data Unit in a series of activities linked to improvement of data quality, training of member states etc. | Procurement - direct implementation of FWC | 2 |
| Access to an online food labels database covering food and drink products from different EU Member States and access to market share data | Procurement - negotiated procedure | 2 |
| EU Menu: The acquisition of harmonised pan-European food consumption data within the framework of the EU Menu process "What's on the Menu in Europe?" (EU Menu). | Procurement - open call | 2 |
| Further development and update of EFSA's chemical hazards data base | Procurement - direct implementation of FWC | 2 |
| 30 Focal Point Agreements with EU/EEA Member States, Iceland and Norway | Grant - Focal Points | 3 |
| Fellowship grants to allow host institutes to cover salary costs of fellows to be based in their organization for one year. | Grant - fellowship programme | 3 |

| Indicative list of scientific projects intended to be financed by the efsa budget in 2017 | Indicative outsourcing tool | Strategic objective |
|---|--|---------------------|
| Fellowship programme - training material, organisation and logistics of induction training and training modules | Procurement - direct implementation of FWC | 3 |
| Joint projects to support the implementation of joint activities with Member States | Grant - joint projects | 3 |
| Thematic grants | Grant - thematic grants | 3 |
| Scientific network coordination: external evaluation on the on-going process and recommendations for quality development | Procurement – negotiated procedure | 3 |
| Partnering projects | Grant - partnering projects | 3 |
| EKE: Expert Knowledge Elicitation | Procurement - various types of procedures | 3 |
| Data collection on the geographic distribution of arthropod vectors and the pathogens they transmit to humans and/or animals | Procurement - direct implementation of FWC | 4 |
| Data collection on the geographic distribution and abundance of wildlife populations and the pathogens they transmit to animals | Procurement - direct implementation of FWC | 4 |
| PLH panel guidance on pest risk assessment and environmental risk assessment of plant pests updating: integrate landscape/spatial dimension in pest risk assessment with case studies. Spatial explicit, GIS data used as support of pest risk assessment. | Procurement - SLA | 4 |
| Outsourcing research to fill up uncertainties for plant pests prioritised at EU level | Procurement - open call | 4 |
| Establishment and validation of animal-based measures as diagnostic tools for welfare assessments on farm and in animal welfare risk assessment. | Grant - open call | 4 |
| Horizon scanning and web monitoring for the early identification of PLH risks | Procurement - open call | 4 |
| Crowdsourcing: increase risk assessment capacity via crowdsourcing - second initiative: exploring the collaborative model | Procurement - open call | 4 |
| Testing for difference and equivalence in EFSA scientific assessment: 1. domains in EFSA where addressing equivalence is relevant; 2. inventory of the methodologies currently available on equivalence testing that could be applied in the EFSA context with strengths and limitations ; 3. case studies; | Procurement - open call | 4 |
| Critical appraisal tools: 1. an inventory of the existing tools for appraising evidence by study design, 2. classification and comparison of the tools according to criteria provided by EFSA, 3. investigation of applicability of the tools to the EFSA context based on real examples 4 case studies | Procurement - negotiated procedure | 4 |
| Framework partnership agreement on risk assessment tools for the safety of global food and feed supply chains | Grant - joint projects implementation | 4 |

| Indicative list of scientific projects intended to be financed by the efsa budget in 2017 | Indicative outsourcing tool | Strategic objective |
|---|---|---------------------|
| Preparatory work for the integration of knowledge from different areas in predictive modelling for biological risks/BMD | Grant - joint projects implementation | 4 |
| FWC on statistical programming: provision of services to EFSA R coding, programming, ad-hoc R consultation and provision of a scalable high performance computing environment upon request | Procurement - direct implementation of FWC | 4 |
| Procurement project on new approaches in identifying and characterizing microbiological hazards, with particular attention to food-borne viruses | Procurement - open call | 4 |
| Refined protocol for in vitro digestion of proteins for allergenicity assessment: experimental data production, testing different proteins for their susceptibility to digestion using conditions described by the allergenicity working group of the EFSA GMO Panel in the context of an on-going guidance development on the subject. | Procurement - open call | 4 |
| Framework partnership agreement aiming at using, testing and improving the MCRA tool for the cumulative exposure assessment of pesticide residues in food commodities | Grant - joint projects implementation | 4 |
| Preparatory work for updating PRAS Unit guidances | Procurement - Implementation of FWC via reopening of competitions | 4 |
| Prize contest on innovative ideas | Procurement - open call | 4 |
| Framework Partnership Agreement on bees - implementation: data collection at each of the three EU regulatory zones (see Annex I of EC No 1107/2009) for the calibration of the model (a quantitative tool to assess effects on honeybee colonies from exposure to pesticides under different environmental scenarios and multiple stressors/factors). | Grant - joint projects implementation | 4 |
| Development of a mechanistic model to assess risks to honeybee colonies from exposure to pesticides under different scenarios of combined stressors and factors - implementation of FWC | Procurement - direct implementation of FWC | 4 |
| Food and feed safety crisis preparedness training - FWC implementation | Procurement - direct implementation of FWC | 4 |
| Specialised training courses in risk assessment | Procurement - negotiated Procedure | 4 |
| Collection of toxicological data for pesticides linked to CRA | Grant - Open Call | 4 |

Annex X. Organisation chart 2017

1. Organisation and organisational charts (01.01.2017)



| Org. Structure 01/01/2017 | Officials | | TAs | | CAs | | TOT STATUTORY STAFF | | SNEs | S. Providers |
|------------------------------|------------|-----------------|------------|-----------------|------------|-----------------|---------------------|-----------------|-----------|--------------|
| | TOT. POSTS | of which vacant | TOT. POSTS | of which vacant | TOT. POSTS | of which vacant | TOT. POSTS | of which vacant | | |
| ED Total | 0 | 0 | 7 | 0 | 0 | 0 | 7 | 0 | 5 | 0 |
| ED (incl. "ED Pot") | 0 | 0 | 7 | 0 | 0 | 0 | 7 | 0 | 5 | 0 |
| REPRO Total | 1 | 0 | 105 | 6 | 45 | 1 | 151 | 7 | 3 | 0 |
| REPRO HoD Office | 0 | 0 | 2 | 0 | 2 | 0 | 4 | 0 | 0 | 0 |
| APDESK | 0 | 0 | 4 | 1 | 7 | 0 | 11 | 1 | 1 | 0 |
| PRAS | 0 | 0 | 36 | 2 | 18 | 1 | 54 | 3 | 0 | 0 |
| GMO | 0 | 0 | 16 | 1 | 5 | 0 | 21 | 1 | 0 | 0 |
| FEED | 0 | 0 | 15 | 0 | 2 | 0 | 17 | 0 | 0 | 0 |
| NUTRI | 0 | 0 | 11 | 1 | 3 | 0 | 14 | 1 | 0 | 0 |
| FIP | 1 | 0 | 21 | 1 | 8 | 0 | 30 | 1 | 2 | 0 |
| RASA Total | 3 | 0 | 79 | 1 | 29 | 0 | 111 | 1 | 3 | 0 |
| RASA HoD Office | 0 | 0 | 4 | 0 | 0 | 0 | 4 | 0 | 0 | 0 |
| ALPHA | 0 | 0 | 15 | 0 | 5 | 0 | 20 | 0 | 3 | 0 |
| BIOCONTAM | 0 | 0 | 22 | 1 | 4 | 0 | 26 | 1 | 0 | 0 |
| AMU | 1 | 0 | 12 | 0 | 4 | 0 | 17 | 0 | 0 | 0 |
| DATA | 0 | 0 | 14 | 0 | 10 | 0 | 24 | 0 | 0 | 0 |
| SCER | 2 | 0 | 12 | 0 | 6 | 0 | 20 | 0 | 0 | 0 |
| COMMS Total | 0 | 0 | 35 | 0 | 14 | 0 | 49 | 0 | 3 | 0 |
| COMMS HoD Office | 0 | 0 | 5 | 0 | 0 | 0 | 5 | 0 | 0 | 0 |
| EXREL | 0 | 0 | 7 | 0 | 4 | 0 | 11 | 0 | 0 | 0 |
| RISKCOM | 0 | 0 | 13 | 0 | 8 | 0 | 21 | 0 | 0 | 0 |
| AFSCO | 0 | 0 | 10 | 0 | 2 | 0 | 12 | 0 | 3 | 0 |
| BuS Total | 1 | 0 | 100 | 4 | 37 | 4 | 138 | 8 | 1 | 49 |
| BuS HoD Office | 0 | 0 | 3 | 0 | 1 | 1 | 4 | 1 | 0 | 0 |
| FIN | 1 | 0 | 22 | 0 | 5 | 0 | 28 | 0 | 0 | 0 |
| FIN-ACCOUNT | 0 | 0 | 2 | 0 | 0 | 0 | 2 | 0 | 0 | 0 |
| HUCAP | 0 | 0 | 18 | 2 | 9 | 1 | 27 | 3 | 1 | 0.5 |
| LA | 0 | 0 | 11 | 0 | 2 | 1 | 13 | 1 | 0 | 0 |
| DTS | 0 | 0 | 19 | 0 | 10 | 1 | 29 | 1 | 0 | 17 |
| GPS | 0 | 0 | 9 | 2 | 2 | 0 | 11 | 2 | 0 | 0 |
| CORSER | 0 | 0 | 16 | 0 | 8 | 0 | 24 | 0 | 0 | 31.5 |
| | 5 | 0 | 326 | 11 | 125 | 5 | 456 | 16 | 15 | 49 |

