



EFSA Consolidated Annual Activity Report 2019

Adopted by written procedure on 27 March 2020
For EFSA's Management Board

[ADOPTED]

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Chair of the Management Board



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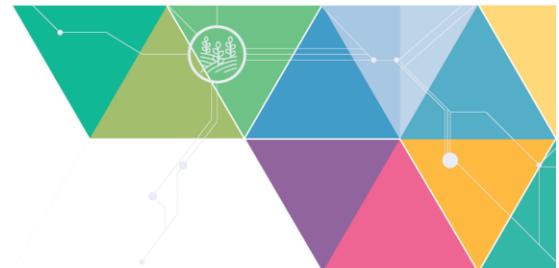


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Legend

Status	Symbol	Thresholds
Over-Achieved		Actual/Target more than 105%
Achieved		Actual/Target between 95% and 105%
Partially Achieved		Actual/Target between 75% and 94%
Not Achieved		Actual/Target less than 75%
N/A		Data not available for this period



List of abbreviations

AF	EFSA Advisory Forum
AHAW Panel	EFSA Panel on Animal Health and Welfare
AI	Artificial Intelligence
ALPHA	EFSA Animal and Plant Health Unit
AMR	Antimicrobial resistance
AMU	EFSA Assessment and Methodological Support Unit
ANS Panel	EFSA Panel on Food Additives and Nutrient Sources Added to Food
ANSES	Agence nationale de sécurité sanitaire de l'alimentation, de l'environnement et du travail ¹)
APDESK	EFSA Applications Desk Unit
ART	ARchitecture Transformation Programme
ASF	African Swine Fever
BfR	Bundesinstitut für Risikobewertung ²
BIOCONTAM	EFSA Biological Hazards and Contaminants Unit
BIOHAZ Panel	EFSA Panel on Biological Hazards
BPA	Bisphenol A
BSE	Bovine Spongiform Encephalopathy
BUS	Business Services Department
BVL	Bundesamt für Verbraucherschutz und Lebensmittelsicherheit ³
CEP Panel	EFSA Panel on Food Contact Materials, Enzymes and Processing Aids
CoI	Conflict of Interest
COM	EFSA Communications Unit
COMCO	EFSA Communication, Engagement and Cooperation Department
CORSER	EFSA Corporate Services Unit
CRA	Cumulative Risk Assessment
CWD	Chronic Wasting Disease
DATA	EFSA Evidence Management Unit
DG SANTE	Directorate General for Health and Food Safety
DoI	Declaration of Interest
doi	digital object identifier

¹ The French Agency for Food, Environmental and Occupational Health & Safety

² The German Federal Institute for Risk Assessment.

³ The German Federal Office of Consumer Protection and Food Safety



DRVs	Dietary Reference Values
EC	European Commission
ECDC	European Centre for Disease Prevention and Control
ECHA	European Chemicals Agency
EFSA	European Food Safety Authority
EMA	European Medicines Agency
EMAS	Eco-Management Audit Scheme certification
EMP	Expertise Management Programme
ENCO	EFSA Engagement and Cooperation Unit
ENP	European Neighbourhood Policy
EU	European Union
EUAN	EU Agencies Network
EU-RAA	EU Risk Assessment Agenda
FAF	EFSA Panel on Food Additives and Flavourings
FAO	Food and Agriculture Organisation of the United Nations
FCM	Food Contact Materials
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
GPS	Global Performance Services Unit
HUCAP	EFSA Human Capital Unit
IAS	Internal Audit Service of the European Commission
IMP	Information Management Programme
IPA	Instrument for pre-accession assistance (abbreviation used for the "pre-accession" countries).
IUCLID	International Uniform Chemical Information Database
JRC	Joint Research Centre
LA	EFSA Legal and Regulatory Affairs Unit
MB	EFSA Management Board
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
OIE	World Organization for Animal Health
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
PRES	Pesticide residues Unit
PREV	Pesticide peer review Unit
RA	Risk assessment
RAMPRO	Risk Assessment Methodologies Programme
RASA	EFSA Risk Assessment and Scientific Assistance Department
REGPRO	regulated products area
REPRO	EFSA Scientific Evaluation of Regulated Products Department
SC	EFSA Scientific Committee
SCER	EFSA Scientific Committee and Emerging Risks Unit
SEA	Stakeholder Engagement Approach
SME	Small and Medium Enterprise
SOP	Standard Operating Procedure
TDI	Tolerable Daily Intake
TR	Transparency Regulation
TS	Transformation Services
TSE	Transmissible Spongiform Encephalopathy
TTC	Threshold of Toxicological Concern
UK	United Kingdom
WG	Working Group



Foreword

This annual activity report for 2019 records another year of intense efforts at the European Food Safety Authority and, first and foremost, I would like to acknowledge the huge number of people who make the agency's work possible – EFSA staff, members of its scientific panels and working groups, Member State focal points and stakeholder groups. Every person and organisation connected to EFSA contributes to our mission to protect public health in Europe.

Our mission has never been more relevant. The newly constituted European Commission's Farm to Fork sustainable food strategy is at the heart of the EU's Green Deal. The Green Deal envisages a series of measures that will create an efficient, climate-smart food system that provides healthy food while securing a livelihood for EU farmers and fishermen. It is an exciting agenda, and EFSA will play a crucial role in delivering on these ambitious objectives.

EFSA itself is entering a phase of renewal and regeneration. In September last year, following approval by the European Parliament, the Council adopted the Transparency Regulation, which amends the founding regulation of EFSA, the General Food Law.

The Management Board welcomes the new Regulation, which contains far-reaching and forward-looking measures that will strengthen EFSA and make its science even more open and robust. We also welcome the additional resources and budget that will be absolutely necessary if we are to meet our new obligations. The timetable is tight – EFSA is expected to start implementing the new provisions by the first quarter of 2021 – but the agency already has a detailed action plan in place, and we are confident we can deliver on time.

The aim of the Transparency regulation is to improve the transparency of risk assessment in the food chain, and in particular to strengthen the reliability, objectivity and independence of the studies used by EFSA. It is a bold move that will reshape EFSA, particularly in the areas of governance, transparency of data, and risk communication. The new legislation will also require EFSA to adopt a new approach to cooperation with its main partners, which will change the Authority's work culture and practice significantly, ensuring the sustainability of its operations and the coherence of EU risk assessments.

In tandem with these preparations, EFSA started rethinking its strategic orientation last year. The new Strategy 2027, to be finalised in 2020, will be firmly grounded in both the Authority's founding regulation and the new Transparency Regulation, and take account of the evolving debate on sustainable food systems. It will define EFSA's strategic vision, values and corporate goals for the coming years.

Delivering robust science, furthering openness and engagement via the integration of social science into food safety risk assessment to consider the public opinion and perceptions, and enhanced collaboration with key partners, will continue to be the core principles underlying EFSA's activities.

It was a pleasure to open the annual meeting of EFSA's Stakeholder Forum, where EFSA presented a review of its Stakeholder Engagement Approach, which was first endorsed by the Management Board in 2016. The review generated a number of recommendations, such as developing new digital methods



for interaction with stakeholders and selecting topics for engagement that correspond more closely to stakeholders' concerns.

The Management Board was also pleased to see the publication of a new Eurobarometer survey on social attitudes to food safety, the first such survey to be carried out since 2010 and published on the occasion of the first UN World Food Safety Day. At its final meeting of 2019, the Management Board took the opportunity to recognise the very positive performance of the EFSA Journal, the main dissemination channel for EFSA's scientific outputs. The Journal is an EFSA success story, and the next phase of its development includes proposals that will increase its impact, visibility and usability.

So, another year when EFSA continued to evolve by confronting challenges and embracing opportunities. Our journey continues for the best of the consumers, animals, plants and the environment.

Jaana Husu-Kallio, Chair of the EFSA Management Board



Introduction

Welcome to EFSA's annual report for 2019, another year of tireless activity and achievement carried out against a backdrop of political change and rupture.

EFSA addressed more than 800 questions through scientific outputs and supporting publications, providing fit-for-purpose scientific advice to European risk managers whilst at the same time ensuring its capacity to address ongoing and future challenges. The sheer volume of work produced by our staff and scientific experts is truly impressive.

Completing such an extensive work programme is possible only because of the dedication and commitment of every one of our staff and experts, as well as the "supporting cast" of partners in the Member States, at the European Commission and among our stakeholder bodies. The EFSA family stretches far and wide.

Our work last year was carried out in the context of a newly constituted European Parliament and European Commission, which meant we saw the departure of Vytenis Andriukaitis after five years as Commissioner for Health and Food Safety. Mr Andriukaitis was throughout his tenure an enthusiastic supporter of EFSA and its work, and we wish him well.

It also became clear that the UK would be departing the EU in 2020. In that respect, EFSA has developed an action plan in close collaboration with the European Commission, which considers the Withdrawal Agreement signed by the European Union and the United Kingdom and the effects of the transition period until the end 2020. We value the contribution that our many British colleagues and partners have made to the development of risk assessment in Europe and hope that we will be able to continue to work together in the future to protect the health and wellbeing of all our citizens.

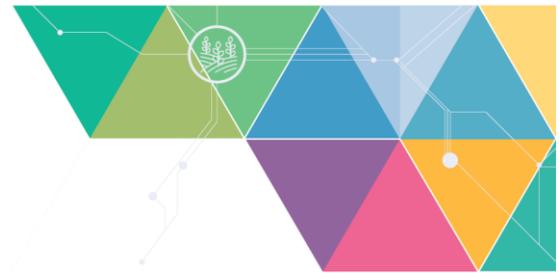
EFSA marked the renewal of the parliament with a special campaign, #EUandMyFood, launched in the run-up to the elections to raise awareness on how the EU food safety system enhances the lives of citizens. The campaign featured short, non-technical multimedia materials such as videos and animations aimed at non specialists and citizens. These attracted around 2 million views in six weeks, and the materials were widely shared on social media.

We also began to map out the renewal of EFSA itself following the adoption of the new Transparency Regulation by the Council of the EU. The amended General Food Law will transform the way we work at EFSA and we have already devoted significant time and resources to envisaging and designing our future structure and identity.

Amidst all this scene-changing, our scientists got on with their work.

Our plant health specialists continued to unlock the secrets of *Xylella fastidiosa*, updating their risk assessment of this dangerous pathogen and evaluating control measures in place in the EU, in the process providing comprehensive scientific advice and support to the EU and the Member States in designing the upcoming new emergency measures. EFSA co-hosted the second European conference on *X. fastidiosa*, attended by around 350 specialists in the field. In the run-up to the International Year of Plant Health in 2020, EFSA's assessments helped the European Commission to establish a list of priority plant pests for the EU and we began carrying out commodity assessments of high-risk plants.

In the area of animal health and welfare, EFSA updated its scientific opinion on the threat to Europe from African Swine Fever, a deadly viral disease of pigs and wild boar that has spread to the Balkan region in recent years. A number of scientific opinions on stunning methods for slaughter were published in consultation with animal welfare experts from EU Member States and will be used by the



European Commission in discussions with the World Organization on Animal Health (OIE) aimed at aligning approaches to animal welfare at slaughter.

We accepted with pride the European Ombudsman's award for excellence through collaboration for our work with stakeholders on bee health.

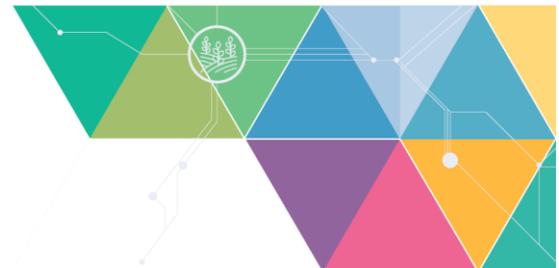
More than 500 questions on regulated products were addressed in 2019. Prominent in this area of work were the assessments of substances with potentially endocrine disrupting properties, following the finalisation of the new guidance in cooperation with the European Chemicals Agency (ECHA) the previous year.

There was a steep rise in the number of applications for authorisation of novel foods – an almost ten-fold increase on 2018 – to which EFSA responded by introducing a streamlined assessment process and refined methodology.

Also in the area of nutrition, dietary reference values (DRVs) were established for sodium and chloride, marking the end of ten years of work by EFSA's nutrition scientists, who set DRVs for macronutrients such as proteins and carbohydrates, as well all vitamins and minerals.

These examples just scratch the surface. I invite you to browse these pages to get a full picture of the breadth of work – from planned requests on pesticides and food additives to urgent responses on foodborne outbreaks and chemical contaminants – that EFSA carried out in 2019. I think we had another good year, but I leave you to judge for yourself.

Bernhard Url, Executive Director



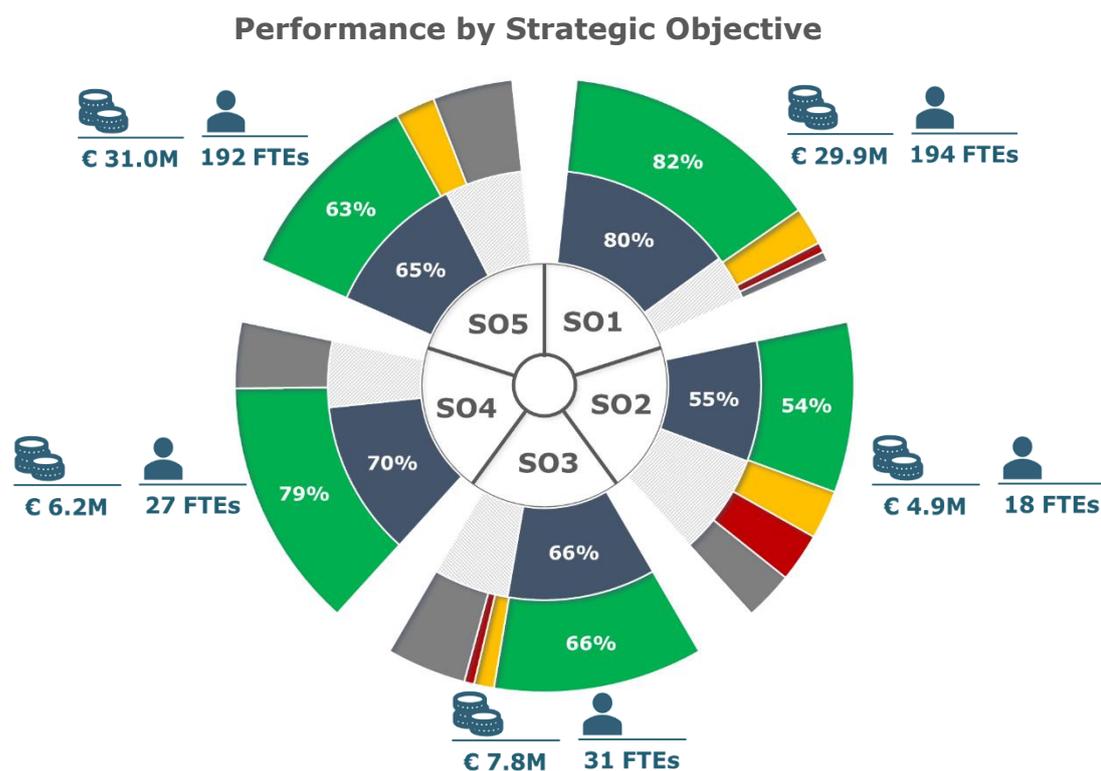
Performance at a glance

Overview

EFSA’s strategy 2020⁴ outlines five strategic objectives (SOs) that guide EFSA in fulfilling its mission while aiming to increase customer satisfaction and the trust of stakeholders in its scientific advice:

- **SO1.** Prioritise public and stakeholder engagement in the process of scientific assessment;
- **SO2.** Widen EFSA’s evidence base and optimise access to its data;
- **SO3.** Build the EU’s scientific assessment capacity and knowledge community;
- **SO4.** Prepare for future risk assessment challenges;
- **SO5.** Create an environment and culture that reflect EFSA’s values.

Looking at the 2019 performance, EFSA registered positive results across all its strategic objectives, as showed by the set of Key Performance Indicators currently being measured (outer circle) and by the results coming from the Customer/Stakeholders Feedback Survey (Figure 1).



Inner circle: satisfaction rate from Customer/Stakeholder Feedback Survey over total

Outer circle: percentages of KPIs reaching or surpassing targets over total

Pictures: amount of budget and FTEs spent per SO

Figure 1. Performance of KPIs by SO ⁵

⁴ EFSA strategy 2020, <http://www.efsa.europa.eu/en/corporate/pub/strategy2020>

⁵ Percentages indicate the proportion of indicators that reached or surpassed their targets. Overall size (green area + orange area) of each SO is related to the number of indicators monitored



Looking deeper at the scientific production, EFSA was able to address 838 questions through scientific outputs and supporting publications across all its areas, ensuring fit-for-purpose scientific advice to the European risk managers, fostering the harmonisation of methodologies at European level, and increasing its own ability to address ongoing and future challenges. These activities were implemented while ensuring a solid compliance and a very good financial execution, with the budgetary indicators registering results in line with their targets.

741 of these questions were addressed in SO1. In the area of general risk assessment, particularly noteworthy was the continuous work on *Xylella fastidiosa*, a vector-transmitted bacterial plant pathogen associated with serious diseases in a wide range of plants. In 2019, EFSA updated its scientific opinion on the risks to plant health posed by the *Xylella fastidiosa*, adopted a large number of pest card surveys and import risk assessment, and took part to a conference in France. In the area of animal health, instead, EFSA continued with its work on African Swine Fever (ASF), a usually deadly viral disease of pigs and wild boar. This year, EFSA carried out a gap analysis report to support decision makers in the control and eradication of ASF in the EU, and the scientific opinion on African Swine Fever was updated considering information received by different European countries.

EFSA carried out three rapid outbreak assessments in 2019, focusing on *Listeria monocytogenes* and Salmonella. EFSA and ECDC jointly produced a technical report on the multi-country outbreak of listeriosis.

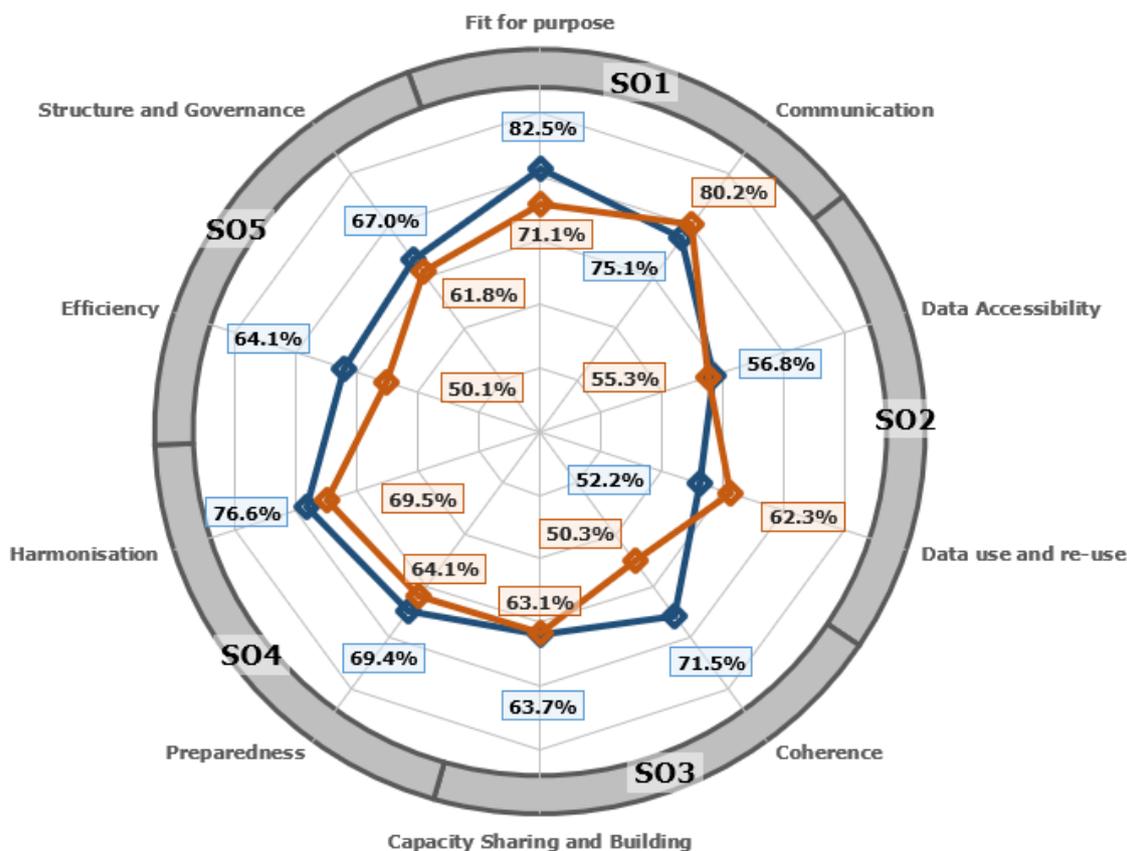
Considering only the areas of regulated products, 546 questions were addressed in 2019, more than 2017 (466) and 2018 (524). In this remit, it is worth mentioning the work carried out in relation to substances with endocrine disruptive properties, which led to a joint EFSA-ECHA workshop to further increase collaboration on this topic. EFSA also provided training courses to Member States and the European Commission on the use of the Guidance for the identification of endocrine disruptors.

The increased volume of questions closed, however, did not result also in an increased compliance with the legal deadlines, with some areas registering delays mainly due to lack of resources and presence of backlogs. Overall, these positive results were also confirmed by the positive perception that EFSA stakeholders expressed on the fitness-for-purpose of EFSA's scientific advice through the Customer/Stakeholders Feedback Survey that was run this year.

In April 2019, EFSA carried out the 2nd edition of its Customer/Stakeholder Feedback survey, with the aim of gathering a comprehensive outlook of the stakeholders' perception of the full set of EFSA's services and products. The feedback received was overall positive, with most of the areas covered registering an increase compared to 2017, as shown in figure 2.



Customer/Stakeholder Feedback Survey 2019 -Satisfaction by SOs and areas of work



Blue line: 2019 results
Orange line: 2017 results

Figure 2. Customer/Stakeholder Feedback Survey 2019 -Satisfaction by SOs and areas of work-

The communication area registered as well positive results, both in terms of publication of scientific outputs (with the EFSA Journal continuing registering positive performance in its timeliness of publication and scoring a very positive -98%- satisfaction rate) and with an increased presence in media and social media.

Moving to SO2, and more specifically in the area of access to data, the efforts put in promoting (via communication and training activities) the Knowledge Junction platform and the 9 data collection dashboards/aggregates that were published in 2019 were reflected in the results emerged from the survey. Despite the increased number of data collection dashboards/aggregates published (9 in 2019, bringing the total to 25), the area of use and re-use of data registered a drop in satisfaction. This might be due the delays registered on the initial timescale of the Matrix project (which was recently re-scoped to accommodate the changes that will be introduced by the Transparency Regulation).



Moreover, EFSA adopted less scientific outputs and supporting publications than planned (9, against a target of 12).

In the Strategic Objective 3, indicators were generally in line with their initial targets. The survey showed an increased satisfaction rate in the area of “Coherence”, instead, and this was reflected by the fact that all potential divergencies/duplications between EFSA and MS were identified on time and followed-up within the set timeframe, and by the fact that 25 Member States actively shared their risk assessment plans. The latter was strengthened in 2019 with the launch of a web application broadening the sharing among Member States. of their projects planned in the context of the EU Risk Assessment Agenda (EU RAA).

The Key Performance Indicators measured in SO4 registered very good results, with no significant deviation from the targets set for 2019. Similar results were also registered in the survey, that showed an increase both in the area of “Preparedness” and in the area of “Methodology Harmonisation”.

Looking deeper, EFSA registered results that slightly exceeded the targets (and the results for 2018) in terms of preparedness, and this was reflected also by the satisfaction rate expressed by the stakeholders in the survey, that registered an increase of 5 percentage points (p.p.).

In the area of harmonisation, the satisfaction rate registered a higher increase survey-on-survey, mainly driven by the fact that EFSA was perceived as being more equipped for facing “Ongoing challenges” and “Crises/Urgent request” than it was two years ago, and by an increased awareness of EFSA’s cross-cutting guidance documents, methodologies and tools. Whilst the KPIs measuring the awareness and usage of EFSA’s methodologies in a more quantitative way are not being measured yet, the performance indicators assessing the use of EFSA’s guidance documents and EFSA’s tools registered positive results, thus confirming the findings of the survey.

Moving to SO5, in 2019 EFSA registered significant steps towards the implementation of the Transparency Regulation measures, with the draft of the first design of all the scientific processes mandatory by law carried out. The measures coming from the revision of the General Food Law will be embedded into the EFSA Strategy 2027 that will entry into force in 2021. The work on the new Strategy started in 2019, with the involvement of the Management Board and EFSA’s key partners and stakeholders, and it delivered a draft of the new strategic directions.

For what concerns the overall performance, EFSA achieved a clean discharge for the implementation of its 2017 budget and also in 2019 the budgetary indicators registered results in line with the plan, thus setting the basis for another positive assessment of EFSA’s management of financial resources.

A positive performance was also achieved in the management of the human resources. EFSA registered good results in terms of post allocation (with an occupancy rate of 97.6% -against a target of at least 95.5%-) and also in terms of allocation of staff to core business-related activities vs support activities (as 74% of EFSA’s “full time staff equivalent” were spent in operational activities, against a target of 75%). In the area of “Efficiency”, EFSA continued to improve its IT systems, as shown by the steady increase in the use of new technologies to carry out meetings and the growth of social collaboration platforms of scientific experts. These improvements were also backed by the perception that external stakeholders had of EFSA’s infrastructures in the Customer/Stakeholder Feedback survey. Some deviations were instead experienced with the overall execution of EFSA’s projects, mainly due to delays that occurred in the second half of the year, when projects related to the ART programme were prioritised over other development activities.

In the area of people and culture very positive results were achieved in the 2019 Staff Engagement Survey (SES), with all the indicators registering an increase compared to the previous edition, carried out in 2017.



Finally, an additional element that was measured through the Customer/Stakeholder Feedback Survey 2019 was the perception of EFSA’s external stakeholders of the extent to which the Authority is fulfilling its values. As set out in its Strategy, all EFSA’s strategic objectives and operational activities are based on a set of five fundamental values::

- **Scientific excellence.** EFSA aims to provide fit-for-purpose and 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.
- **Innovation.** Being proactive and forward-looking enables EFSA to anticipate new challenges.
- **Openness.** EFSA aims to communicate openly and promptly on its scientific work, which helps foster trust in the Authority. As well as being transparent, EFSA aims to engage civil society in its risk assessment work and connect with untapped scientific potential.
- **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.
- **Cooperation.** Working together and exchanging knowledge between food safety experts in the EU and around the world ensures excellence and efficiency and maximises the available risk assessment capacity and potential.

As shown in figure 3, respondents shared very positive views on the way EFSA is fulfilling its values, with a high degree of consistency among the various respondent groups.

Customer/Stakeholder Feedback Survey 2019 -Satisfaction on EFSA’s values-



Figure 3. Customer/Stakeholder Feedback Survey 2019 -Satisfaction on EFSA’s values-

In particular, the vast majority of the respondents agreed that EFSA fosters an environment of scientific excellence, independence, cooperation, and openness (with rating higher than 85%). The value “Innovation” (76.4%) received less consensus but it remained in the positive area. The perception of the external stakeholders on the magnitude of EFSA fulfilling its values was in line with what was expressed by EFSA staff in the recent (November 2019) Staff Engagement Survey: 94% of staff members agreed that they share EFSA’s values and they apply them in their daily work.



Section I. Annual and multiannual work programme - Performance per Strategic Objective

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

EFSA’s scientific advice supports the decision-making process of the risk managers at the European Commission and in the Member States in the areas of general risk assessment for food and feed, plant health, animal health and welfare and nutrition. EFSA’s mandate also covers the regulated products risk assessment which takes place before their authorisation on the EU market. These are substances in food and feed, food contact materials and food-related recycling processes, processing aids, pesticides, genetically modified organisms, and include also the evaluation of the scientific substantiation of nutrition and health claims.

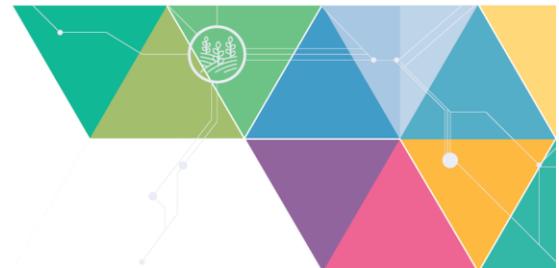
The results coming from the 2019 Customer/Stakeholder Feedback Survey showed overall positive results, standing at 80.1%, 5 p.p. more compared to the 2017 survey. A positive evaluation was given for the area of fitness-for-purpose, whilst the area of communication registered a result slightly lower than the one in 2017 (see figure 4).

A closer look at the satisfaction rating expressed by the stakeholders surveyed revealed that the majority of the respondent groups expressed favourable satisfaction rates, with particularly high rates registered by the Member States risk assessment bodies, the EFSA’s scientific networks, and the European Commission members (albeit this result is based on few replies). Other key stakeholders, such as representatives of EFSA’s Advisory Forum, Focal Points, and EFSA’s Management Board also registered positive satisfaction rates.

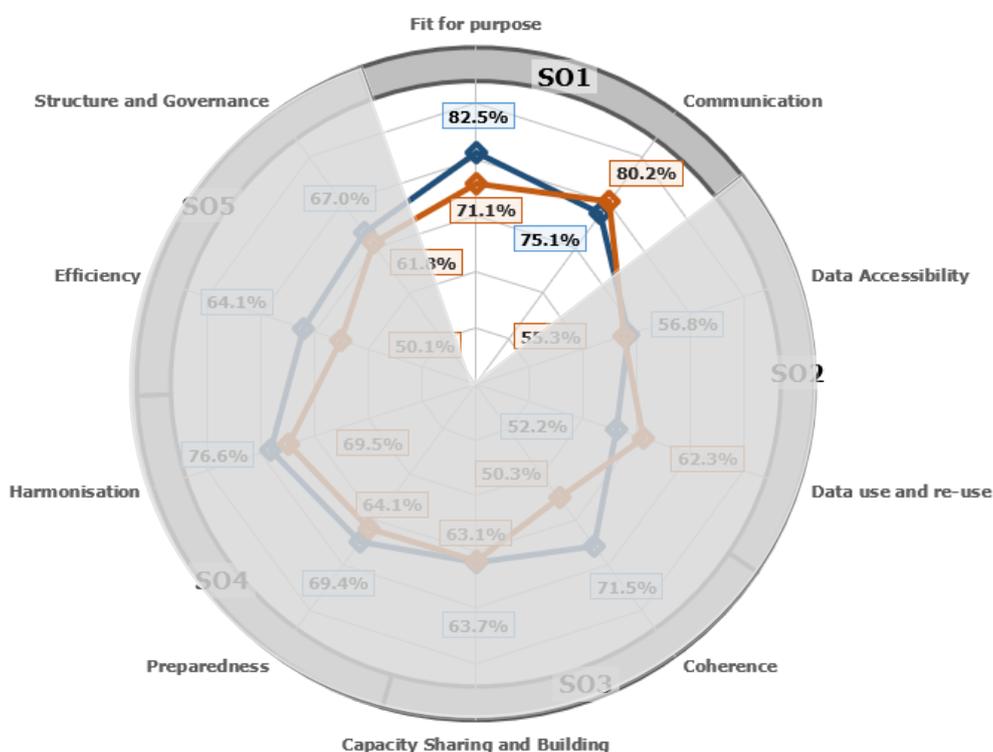
Less positive rates were expressed by two of the groups that are contributing to EFSA’s scientific Risk Assessment process (scientific working group members: 75.6%, and pesticides peer-review experts: 71.4%). A deeper look at their replies, however, showed how they still rate EFSA’s scientific work quite high (more than 80%). More details on the satisfaction rates per area of work are presented in the following pages.

Table 1. Intermediary impact indicators for SO1 – Satisfaction on scientific outputs and the scientific assessment process

KPI	Indicator	Baseline	Target 2019	Executed 2019	Status
Intermediary impact: Increased satisfaction of stakeholders regarding EFSA’s scientific outputs (for Commission/Member State risk managers and stakeholders) and the scientific assessment process					
Satisfaction via feedback surveys: positive and relative qualitative improvement (with regards to follow-up actions)	Risk managers (EC/MS)	81.6% (2017)	≥80%	86.6%	
	Stakeholders	74.7% (2017)	≥70%	78.1%	
	Applicants	78.3% (2017)	≥78%	78.6%	



Customer Satisfaction Survey: SO1



Blue line: 2019 results
Orange line: 2017 results

Figure 4. Customer Satisfaction Survey: SO1

1.1 Fit-for-purpose scientific production

Positive results were reflected by the feedback gathered through the Customer/ Stakeholder survey on EFSA’s scientific outputs and scientific assessment process. Overall, the satisfaction stood at 78.1%, +3.4 p.p. compared to 2017. Looking deeper at the result expressed by some key stakeholders, applicants registered a satisfaction rate of 78.6%, in line with the results of 2017, whilst Risk Managers registered a higher-than-the-average satisfaction rate of 81.6% (table 1), a result also reflected in the positive feedback received during the annual interviews conducted with DG Health and Food Safety on the quality of EFSA’s scientific opinions.

This is the result of 741 scientific questions EFSA closed overall for SO1 in 2019, in the areas of general risk assessment and regulated products evaluation, in line with the annual plan of 731, and slightly above the results registered in 2018.



1.1.1 General risk assessment

In the area of general risk assessment, EFSA closed in total 195 questions⁶ (182 through scientific outputs and technical reports and 13 through external reports), in line with the initial plan of a total of 203 questions (see table 2 and figure 5), and above the 2018 result (171). This increase in the production compared to 2018 is also reflected by the increased number of FTEs dedicated to general risk assessment (48 FTEs in 2019, 6 more than 2018), which allowed a better handling of the overall increased workload.

In terms of **timeliness of adoption**, the result can be considered on track: some pest survey card technical reports were issued with minor delays in the first half of the year, which resulted in a low timeliness of adoption; the performance in this sense has however constantly improved during 2019, thanks to an overall excellent compliance to the deadlines in the second part of the year.



Figure 5. Number of questions closed in general risk assessment

Table 2. Activity and outputs indicators for SO1 — General risk assessment

Activity – output indicators				
General risk assessment				
Indicator	Executed 2018	Target 2019	Executed 2019	Status
Number of questions delivered for scientific outputs and technical reports	155	192	182	🟢
Number of questions delivered for 'other publications' ⁷ (external reports, event reports)	16 (12 external / 4 event)	11	13 (external reports)	🟢
Proportion of scientific/technical questions adopted within deadline	98.7%	100%	95.6%	🟢

From the overall scientific work delivered in the general risk assessment area, the following achievements can be highlighted in the specific areas of work:

Plant health

A large amount of the questions closed reflects work done in the area of **plant health**: all the large taxonomic and crop groups **pest categorisations** were delivered, with support from Article 36 organisations in Member States via tasking grants, and the quantitative assessment of risk of entry and its uncertainties for the bacterium *Pantoea stewartii* on maize seeds imported from USA was also concluded. On the other hand, dossiers for **commodity risk assessment of high risk plants** were

⁶ Additional details on questions closed by Unit and food sector area can be found in Annex IV. Questions closed in 2019

⁷ According to definitions of EFSA outputs <http://www.efsa.europa.eu/en/efsajournal/scdocdefinitions>



received mostly in the last quarter of the year, and therefore the first opinion in this area (*Albizia julibrissin* plants for planting from Israel) was adopted only in November 2019, while other evaluations are on-going; this explains the minor under-execution in terms of questions closed via scientific outputs and technical reports (see table 2).

Still in the area of plant health, further work was carried out by EFSA on ***Xylella fastidiosa***: the updated scientific opinion on the risks to plant health posed by *Xylella fastidiosa* in the EU territory was finalised, and together with the opinion on the assessment of the effectiveness of plant control measures for Xylella and the pest survey card on Xylella, provide comprehensive scientific advice and support to the EU and the Member States in designing the upcoming new EU Xylella emergency measures. In October 2019, a conference was jointly organised by EFSA, the [French National Institute for Agricultural Research](#) (INRA), the [French Agency for Food, Environmental and Occupational Health and Safety](#) (ANSES), the Office de l'Environnement de la Corse (OEC) through its department the [Conservatoire Botanique National de Corse](#), the EU-funded projects [PONTE](#), [XF-ACTORS](#), [CURE-XF](#) and [EuroXanth](#), and the [Euphresco](#) network for phytosanitary research coordination and funding. The event was an opportunity for participants to catch up on the latest advances and achievements of other national and transnational research activities that are ongoing worldwide and to discuss ways of strengthening coordination and synergies. In addition, EFSA organised a workshop and dedicated training on risk and statistical-based surveillance for Xylella and Citrus black spot, through Tasking and Cooperation grants with Member States.

Animal health

The work on **African Swine Fever (ASF)** continued with a gap-analysis report produced in September in order to identify research gaps that could contribute to help decision makers in the control and eradication of ASF in the EU. In December an epidemiological follow-up report describing the updated situation of the disease in the EU was adopted. As for **Lumpy Skin Disease (LSD)**, a report on the progress of eradication of the disease outbreaks in the Balkan area was delivered. In addition, the scientific opinion on African Swine Fever was updated, considering improved and reinforced communication regarding the relevance of early detection as a key element to control the spreading of the disease in the EU. Information from stakeholders in Albania, Bosnia-Herzegovina, Croatia, Greece, Kosovo, Montenegro, North Macedonia, Serbia and Slovenia was considered in developing the opinion.

Animal welfare

A number of scientific opinions were published on **stunning methods** for slaughter (i.e. for meat production) and on **killing methods** for other purposes than slaughter (e.g. disease control). A methodology was developed in order to provide a comprehensive overview on hazards that give rise to welfare issues during stunning and killing of animals. Preventive and corrective measures are proposed to mitigate the hazards. The opinions have been developed in consultation with animal welfare experts from EU Member States and will be used by the European Commission in discussions with the World Organization for Animal Health (OIE) aimed at aligning approaches to animal welfare at slaughter."

Biological hazards

EFSA delivered an update of the opinion on **Chronic Wasting Disease (CWD)**, which reviewed the current state of knowledge with regards to CWD strains found in North America and Europe and new evidence on the zoonotic potential of CWD. The opinion states that available data do not allow any conclusion on the zoonotic potential CWD isolates. Exclusion from the food chain of whole carcasses of infected animals would be required to eliminate exposure. The opinion also reviewed risk factors identified for the spread of CWD, highlighting the ones that could be preventable. Information and



expertise needed to finalise the updated opinion came from North America, Italy, Norway, UK and France.

Chemical hazards

EFSA has adopted two scientific opinions related to **contaminants**, namely on the risks for animal and human health related to the presence of quinolizidine alkaloids, and of chlorinated paraffins, in food and feed. **Quinolizidine alkaloids** are naturally occurring compounds that can be present in lupin seeds; if not properly removed, they can trigger poisoning in humans by affecting the nervous, cardiovascular and digestive systems. **Chlorinated paraffins** are industrial chemicals that may be released into the environment and contaminate food and feed. A preliminary risk characterisation based on a limited exposure scenario suggested no human health concern.

Still in the area of contaminants, EFSA delivered a scientific report on **acute human exposure assessment to tetrahydrocannabinol** (Δ 9-THC), a naturally occurring psychoactive compound derived from the hemp plant *Cannabis sativa*. The report provides an updated exposure assessment using more recent occurrence and consumption data compared to the previous exposure assessment on risks to public health related to the presence of THC in milk and other food of animal origin.

In the area of food contact materials, the work on bisphenols is progressing: the technical report on "Testing the study appraisal methodology from the 2017 **Bisphenol A (BPA)** hazard assessment protocol" has been delivered, followed by a webinar open to all the interested parties, with the aim to present and discuss the outcome of the testing phase of the BPA protocol's internal validity appraisal methodology and the necessary changes to adapt the methodology. The survey of the webinar participants confirmed the positive outcome of the event. Concerning **Bisphenol S (BPS)**, it is worth noting that EFSA, ECHA and the Belgian Competent Authority established a coordination group to align the evaluation of the new studies generated under REACH. Aim of this coordination group is to promote inter agencies and Member States cooperation avoiding duplication of work and possible divergent opinions.

EFSA, in close collaboration with ECHA, also adopted its updated risk assessment of five **phthalates** authorised for use in food contact materials (FCM), namely DBP, BBP, DEHP, DINP and DIDP⁸. The draft opinion underwent public consultation and was presented in a webinar with about 300 registrants. The opinion has some methodological peculiarities, including the performance of an aggregated dietary exposure assessment, the setting of a temporary group-TDI, and the characterisation of risks from a mixture, which provided a challenging hurdle for EFSA to overcome.

Zoonoses and antimicrobial resistance monitoring

The **European Union One Health 2018 Zoonoses Report** was jointly finalised by EFSA and ECDC and presents the results of zoonoses monitoring activities carried out in 2018 in 36 European countries (28 Member States and 8 non-Member States). The first and second most commonly reported zoonoses in humans were campylobacteriosis and salmonellosis, respectively. The EU trend for confirmed human cases of these two diseases was stable during 2014–2018. STEC (shiga toxin-producing *Escherichia Coli*) infections in humans were the third most commonly reported zoonosis in the EU and increased from 2014 to 2018. The number of reported confirmed listeriosis cases further increased in 2018, despite *Listeria* rarely exceeding the EU food safety limit tested in ready-to-eat food. Also the **European Union summary report on antimicrobial resistance** in zoonotic and indicator bacteria from humans, animals and food in 2017 was delivered, again jointly by EFSA and ECDC, and was for the first time produced using an 'overview format' covering the most recent data from 2017 and 2018 in food producing animals and from 2018 for human data.

⁸ Di-butylphthalate, butyl-benzyl-phthalate, Bis(2-ethylhexyl)phthalate, di-isononylphthalate, di-isodecylphthalate.



Upon request from DG SANTE in the context of a **new European “One Health” action plan against antimicrobial resistance**, EFSA also provided technical assistance with regard to the ‘technical specifications on harmonised monitoring of antimicrobial resistance in zoonotic and indicator bacteria from food-producing animals and food’: the scientific report presents proposals to update the **harmonised monitoring and reporting of AMR from a public health perspective** in *Salmonella*, *Campylobacter coli*, *Campylobacter jejuni*, *Escherichia coli*, *Enterococcus faecalis*, *Enterococcus faecium* and methicillin-resistant *Staphylococcus aureus* (MRSA) from food-producing animals and derived meat in the EU, accounting for recent trends in AMR, data collection needs and new scientific developments.

Regarding the surveillance activities on animal **Transmissible Spongiform Encephalopathies (TSE)**, a report was also delivered presenting the results of surveillance activities on animal TSE carried out during 2018 in the EU and in four non-Member States, i.e. Iceland, North Macedonia, Norway and Switzerland, as well as genotyping data in sheep. Surveillance data were mainly submitted through the newly developed EFSA TSE data reporting tool.

Urgent response

- **Chemical hazards**

EFSA performed a rapid assessment on the health risks related to the presence of **mineral oil aromatic hydrocarbons (MOAH)**, which was detected in batches of infant and follow-on formulae in France, Germany and the Netherlands as reported by [foodwatch](#). Upon request of the European Commission (EC), Member States (MS) analysed the concerned batches and to investigated possible contamination sources and transmitted the information to EFSA to perform the assessment. Based on the information made available up to 14 November 2019, the estimated exposure for infants and toddlers is of possible concern for human health; an update of the assessment will be considered upon availability of additional data.

- **Biological hazards**

EFSA also carried out **three rapid outbreak assessments** in 2019, focusing on *Listeria monocytogenes* and *Salmonella*. In particular, EFSA and ECDC jointly produced a technical report on the multi-country outbreak of listeriosis: cold-smoked trout and salmon produced in Estonia is the source of the **Listeria monocytogenes outbreak** which has affected 22 people in five countries since 2014. Experts from the two Agencies were able to confirm the source of the infection using whole genome sequencing and traceability investigations. The affected countries are: Denmark (9 cases), Estonia (6), Finland (2), France (1), and Sweden (4).

Technical assistance

In the area of food ingredients, EFSA also supported risk assessors by replying to an urgent request: scientific assistance was provided to the European Commission on an opinion from ANSES on **titanium dioxide (E171)**, which concluded that the findings in the ANSES opinion do not overrule the conclusions made in the previous two scientific opinions issued on the same topic by the former ANS Panel in 2016 and 2018. In the area of feed additives, scientific assistance was provided to the European Commission as a reply to an urgent request on the risk posed to humans through food consumption by **vitamin B2 used as a feed additive** and produced by a genetically modified bacterial strain; the assessment, which as requested by the European Commission was meant to also take into account gene(s) coding for resistance to antimicrobials of human and veterinary importance, was a good example of cross-unit and cross-department collaboration.

In the area of **GMOs**, an urgent request for internal review was sent to EFSA in relation to the Commission Implementing Decision authorising the placing on the market of genetically modified maize MON 87427 × MON 89034 × 1507 × MON 88017 × 59122 and sub-combinations. An EFSA



technical report concluding that the scientific arguments supporting the request for internal review would not invalidate the previous risk assessment conclusions and risk management recommendations on the topic made by the GMO Panel.

Nutrition

In the area of nutrition, an important milestone was reached with the delivery of **dietary reference values (DRVs) for sodium and chloride**. The finalisation of such opinions marks the end of ten years of work by EFSA's nutrition scientists. It started in 2009 after the European Commission asked EFSA to update values last set in the 1990s for macronutrients such as proteins and carbohydrates, and all vitamins and minerals.

EFSA staff published a [compilation of all EFSA's DRVs opinions](#) in the EFSA Journal providing fit-for-purpose and timely advice to risk managers.

A user-friendly interactive tool – the [DRV Finder](#) – already launched in 2018, was updated with the values from the latest scientific advice on DRVs for sodium and chloride. The tool is currently available in 10 languages.

In addition, EFSA provided advice on the **timing of introduction of complementary foods for infants**, where a protocol was drafted to define the strategy and methodology to collect and evaluate scientific data, about 300 scientific publications were evaluated, and a public consultation was launched on the draft opinion. EFSA also published a [plain language summary](#) to help non-specialist to find the key information quickly.

1.1.2 Regulated products

In the area of regulated products, EFSA received 384 applications, slightly above those received in 2018 (362), and closed in total 546 questions⁹ (541 through scientific outputs and technical reports and 5 through external reports), a result which is slightly exceeding the plan of 528 questions (see table 3 and figure 6), and also above the 2018 result (524)¹⁰.

This increase in questions received and closed can be seen in connection with an increased number of full-time-staff equivalents (FTEs) allocated to the regulated product area (126 FTEs in 2019, +5 compared to 2018), mainly to cover the increased needs for the assessment of novel foods and traditional foods and of endocrine substances in the area of pesticides. Further details on scientific production are depicted below.

In terms of **timeliness of adoption**, the long-term issue of adoption delays for regulated



Figure 6. Number of questions closed in regulated products evaluation

⁹ Additional details on questions closed by Unit and food sector area can be found in Annex IV. Questions closed in 2019

¹⁰ The numbers reported here refer to the total of the questions in table 3: number of questions delivered for scientific outputs and technical reports and number of questions delivered for other publications.



products is still impacting the results: the timeliness stands at 82.8%, in line with the 2018 results (83.0%) and below the target of 90%, mainly due to the areas of feed additives and pesticides. More information on the specific areas is given below.

Table 3. Activity and output indicators for SO1 — Regulated products evaluation

Activity — output indicators				
Regulated products evaluation				
Indicator	Executed 2018	Target 2019	Executed 2019	Status
Number of questions delivered for scientific outputs and technical reports	519	525	541	
Number of questions delivered for 'other publications' ¹¹ (external reports, event reports)	5 (external reports)	3	5 (external reports)	
Number of questions in bulk evaluation in PRES (Art. 12 only) delivered	26	27	48 ¹²	
Proportion of scientific/technical questions adopted within deadline	83.0%	90.0%	82.8%	

From the overall scientific work delivered in the regulated products evaluation area, the following achievements can be highlighted in the specific areas of work:

Novel foods

In the area of **novel foods** the submission of applications saw an almost ten-fold increase already as of 2018; the full deployment of the new workflow through FSCAP shows clearer results in 2019, with a number of questions closed for applications and notification for traditional foods which has more than doubled with respect to 2018, and tripled with respect to 2017. In the light of this and of the work to come in the next years, EFSA conducted a leaning exercise for novel foods applications, meant to enable better planning of the workload and introduce more consistent methodology.

Feed additives

Another important factor which contributed to the increase of scientific questions closed can be seen in the efficiencies put in place in the area of **feed additives applications**, in which both submissions of dossiers and adoptions have seen a significant increase compared to past years: thanks to the use of topic-specific working groups and to the strengthening of the pre-panel review, the adoption rate increased by more than 30% compared to 2018. In this area, it is worth noting that the FEEDAP Panel adopted the first opinion on **a botanical as feed additive**, which applies the component-based approach described in the relevant Guidance of the Scientific Committee. This is considered as a milestone, given the complexity which is inherent in assessments of mixtures. The work required collaboration between the FEED Panel and the Scientific Committee in order to develop the methodology to be used in future assessments of similar opinions providing fit-for-purpose advice to risk managers.

Despite of efficiencies put in place, the feed additives area is still affected by a significant backlog. However, the new procedure allows for a faster assessment (also influenced by the reduction in the

¹¹ According to definitions of EFSA outputs <http://www.efsa.europa.eu/en/efsajournal/scdocdefinitions>

¹² Figure comprises 24 substances covered by an Article 12 review and 24 substances summarised in two statements where the rationale why a full Article 12 review was not necessary is provided (see also page 27).



number of requests for supplementary information to applicants) but a positive impact in terms of timeliness of adoption will be evident only in the medium-long run.

Food ingredients

An over-execution compared to the plan is observed both in the areas of **food additives re-evaluation** and **food flavourings**, due to the anticipated adoption of opinions merging several questions, initially expected to be adopted in 2020. For **food enzymes**, the adoption rate was slightly above that of 2018, and sees about a four-fold increase compared to the 2017 adoption rate a result of the leaning project carried out in this area.

In the area of **food additives**, the Panel on Food Additives and Flavourings (FAF) has developed two protocols, on the methodology for exposure assessment and on hazard identification and characterisation, in view of the upcoming **re-evaluation of sweeteners**. Both protocols underwent public consultation during the year. Given the complexity the re-evaluations and the potentially high public interest, EFSA also held a public scientific meeting in December 2019 to engage in discussion with all stakeholders, which was well received by the audience. In addition, EFSA completed the **re-evaluation of phosphates**, which attracted significant attention from media and public and was completed thanks to the collective efforts of the EFSA's scientific and communication departments. During the assessment, EFSA carried out a public consultation to engage with interested parties, which provided input to the finalisation of the scientific opinion. The opinion concluded that the estimated total intake of phosphates from food may exceed the safe level set by EFSA and recommends the introduction of maximum permitted levels to reduce the content of phosphates when used as additives in food supplements.

Food contact materials

The last meeting of the **Food Contact Materials network** for this 3-year mandate took place in November 2019. The event gathered, besides the representatives of 24 Member States, participants from EC DG SANTE, JRC and the Council of Europe, with the aim to promote cooperation and harmonization across the EU on methodologies for the safety assessment in the area of non-EU regulated food contact materials. The post-event survey filled in by participants indicated an excellent degree of appreciation for the meeting.

Pesticides

In the pesticides areas, the number of questions closed is lower than the initial plan: for **MRL Art. 10** applications, several dossiers have been withdrawn which were already in a quite advanced state, and a significant number of applications were "clock stopped"; the number of questions closed was also affected by a recent **leaning exercise**, which is temporarily subtracting resources but is expected to bring improvements and efficiencies in the process. In this context, EFSA has been working actively to prepare different templates and data models for presenting data in a structured way, considering on one hand the short and medium-term needs for optimising the processes, but keeping in mind the requirements under the new Transparency Regulation and the Pilot for Pesticides performed within the remit of MATRIX project. In addition, unforeseen support was provided to SANTE in relation to the extraordinary **Joint Meeting on Pesticides Residues (JMPR) meeting** that took place in 2019, which will result in the closing of additional questions in 2020. The above impacted also the timeliness of adoption, which is below the set target; also due to the fact that a number of MRL applications were received as merged assessment under the renewal process, and were therefore affected by the timeline of the peer review.



On the other hand, positive results are noted concerning the reduction of the **bulk evaluation**¹³ of **MRL Art. 12 review**: EFSA closed overall 48 questions, 24 via reasoned opinions (against an initial target of 27) and 24 via statement of EFSA (previously not included in the reporting)¹⁴. Besides this, EFSA carried out an **update of the reasoned opinion on glyphosate**, to consider data made available after the publication of the previous reasoned opinion.

For the **peer review of pesticides active substances** less applications compared to the plan were received, which resulted in less adoptions compared to the initial plan. In addition, as of late 2018 EFSA implemented the assessment of the endocrine disruptive potential for several active substances, which foresees the “stop-the-clock” procedure for applicants to provide additional information; this new procedure has also impacted the number of questions closed in the area in 2019. In this same remit, it should be noted that EFSA performed additional work in relation to substances with endocrine disruptive properties: a working group on the identification of **endocrine disruptors** was created, and a joint EFSA-ECHA workshop was organised to continue and enhance collaboration on this topic. The EFSA staff also provided a series of trainings to Member States and EC on the use of the Guidance for the identification of endocrine disruptors, which were organised in the framework of the European Commission training initiative “[Better training for safer food](#)”.

Still in the area of pesticides, EFSA published its 2017 **EU report on pesticide residues in food**, which summarises results of around 88,000 samples collected from the 28 EU Member States, Iceland and Norway. Just under 96% of food samples were found to be free of pesticide residues or to contain traces that fall within legally permitted levels. The main findings can be explored using EFSA’s specially developed [data visualisation tool](#), and a set of [FAQs](#) was published on the EFSA’s website to help improving the understanding of the report and the results.

1.1.3 Increased engagement

Stakeholders

Regarding stakeholders in a broader sense, a positive result can be noted in relation to engagement activities: when asked to rate the scientific advice provided by EFSA in relation to the involvement, consideration and engagement of stakeholder groups and citizens in the processes of risk assessment and of risk communication, the favourability rates were 76% and 74.9% respectively, showing a significant increase (+12 p.p. on average) compared to 2017 results (see table 5). This can be seen in connection with the increased efforts from EFSA’s side in enhancing dialogue and communication.

EFSA continued enhancing the **Stakeholder Engagement Approach (SEA)**: the review of the SEA was finalised and presented to the Management Board, with results that indicate the effectiveness of the platform in its current structure, but also provide a set of recommendations to further improve engagement, communication and feedback on how stakeholders’ input is taken into account by EFSA (see table 5). The findings of the review are coherent with the constant growth of the number of registered stakeholders, which is above the set target (table 4).

In addition, the feedback from registered stakeholders, which is gathered via surveys launched after specific events, is slightly below the target set in 2019 (85% vs 90%). This figure was significantly below the target set until mid-year, very likely influenced by the piloting of a new approach for gathering information but it has shown a significant improvement in the last quarter, with the latest

¹³ As of 2019 the term backlog has been replaced by “bulk evaluation” according to the agreement with the risk manager: “High volume of questions received in a bulk, for which an evaluation plan currently exists, or needs to be defined together with the Risk Manager”.

¹⁴ In 2019, the MRL Art. 12 bulk evaluation reduction measurement was referring only to questions closed via reasoned opinion; however, following discussions also with DG SANTE, it was agreed that the measurement was not providing a clear insight of the work on the reduction of the bulk evaluation, and has therefore been revised to count both reasoned opinions and statements together.



feedback received (from the 3rd Stakeholders Forum held in October) extremely positive (95%), indicating that improvements made following initial feedback paid off and hold good potential for the future.

Table 4. Activity and outputs indicators for SO1 –Stakeholders’ engagement

Activity – output indicators				
Stakeholders’ engagement				
Indicator	Executed 2018	Target 2019	Executed 2019	Status
Number of stakeholder enquiries addressed within agreed deadlines	99%	95%	95%	
Number of public consultations on EFSA outputs	15	15	16	
Percentage of positive feedback from engagement activities carried out with registered stakeholders ¹⁵	93%	90%	85%	
Total number of registered stakeholders	112	120	126	

EFSA is also committed to the continued enhancement of engagement with all stakeholders, including the general public: during 2019, about 670 requests for information were received and processed, and 99% of them were replied within the established 15 working days (see table 4). Requests for information range within a wide variety of topics; strictly speaking of scientific issues, the areas of nutrition, food ingredients and pesticides are those of major interest.

In the same spirit of enhanced engagement in the development of EFSA outputs, 15 public consultations were handled, in line with the target set (table 4); as mentioned in the Regulated Products section, consultations were also held on draft protocols for the re-evaluation of sweeteners, so to already gather stakeholders’ input in the initial steps of the risk assessment.

Table 5. Outcome indicators for SO1 – Increased engagement of stakeholders in scientific activities

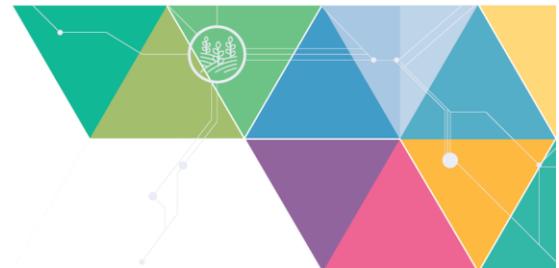
KPI	Indicator	Baseline	Target 2019	Executed 2019	Status
Outcome: Increased engagement of stakeholders in scientific activities					
Stakeholders engagement during public consultations and other stakeholder engagement activities	Number of public consultation comments received — total and by stakeholder group	1,795 (2017)	2,440 ¹⁶	2,219 ¹⁷	
	Survey feedback from SEA-registered members on the effectiveness of EFSA’s stakeholder engagement activities	N/A ¹⁸	Positive outcome	Positive outcome	

¹⁵ Index calculated averaging the percentage of positive feedback recorded in each event

¹⁶ +10% with respect to the previous year. The number of comments and the stakeholder groups’ analysis will be performed once the EU survey tool is used by all EFSA units.

¹⁷ Not measured in 2019 due to lack of resources

¹⁸ As per “Decision of the Management Board of the European Food Safety Authority of 9 October 2018 on the criteria for establishing a stakeholders list and the establishment of the Stakeholder Forum and Stakeholder Bureau” the effectiveness of EFSA’s stakeholder engagement activities shall be carried out every 3 years. The next planned survey is to take place in 2019.



In 2019, EFSA decided to rescope its **Matrix project**, which was developed to allow EFSA to move towards an electronic-based submission and evaluation of applications for regulated products, in order to accommodate the Transparency Regulation requirements. A new 'MATRIX Project Governance' has been established to focus on delivering the Transparency Regulation "must-do" processes and information systems by the entry into force of the changes in the General Food Law scheduled in March 2021. During 2019, a gap analysis and an estimation of the total cost for adapting IUCLID¹⁹ to accommodate EFSA's needs was finalised, and a pilot for the dossier format for Pesticides on IUCLID was launched.

Table 6. Outcome indicators for SO1 – Increased engagement of stakeholders in scientific activities

KPI	Indicator	Baseline	Target 2019	Executed 2019	Status
Outcome: Full availability of documentation relevant to EFSA's scientific outputs					
Availability of documentation used in EFSA's scientific outputs	Proportion of regulated products food sector areas making dossiers data (non-confidential parts) fully available to the public ²⁰	N/A	N/A	N/A	
	Proportion of EFSA's scientific outputs ²¹ providing direct access (links) to datasets and metadata	11.8% ²² (2018)	25%	17.2%	

Applicants

As already presented in table 1 with the results of the regular Customer/Stakeholder Feedback survey, applicants' satisfaction with EFSA's processes and outputs stands at 78.6% slightly exceeding the set target and in line with what was obtained in 2017 (78.3%) and is therefore considered overall positive (see table 1). In addition, EFSA is measuring applicants' satisfaction specifically on regulated products opinions, via a dedicated survey addressed to single applicants after adoption of the output (see table 7). The results are also in this case slightly above the set target; however, the response rate is quite low²³ despite simplifications put in place, and therefore results are not regarded as fully representative. The indicator and measurement will be carefully considered in the context of the new performance framework of the EFSA Strategy 2027.

These results, especially regarding overall satisfaction expressed via the Customers/Stakeholders feedback survey, can be seen in connection to the continued organization of initiatives to explore possibilities for enhanced support and dialogue, in 2019 with a particular focus on small and medium enterprises (SMEs). Following the pilot of pre-submission administrative check of dossiers submitted by **SMEs** carried out in 2018, a new support initiative has been launched in 2019, and EFSA is now offering for SMEs assistance on administrative aspects related to the preparation of applications, monitoring of applications, and the prioritisation of queries received via the dedicated webform. The initiative was also presented via a webinar held in May, which was followed online by more than 60 participants.

¹⁹ IUCLID is a software to record, store, maintain and exchange data on intrinsic and hazard properties of chemical substances, co-developed by ECHA and OECD (ECHA website: <https://echa.europa.eu/support/registration/creating-your-registration-dossier/what-is-iuclid->)

²⁰ The measurement of this indicator will be possible with the delivery of the MATRIX solution

²¹ Scientific outputs published in EFSA Journal. The measurement will be done through Knowledge Junction unique uploaded dois (digital object identifiers).

²² First measurement in January 2019 excluding question types for applications (due to confidentiality issue), public consultations, assistance (because they are merged in the main output, so it would be a duplication), Art. 31 when in combination with Unit PRES and Food sector area MRL Art. 10, MRL Art 12, external scientific report and event reports.

²³ Response rate of "feedback survey to applicants on regulated products opinions" in 2019: 9%.



Table 7. Activity and output indicators for SO1 — Engagement with applicants

Activity — output indicators				
Engagement with applicants				
Indicator	Executed 2018	Target 2019	Executed 2019	Status
Number of service catalogue activities with applicants (meetings, webinars, info sessions etc.)	68	75	116	
Percentage of positive feedback on regulated products opinions from applicants	53.6%	54%	55%	

The EFSA’s [catalogue of support initiatives](#) targeted to all applicants was further updated in 2019, with the extension of some support initiatives also to pesticides areas. In the spirit of further enhancing dialogue and transparency, the **6th Roundtable with industry associations** was held in Parma in June and hosted 21 industry associations, with the aim of presenting the preparedness for the new Transparency Regulation implementation. Furthermore, overall, **116 support initiatives** were organized to assist applicants during the submission and risk assessment process, a number which has increased by 80% compared to 2018 (68 initiatives) and is well above the target defined for 2019 (see table 7). It is worth noting that 25% of the overall support initiatives were in the area of novel foods, followed by food ingredients (20%), GMOs (17%), and feed additives (14%). With regards to the nature of service provided, clarification teleconferences during the risk assessment phase was the most exploited type of support initiative in 2019 (49% of total), followed by clarification teleconferences during the completeness check phase. The increased use of such services suggests that applicants consider them as a valuable means to reach out to EFSA and improve dialogue, also in connection with new regulatory requirements and procedures (e.g. in the case of novel foods). In this context, EFSA is continuing to organise info sessions and technical meetings with stakeholders in the area of regulated products. In 2019 the meetings focused on: food enzymes applications, feed additives applications, smoke flavourings and flavouring mixtures and on the EFSA guidance on predicting environmental concentrations in soil.

EFSA also continued the production of administrative guidance documents, already started as of 2017, meant to support applicants in the submission of dossiers for regulated products. In 2019, 2 guidance documents were finalised, on the dossiers and assessments reports for the peer-review of pesticides active substances and on renewal of authorisation of genetically modified plants under Articles 11 and 23 of Regulation (EC) No 1829/2003; in addition, the guidance for additives for use in animal nutrition, first adopted in 2007, was updated after undergoing a public consultation.

The good results are backed by the increased use of the APDESK webform for submitting **requests for information: 607 queries** were received and processed during the year, an increase of almost 40% compared to 2018, which confirms again the increasing trend already observed in past years in the use of such service.

1.2 Enhanced outreach of communication

As shown in the figure 4 above, the satisfaction rate expressed by EFSA’s stakeholders in the general area of communication registered a small drop (75.6% vs 80.2% in 2017). The reason for this decrease was a drop in the perceived usefulness of specific communication products (see table 8), whilst the ability of EFSA in communicating about its scientific outputs (as surveyed in the Customer/Stakeholder Feedback survey) and the perceived usefulness of the EFSA Journal remained

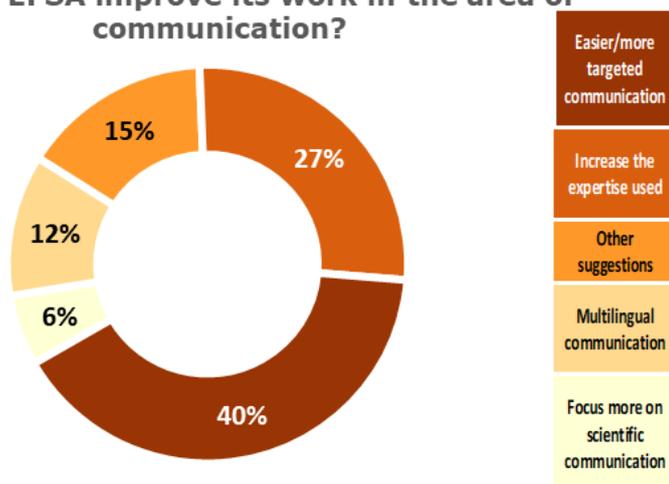


very high (98% according to the survey run by EFSA Journal among its users, and around 90% according to the respondents of the Customer/Stakeholder Feedback survey).

Table 8: Intermediary impact indicators for SO1 – Satisfaction on communication tools and materials

KPI	Indicator	Baseline	Target 2019	Executed 2019	Status
Intermediary impact: Increased satisfaction of stakeholders regarding EFSA’s communication tools and materials					
User satisfaction rating of communication tools and materials	EFSA Journal	85% (2016)	80%	98%	
	Other communication products	76.9% (2017)	≥80%	73.6%	
Impact of media coverage (EFSA’s coverage in the media, including the favourability of articles)		18 (2017)	5-25	16	

How can EFSA improve its work in the area of communication?



When asked about how EFSA could improve its communications, respondents highlighted: the need for more targeted communication products depending on the specific information needs of its stakeholders; improving website features and making communication materials available in languages other than English (figure 7). All suggestions are currently being explored, with the expansion of EFSA’s language provision at an advanced stage: a Spanish version of the EFSA website is due to be launched in 2020.

Figure 7. Proposals for improvement in communication

alongside EFSA’s full scientific opinions – also known as Plain Language Summaries. This approach was piloted in 2019 for EFSA’s Opinion on the introduction of complementary feeding (see section on General Risk Assessment) and it will be developed further in the year ahead.

Suggestions were also put forward to produce short, lay summaries



Number of articles that mentioned EFSA in 2019

Breakdown by topic

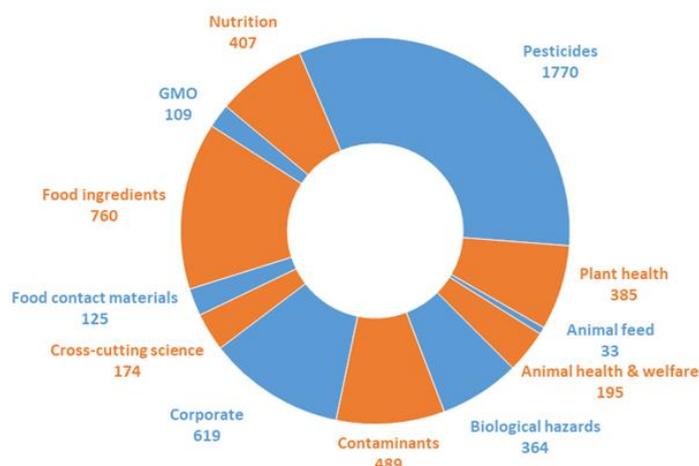


Figure 8. Number of articles that mentioned EFSA in 2019

tone of media coverage mentioning EFSA), calculated by analysing the 4,867 articles that mentioned EFSA and its work in 2019 (figure 8). The index score remained in the neutral/slightly positive area for 2019, as per the target (table 8).

Although in the first half of the year the media index registered several negative spikes (mainly related to glyphosate-related press coverage), from August onwards the index remained in the neutral area. Media coverage of the EU's decision in October to ban thiacloprid based on EFSA's advice and an EP decision the same month to veto scaled-back bee guidance plans generated positive coverage for EFSA.

During 2019, EFSA commissioned a Eurobarometer study on food safety in the EU - in line with its commitment to pay attention to the public opinion and perceptions through its social science plans (example in figure 9). The study, carried out across all Member States, with more than 27,000 citizens interviewed, was focused on collecting insights in terms of:

- interest in food safety, including factors affecting food-related decisions, main information channels on food-related risks, changes in behaviour and views on complexity of communication about food-related risks;
- awareness and risk perceptions when it comes to food safety topics, trust in different sources of information and understanding of the EU food safety system.

With regards to **media relations**, 2020 saw important interviews carried out with high profile media outlets - including 24 interviews with EFSA's Executive Director and 73 interviews with EFSA's senior managers and scientific experts - to media activities aimed at the general public on a variety of topics or for local audiences via the regional daily newspaper La Gazzetta di Parma.

EFSA's Executive Director also participated in the Panel "*From evidence to confidence: science and the EU agencies*" at the World Conference of Science Journalists in Lausanne on July 2, where over 1,200 science journalists were present from around the world.

Overall, 2019 was a positive year for EFSA in the media, as demonstrated by the **media coverage index** (measuring the



Figure 9. Eurobarometer 2019



Among many findings, the study confirmed food safety as one of several equally important factors for Europeans when buying food, albeit not the top concern for the majority. When food safety is a factor, there was no single concern that predominated in all EU countries; three issues that surfaced most frequently were the misuse of antibiotics, hormones and steroids in farm animals, pesticide residues in food and food additives. Scientists and consumer organisations were reported to be the most trusted sources on food risks, with two thirds of citizens reporting changes in their consumption behaviour as a result of information on food risks. The report also revealed quite low awareness levels among Europeans of how the EU food safety system works.

Taking risk perceptions into consideration is a key ingredient of effective risk communication – as recognized by the Transparency Regulation approved during the year. EFSA will use the findings of the study, together with Member States, to design and implement communication that further meets the needs of its target audiences.

1.2.1 Communication of findings

95% of the respondents to the Customer/ Stakeholder survey agreed that “*the **communication material** provides a **clear and coherent summary of the main findings** of the scientific output*”, and a similar result (91%) was registered with the question: “*the **communication material** provides sufficient **context about the output***”. These two questions registered an increase of about 8% compared to the last survey. The four abstract writing trainings given to EFSA staff that were delivered in 2019 might have played a role in supporting this increase. When asked if “*the **language used** in the communication material **is clear and understandable** for non-specialist audiences*”, respondents still gave a positive outlook (77% were satisfied, same result as in 2017).

The positive findings in reaching stakeholder satisfaction in SO1 are translated into an **increased visibility of EFSA’s scientific outputs**. In 2019, the EFSA Journal registered almost 3.5 million views for scientific outputs, a figure slightly higher than the foreseen target of 3.3 million and higher than the figure registered in 2018 (3.1 million). Similar results were also registered for the number of downloads from the EFSA Journal (2.8 million compared to the target of 2.4 million and for the number of citations (20.500) which increased compared to 2018 (table 9). These figures are reflected in the feedback received regarding the Journal: the general customer/stakeholder survey registered rates of around 90% for “*awareness*”, “*usage*”, and “*usability*”, whilst a survey run by the EFSA Journal with its users showed that 98% (see table 8) were satisfied with the quality of the service provided.

Table 9: Outcome indicators for SO1 – Enhanced outreach of communication – EFSA Journal

KPI	Indicator	Baseline	Target 2019	Executed 2019	Status
Outcome: Enhanced outreach of communication					
Impact, visibility and discoverability of EFSA's scientific outputs ²⁴	access	3,162,974 (2018)	3,321,123	3,447,000	
	downloads	2,306,925 (2018)	2,422,271	2,800,000	
	citations	18,347 (2018)	19,264	20,500	

A noteworthy achievement is EFSA’s acceptance for indexing in Scopus and Expanded Science Citation Index (with Impact Factor due in 2020), whilst EFSA’s application to PubMed was submitted (with

²⁴ Linked to the WILEY Report for EFSA Journal.



acceptance due in January 2020), creating the foundation for further improvement in the visibility of EFSA’s outputs.

Since the full implementation of its enhanced publishing model, EFSA has increased its ability to publish its scientific outputs in a timely manner. In 2019, the publication of scientific outputs in the EFSA Journal took place within 28 working days in 90% of cases, a result higher than the target of 80% set for the year 2019 (see table 10) and also when compared to 2018 (88%, figure 10). Process improvements for the EFSA Journal in 2019 included the use of a simplified template for publications and of a more streamlined workflow for replications.

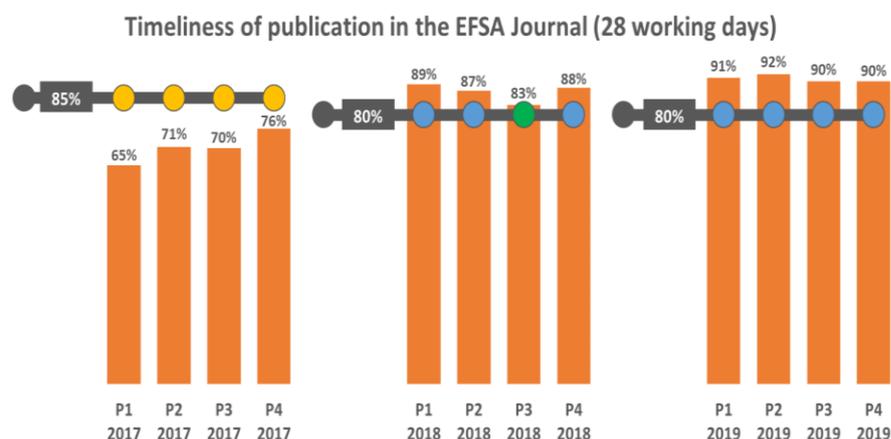


Figure 10 Timeliness of publication in the EFSA Journal (28 working days)

Table 10: Activity and outputs indicators for SO1 – Communication

Activity – output indicators				
Communication				
Indicator	Executed 2018	Target 2019	Executed 2019	Status
Proportion of scientific outputs delivered within 28 working days of adoption (%)	80%	80%	90%	🎯
Number of media enquiries addressed within agreed deadlines	98%	95%	95%	🎯

1.2.2 Social media presence

EFSA’s **social media presence** saw good results throughout the 2019. Overall, the number of followers of the EFSA’s social media accounts increased year-on-year by almost 50% to 120,000, with Twitter and LinkedIn being the two most used platforms. Also, the number of interactions through social media increased by almost 40%, as well as the traffic to EFSA web content promoted from social media (table 11).



Figure 11 EUandMyFood page

One reason for this generalised increase is the #EUandMyFood campaign that was launched in April 2019 (see figure 11). The campaign was launched in the run up to the European elections to raise awareness of how the EU food safety system – through the work of EFSA and Member States– enhances the lives of citizens. The campaign marked a departure in the way EFSA communicated by using short, non-technical multimedia materials such as videos and

animations aimed specifically at non specialists and citizens. Overall, the campaign attracted about 2 million views in six weeks, and the materials produced were widely shared on social media, including by 20 of our Member State partners.

Finally, in terms of online presence, EFSA registered solid results, with all the indicators monitoring engagement and reach of its website either meeting or exceeding their annual targets. Almost 5.5 million of website visits were registered in 2019, a consistent increase when compared to the target of 3.8 million and the 2018 results of 3.7 million. This surge is the consequence of a series of improvements on the website, both to its “back-end” (better integration with Google's indexing system) and “front-end” (improved search section, new topic format) (see table 11).

While there was a slight decrease in the perceived 'usefulness' of communication products in the corporate survey (73.6% vs 76.9% in 2017, table 7) due to a perceived decrease of the usefulness of specific communication products (such as videos and infographics), it is also important to note this survey mainly targeted specialist stakeholders who were not the intended audiences for the materials. During the year, a more targeted survey was carried out with the website's users, and results showed an average satisfaction rate of 82% among targeted audiences, with individual products such as the animation on African Swine fever and the DRV finder tool having achieved good feedback in terms of outreach and number of views.

Table 11: Outcome indicators for SO1 – Enhanced outreach of communication – Social media & online products

KPI	Indicator	Baseline	Target 2019	Executed 2019	Status
Outcome: Enhanced outreach of communication					
Social media effectiveness	Increase followers from social media platforms	40,742 (2016)	95,822 ²⁵	120,048 ²⁶	
	Social interactions	14,881 (2016)	68,708 ²⁷	81,264	

²⁵ Execution for 2018 was 79,852; the incremental target for 2019 is based on last year's execution.

²⁶ The target for 2019 had been increased following the high level of execution in 2017 and 2018. For the following years, EFSA will analyse the situation again, since the change in the approach for social media thematic accounts for followers may result in a slower pace of increase. EFSA will review the targets annually.

²⁷ Execution for 2018 was 59,747; the incremental target for 2019 is based on last year's execution.



KPI	Indicator	Baseline	Target 2019	Executed 2019	Status
	Traffic to EFSA web content from social media	63,464 (2016)	69,262 ²⁸	71,965 ²⁹	
	Traffic to EFSA's web content (web metrics): number of sessions	3,184,611 (2016)	3,795,559	5,471,713	
	Number of subscribers to online subscription products (newsletter and alerts)	33,934 (2016)	34,409	34,396	

²⁸ Execution for 2018 was 67,904; the incremental target for 2019 is based on last year's execution.

²⁹ The target for 2019 had been increased following the high level of execution in 2017 and 2018. For the following years, EFSA will analyse the situation again, since the change in the approach for social media thematic accounts for followers and the saturation of EFSA's target audience for the number of interactions may result in a slower pace of increase.

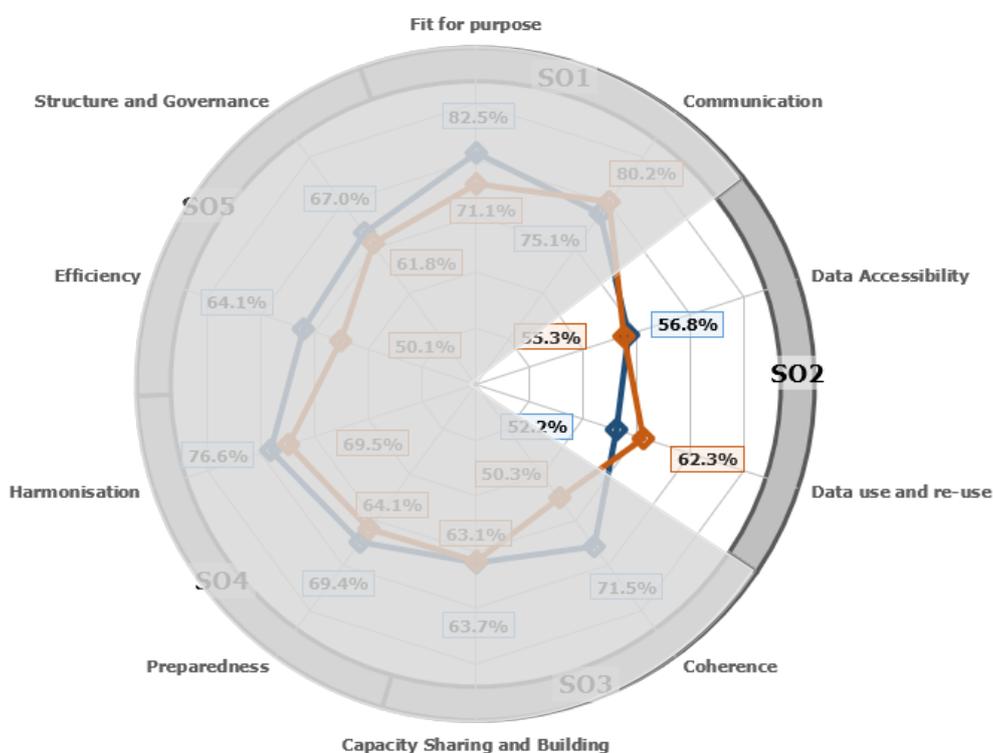


2. Widen EFSA’s evidence base and optimise access to its data

EFSA aims to enhance the quality of its outputs by giving direct access to data and promoting the development of collaborative platforms in Europe and internationally, as well as fostering data re-use and innovation. EFSA advocates for openness by working with data providers and organisations and adopting open data concepts and standards, by gaining better access to, and making better use of, data from a wider evidence base that, where possible, follow international quality standards. In doing so is exploring the use of innovative sources of information, such as social media.

Overall, respondents to the Customer/Stakeholder survey registered a satisfaction rate of 54.4% on EFSA’s evidence management services and use and re-use of data, 3 p.p. below the satisfaction rate registered in 2017 (figure 12, table 9). The analysis of the replies, however, showed that the satisfaction rate in this area was affected by a high portion (around 20%) of respondents that were not familiar with this area, a trend that was registered also two years ago. Ongoing analysis indicates variability in the familiarity and exposure to data-related matters among the various stakeholder groups; for example, key stakeholders for this area, such as the EU Member States Risk Assessment Bodies, expressed a positive satisfaction rate (around 70%) and they also registered a low rate of “N/A” replies (around 7%). EFSA is therefore considering to run a more targeted survey for this area in the future and carry out targeted communication activities as necessary.

Customer Satisfaction Survey: S02



Blue line: 2019 results
 Orange line: 2017 results

Figure 12. Customer Satisfaction Survey: S02



Moreover, the survey showed the good work carried out by EFSA in providing support (via training, technical support and documentation) to users of EFSA’s data access/transmission tools, who expressed a satisfaction rate of 85%.

Table 12: Intermediary impact indicators for SO2

KPI	Indicator	Baseline	Target 2019	Executed 2019	Status
Intermediary impact: Increased satisfaction of stakeholders regarding EFSA’s evidence management services and fostered innovative reuse of data					
Satisfaction via feedback surveys: positive and relative qualitative improvement (with regards to follow-up actions)		57.8% (2017)	57.8%	54.8%	
Use and reuse of EFSA’s accessible data and evidence	Data/evidence reused by stakeholders via citation/statistics ³⁰	TBD	TBD	N/A	

2.1 Improved access to data, wider data coverage and support to data collections

EFSA is sharing its evidence in different domains, mainly through the **Scientific Data Warehouse** and the **Knowledge Junction**. Customer/Stakeholder survey respondents evaluated positively the usefulness of the data domains that are uploaded in the **Scientific Data Warehouse**, with the databases on Pesticides Residues, Contaminant occurrence, and Food consumption considered most useful. Regarding the latter database, and within the frame of EFSA’s EU Menu project (2011-2023) that aims at supporting European countries to collect more harmonised food consumption data, two dietary surveys in Slovenia were completed, one relating to children and the other on adults. Data were submitted to EFSA in the form of scientific reports, which were approved in October. The data from these latest dietary surveys will be incorporated into EFSA’s Comprehensive European Food Consumption database that is used to estimate dietary exposure across European countries for EFSA’s scientific assessments.

In 2019, the number of registered users in the **Scientific Data Warehouse** was in line with the target set and slightly above the result achieved in 2018 (see table 13), also in line with the perceived awareness of stakeholders on the DWH (+2 p.p. compared to 2017).

EFSA is maintaining the **Knowledge Junction**, a curated, open repository for the exchange of evidence and supporting materials used in food and feed safety risk assessments. The aim of the platform is to improve transparency, reproducibility and evidence reuse. In 2019, 269 digital objects (evidence) were uploaded in the platform, registering an increase from the 227 that were uploaded in 2018. As of the 31st of December 2019, 1160 items were present on the platform.

The awareness of the platform expressed by EFSA stakeholders via the Customer/Stakeholder survey considerably increased from 2017 to 2019 (+10 p.p.), and similar increases were registered in the areas of usability and usage (see table 13). These increases can be related to the efforts that EFSA put in promoting the platform, such as delivering trainings to Member States (through the Focal Points) and improving communication activities, regularly tweeting on the weekly top uploads in the platform.

In the last 2 months of the year, EFSA contributed to the number of evidence present in the Knowledge Junction by uploading 4 zoonoses data collections (prevalence, food-borne outbreaks, animal diseases, animal populations).

In the journey towards increased openness, the successful conclusion of the **OpenSCAIE** and **DATA DOI** projects have supported the creation of an interface between EFSA and the [European Open Data](#)

³⁰ Exploring for a common service provider (shared service approach) on bibliometrics to measure the impact of EFSA outputs/publications



[Portal](#) allowing the automatic publication of metadata from EFSA collected data into the European open data platform. In addition, and in line with digital single market principles, in 2019 EFSA launched its [API \(application programming interfaces portal\)](#).

Regarding the efforts in improving the accessibility of its data, EFSA published 10 additional data collections dashboards/collections in 2019, bringing the total to 25. Four new tools were also developed. It is worth mentioning the visual tool on the 2017 European Union report on pesticide residues in food which is available at <https://www.efsa.europa.eu/en/microstrategy/pesticides-dc-2017> (see table 13).

Finally, the assessment done by EFSA on its **data interoperability capabilities** (using the EIF/IMM index³¹) registered a significant increase compared to last year, from 1.2 to 2.7. This means that EFSA is steadily moving towards developing organization-wide standards for data interoperability, and to adopt a proactive, rather than reactive approach, when it comes to its ability to sharing of information and knowledge using its ICT systems. The aim is to reach the score of 3.1 by 2021.

Table 13: Outcome indicators for SO2

KPI	Indicator	Baseline	Target 2019	Executed 2019	Status
Outcome: Improved access to data					
Data accessibility index	Number of publicly accessible data collections published without data aggregation from EFSA	1 (2016)	8	7	
	Number of data collection dashboards/aggregates published	11 (2017)	19	25	
Outcome: Wider data coverage					
	User statistics from the data warehouse	421 (2017)	749	737	
	Number of digital objects uploaded to the EFSA open repository (Open SCAIE/Knowledge Junction) ³²	500 (2017)	250	269	
Outcome: Increased standardisation and interoperability of data					
	Share of regulated product areas covered by structured data	0	0	0	
	Increased maturity data interoperability - EIF/IMM index	1.3 ³³ (2018)	1.3	2.7	
Outcome: Improved quality of data					

³¹ European Interoperability framework for European public services/Interoperability maturity model. The index was drafted based on the European Interoperability Framework recommendations developed by the ISA2 programme (interoperability solutions for public administrations, businesses and citizens). The index was calculated averaging the score in each dimension. The EIF/IMM index has 5 stages of maturity (1-Initial, 2-Managed, 3-Defined, 4 Quantitatively Managed, and 5-Optimising)

³² Number of uploaded and curated digital objects and their increase on a yearly basis

³³ Calculated in 2019 for 2018



KPI	Indicator	Baseline	Target 2019	Executed 2019	Status
Data quality ³⁴		46% (2018)	80%	78%	

In terms of related EFSA scientific production, the number of questions closed in SO2 was overall slightly below the yearly plan (see table 14), mainly due to a smaller number of external reports produced in relation to the EU Menu project; on the other hand, the number of questions closed through scientific outputs and technical reports was above the initial plan, due to a technical report linked to the DATA DOI project that was carried over from 2018 and 2 more questions connected with the delivery of the “Interpreting and checking tool” and the “Catalogue browser user guide” for FoodEx2³⁵ that were not included in the initial plan. The timeliness of adoption of reports was satisfactory, even if it appears below the target set, since it is only due to the late adoption of one report.

Table 14: Activity and output indicators for SO2

Activity – output indicators				
Indicator	Executed 2018	Target 2019	Executed 2019	Status
Number of questions delivered for scientific outputs and technical reports	2	2	5	
Number of questions delivered for ‘other publications’ (external reports, event reports)	13 (12 external report, 1 event report)	10	4 (external reports)	
Proportion of scientific/technical questions adopted within deadline	100%	100%	80%	
Number of new tools ³⁶	4	4	4	

³⁴ The 2019 data quality indicator pertains to timeliness assessed for the following annual European data collections: contaminant occurrence, pesticide residues, veterinary medicinal product residues, and zoonoses and antimicrobial resistance. The indicator is measured as an average of i) the proportion of data records submitted by the annual (legal) reporting deadline, and ii) the proportion of data records confirmed in the scientific data warehouse by the deadline for acceptance agreed with data networks

³⁵ FoodEx2 is EFSA’s food classification and description system, used for the description of food and feed matrices within the data collections of different safety domains relevant to EFSA. More information on EFSA’s website: <http://www.efsa.europa.eu/en/supporting/pub/en-804>.

³⁶ The ‘Number of enhancements to operational data collections’ and the ‘Number of new data collections implemented’ included in the *Final programming document 2018-2020* are replaced by the indicator ‘Number of new tools’ (e.g. exposure tools), new data collections and enhancements to existing data collections’.

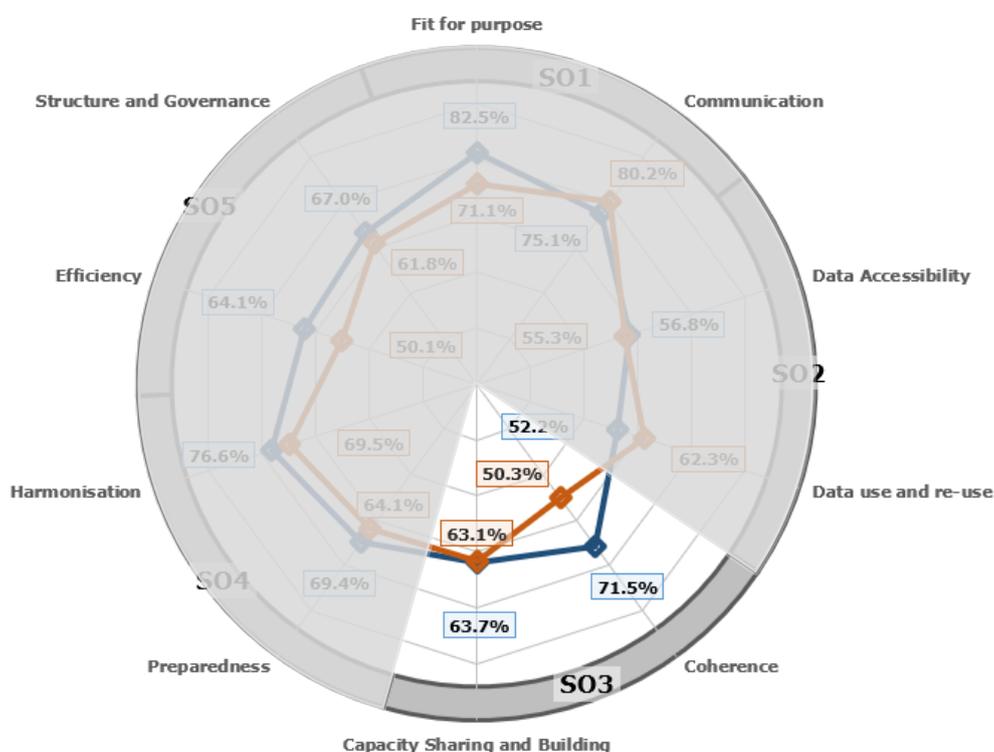


3. Build the EU’s scientific assessment capacity and knowledge community

EFSA aims to set up cooperation initiatives that make the best use of expertise for scientific assessment through a partnership between EFSA staff, scientific experts, Member States and international organisations. EFSA invests in competence development and capability transfer, common programming and work-sharing, to grow EU and international expertise, thus increasing the EU’s scientific assessment capacity and efficiency. EFSA is taking stock of best practices internally and elsewhere (other EU agencies and international bodies), and optimises its workforce model (tasks, roles and working methods), making best possible use of available capacities and getting timely access to the necessary expertise. EFSA is strengthening multi- and inter-disciplinary working, and harmonisation and exchanges across different areas/panels, while exploring innovative ways of increasing risk assessment capacity, such as via crowdsourcing and cognitive computing.

The **customer/stakeholder survey** (figure 13) overall registered for SO3 a satisfaction rate of 66.7%, therefore above the result registered in 2017 (59.7%). It should be noted that the satisfaction rate across the different respondent groups is very scattered; in addition, the initiatives carried out by EFSA in this area are not necessarily targeted to all stakeholders, and this also might have impacted the results. A lower satisfaction rate was expressed by the representatives of EU institutions, a result which is similar to the one registered in the 2017 survey and remains therefore a point of attention. The overall improvement compared to 2017 results is however to be considered positive.

Customer Satisfaction Survey: SO3



Blue line: 2019 results
 Orange line: 2017 results

Figure 13 Customer Satisfaction Survey: SO3



3.1 Strengthen capacity building and capacity sharing

Cooperation activities are pivotal in order to make the best possible use of the expertise for scientific assessment available in the EU and worldwide.

Respondents to the satisfaction survey showed increased appreciation with regards to EFSA sharing its objectives and planned activities (63.7% satisfaction, in line with the 63.1% registered in 2017), which also help in avoiding overlaps in risk assessment and risk communication activities, planning the use of resources and the prioritization of work. Activities in this area brought to satisfactory results of the respondents' groups related to the EU Member States (70.9% on average, see table 12), showing particular appreciation of EFSA's activities meant to avoid overlaps in Risk Assessment and Risk Communication, for which the score was above 90%.

Individual experts instead registered a decline in their satisfaction rate. A deeper analysis showed that these stakeholder groups registered a high number (around 25%) of "N/A" replies (table 15).

Table 15: Intermediary impact indicators for SO3 – Satisfaction for capacity building and sharing of risk assessment capacity

KPI	Indicator	Baseline	Target 2019	Executed 2019	Status
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 regards to follow-up actions)	MS, EU, international, third country organisations	56.9% (2017)	56.9%	70.9%	
	Individual experts	72.0% (2017)	72.0%	58.8%	
Outreach of supporting publications on grants and procurements	Number of page visits (access)	213,048 (2018)	223,700	250,000	
	Number of downloads (citations)	201,251 (2018)	211,314	230,000	
	Number of citations (downloads)	2.47 (2018)	2.59	2.7	

It is worth noting that respondents to the Customer/Stakeholders feedback survey rated scientific networks as the most effective in terms of their contribution to fostering the risk assessment knowledge community, among the overall EFSA networks. This perception was shared by the majority of the respondent groups. When the respondents were asked to rate the usefulness of the tools that EFSA is currently using for building and sharing capacity (e.g. grants and procurements, joint projects and events, scientific trainings), they expressed a somewhat lower satisfaction compared to 2017 results (4.5 p.p.), which suggests that more efforts in promotion and communication might be needed in this remit.



Table 16: Activity and output indicators for SO3 – EU and international cooperation activities

Activity – output indicators				
Indicator	Executed 2018	Target 2019	Executed 2019	Status
Number of MS cooperation activities (network meetings, national FP events/workshops)	69	65	64	
Number of cooperation agreements with international and third country organisations	16	2	2	
Number of international cooperation activities (meetings, events, missions)	35	30	32	

Especially, in the area of **cooperation with the Member States**, (figure 14) the work with the Advisory Forum and the Focal Points has been instrumental in the achievement of these results; ranging from the strengthened identification of common priorities in EFSA’s work-programme, the sharing of workplans and the development of joint strategies for capacity building and sharing; focus areas in 2019 having been data, artificial intelligence, cumulative exposure assessment, and learning and development schemes. A survey launched among the Advisory forum members on the 2019 Work programme identified common working priorities and synergies with the member states, and defined themes of common interest, such as animal health, microplastics, combined exposure to multiple chemicals and artificial intelligence. Some of these topics were the subject of thematic discussions and were introduced during the Advisory Forum meetings, raising awareness and common understanding of the status quo in each area, while others will be addressed in 2020.

In the context of the participation of MS organisations to the implementation of EFSA’s work-programme, the results of the **outreach of grants and procurements supporting publications** are excellent by exceeding the set target in terms of access to publications, downloads and citation index. This outcome suggests the high interest of the scientific community in the outputs of EFSA’s projects and initiatives developed with contractors or Art. 36 organisations.

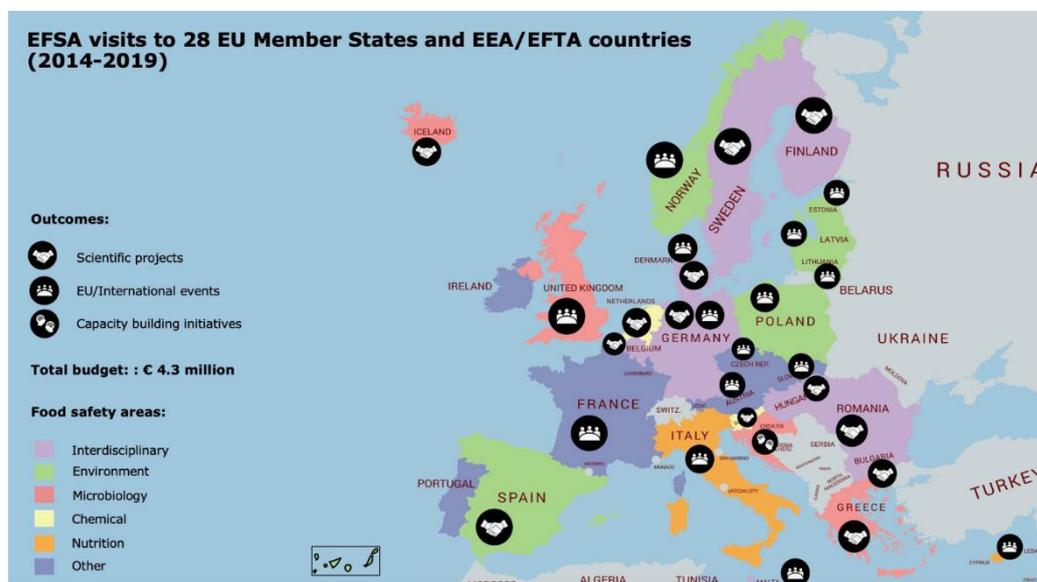


Figure 14. EFSA capacity building activities

While, the **application rate for EFSA’s open calls** is still below the set target, it has seen an improvement with respect to 2018. This is partially explained by the nature of open calls, which are often very topic-specific, and therefore the range of potential applicants being rather narrow; in addition, the uncertainties regarding conditions posed by Brexit has also impacted the applications submitted by UK organisations and companies, which in previous years have been active participants



in EFSA’s open calls. On the other hand, the absolute number of **Art. 36 organization applying to EFSA’s grants** is registering better results compared to 2018 (see table 17). To this respect, a new approach for managing the list of competent organisations designated by Member States (Art. 36 list) was delivered via a project involving Member States, which resulted in a renewed list including 281 competent organisations designated by all eligible 30 countries (EU28, Norway and Iceland), with over 1.7K contacts in total. The list will be regularly updated and will serve for networking purposes and developing cooperation among Member States and EFSA and is also expected to further improve Member States participation to EFSA’s grants.

Table 17: Outcomes indicators for SO3 - Building and sharing capacity within the risk assessment community at organisational level

KPI	Indicator	Baseline	Target 2019	Executed 2019	Status
Outcome: Building and sharing capacity within the risk assessment community at organisational level					
Participation of MS organisations to EFSA’s work programme (science grants and procurement)	Application rate for EFSA’s open calls ³⁷	2.15 (2017)	>3	2.5	
	Number of Article 36 organisations applying for EFSA grants	84 (2017)	61 ³⁸	73	

In parallel, the mechanisms in place to identify the potential divergences of opinions with MS competent authorities is showing to be effective, since the few (three) potential divergencies were identified on time and followed-up within the set timeframe; the same result is observed with regards to the identification of potential duplication of activities before they are actually started. This can be seen in connection with the fact that, as per target, 25 Member States were actively sharing their risk assessment plans (see table 18) confirming the already positive outcome registered in 2018. This activity was strengthened in 2019 with the launch of a web application broadening the sharing among Member State of their projects planned in the context of the EU risk assessment agenda (EU RAA). In parallel, **the catalogue of EU RAA projects was updated** by Member States, resulting in 118 project ideas available for expression of interest. This combined with the increased networking activities among Member States in the context of EU RAA, has resulted in a higher than targeted number of joint projects not funded primarily by EFSA.

Table 18: Intermediary impact indicators for SO3 – Increased efficiency of risk assessment at EU and international level

KPI	Indicator	Baseline	Target 2019	Executed 2019	Status
Intermediary impact: Increased efficiency at European and international level					
Identification of potential incidents of duplication and divergence and resolution of issues	Number of MS active in sharing risk assessment information	25 (2016)	25	25	
	Potential duplication identified before an activity is started	Identified timely in 100% of cases	100%	100%	

³⁷ Average number of applications to be calculated in Q1 of year N+1

³⁸ As per Programming document: Target to be increased by 3% each year against basic value (actual previous year)



KPI	Indicator	Baseline	Target 2019	Executed 2019	Status
when identified within EU (development and rollout of a database for sharing MS RA activities)	Potential divergence identified before the adoption of an opinion ³⁹	Identified timely in 100% of cases	100%	100%	
	Follow-up actions within 10 days of identification of potential duplication/divergence	100%	100%	100%	

In fact, when measuring the EU **risk-assessment agenda take-up** index, all indicators met or exceeded their target (number of Member States that have participated in joint projects and the number of partners participating in consortia). Partnering grants, which encourage Member States competent organisations to participate in consortia, are believed to have contributed to this result: at year end, 5 grants were concluded, 4 were on-going and 4 new had started, aiming at knowledge transfer and networking in the areas of RA methodologies, animal and plant health, antimicrobial resistance, food contact materials, risk-benefit assessment, risk communication, data collection and nutrition (novel foods).

Strengthening cooperation with EU sister agencies a successful initiative in 2019 with ECHA prepared the field for a more strategic partnership, e.g. in the area of data sharing and structure, methodology, expertise and research aiming at the strategic alignment to reach the one-health goals and to implement the Green Deal proposal for the European Commission.

Table 19: Outcomes indicators for SO3 – Risk assessment agenda take up

KPI	Indicator	Baseline	Target 2019	Executed 2019	Status
Outcome: Building and sharing capacity within the risk assessment community at organisational level					
Risk assessment agenda take-up index ⁴⁰	Number of joint projects awarded in the reported period	13	5	5	
	Number of priority areas in the EU RAA covered	8	2	4	
	Number of Member States that have participated in joint projects	15	8	16	
	Number of partners (i.e. beneficiaries) participating in consortia	29	11	19	
	Number of projects non funded primarily by EFSA	0	1	14	
Number of joint activities (staff exchange, joint projects / workshops) with international partners under cooperation agreements ⁴¹		5	50	53	

In the area of **international cooperation**, EFSA met or exceeded all the set targets in terms of cooperation agreements and activities (with organisations such as the WHO, FAO, IARC and the OECD

³⁹ In preparation for the next strategy cycle to elaborate on the methodology that would allow divergence identification before the adoption of a scientific output.

⁴⁰ Baseline reflects the execution of 2017. The target is not an increase of 2017 baseline, but it is set according to plans.

⁴¹ Activities under international scientific cooperation agreements not related to risk assessment agenda and reported under SO3 annual indicator "Number of international cooperation activities (meetings, events, missions)"



and risk assessments bodies from third countries), and therefore further increased the joint activities with international partners under such cooperation agreements (see table 19). This can be seen in connection with the effort from EFSA to continue building on a structured exchange with different international organisations and organisations in non-EU countries, such as Canada, China, Japan and the United States, to align on data accessibility and sharing, methodology, expertise and engagement and communication. In this context, an EFSA senior management delegation **visited the US and Canada**, following an agenda that was jointly developed with partner organisations and set the basis for closer collaboration with Agencies in both countries. Another highlight in this area is the **African Union Commission (AUC) high-level delegation visit to EFSA**, which allowed for discussion on the vision, priorities and ambitions of the AUC for the further development of a food safety system throughout Africa, for which EFSA offered to share its expertise of institutional and scientific capacity building. Closer to Europe, a **Focal Points meeting was held for the first time in an IPA⁴² country**: Sarajevo hosted the meeting in May 2019, which can be seen as an important step towards integration. The meeting was followed by a workshop attended by 100 participants, many of them from pre-accession countries, to present ideas for collaboration.

Concerning the activities in relation to the **research agenda** take-up, during the year EFSA was involved in 30 projects at EU and international level, a figure which is well above the target of 22 set for 2019 (see table 21) and which is the result of activities sustained by EFSA to bring together EU and national research funders, policy/decision makers and leading food safety researchers to inform research agendas, such as the upcoming Horizon Europe – Research Programme. In this context, EFSA published in 2019 the [“Food Safety Regulatory Research Needs 2030”](#) report providing the vision of EFSA in this area and its conclusion to three research streams of regulatory research priorities (Safe Food Systems, Innovation in Risk Assessment, and Holistic Risk Assessment).

Table 20: Outcomes indicators for SO3 – Research agenda take up

KPI	Indicator	Baseline	Target 2019	Executed 2019	Status
Outcome: Building and sharing capacity within the risk assessment community at organisational level					
Research agenda take-up index	Number of research recommendations taken up in Member States, EU or international research programmes	TBD	TBD	N/A	
	Number of research projects (EU and international) in which EFSA is participating (actively or passively)	1 (2017)	22	30	

The activities of EFSA towards **building and sharing of capacity within the risk assessment community** go beyond the cooperation among organisations and focuses and invests **at individual level**, at the development of the appropriate expertise for the current and the future risk assessment needs. In this context, EFSA delivered a number of online trainings, while the third cycle of the **EU Food Risk Assessment Fellowship (EU-FORA)** was successfully implemented and saw the participation of representatives from pre-accession countries and one representative from the African Union, as part of global cooperation capacity building activities. Looking at the readiness of EFSA to retrieve timely the appropriate expertise for its scientific work, the indicator measuring the time to hire of working group experts, was defined and measured for the first time in this strategy cycle. The baseline figure (3 months) represents the average difference in days between the approval date of a working group by the relevant Head of Unit and the hire date of an expert, as recorded in EFSA’s recruitment tool for 2019. In this context the EFSA panels renewal metrics are also relevant but are applicable only during the period of the Panel renewal activities.

⁴² IPA: Instrument for pre-accession assistance (abbreviation used for the “pre-accession” countries).



3.2 Workforce model

Aiming at complementing the EFSA’s sourcing capacity while engaging with the wider scientific community the “Individual Scientific & Technical Support scheme” was introduced during 2019. The scheme allows EFSA to source additional scientific and technical expertise from individuals on an ad-hoc basis for supporting the current scientific output delivery process for more routine aspects. A pilot call for expression of interest in the area of Novel Food and Nutrient Sources was published and a list of individuals with scientific expertise to assist EFSA in carrying out preparatory work (i.e. preparation of structured summary reports) was established. The lessons learnt will allow streamlining the approach and minimising any risks before rolling out across EFSA.

Expert compensation scheme

The Transparency Regulation, also aiming at increasing the sustainability of EU risk assessment, has triggered for EFSA to review its expert compensation scheme. The expectation is that a more appealing compensation package will expand the pool, quality and performance of experts that collaborate with EFSA also taking into consideration the outcomes of surveys and assessments conducted to date. EFSA’s Management Board endorsed the enhanced expert compensation scheme at its last 2019 meeting. In a nutshell, the updated scheme, applicable as of 1 January 2020, adjusts for inflation and compensates the preparatory work done by the experts. The indemnity for meeting participation will increase from € 385 to € 450 per meeting day⁴³, while each expert will be entitled to one additional ‘preparatory’ indemnity of € 450 for each day of meeting attendance. This will be applied in the same proportion for tele-meetings. Going beyond compensation, EFSA will implement a mutual performance assessment, starting with panel members in 2020. Information on this, and the new compensation measures, have been communicated to EFSA’s experts and will be explained further during the first Panel meetings of the year.

Looking ahead, EFSA will look further into modalities to enhance the current attraction package for experts (i.e. capacity building, knowledge sharing). By reviewing these elements EFSA will be able to rely on a solid and sustainable source of external expertise fostering collaboration and partnership with member states.

As seen in table 21, the majority of the KPIs in this area were not measured in 2019, due to the fact that these indicators are connected to the renewal of panels, an activity that is carried out every three years.

Table 21: Outcomes indicators for SO3 - Building and sharing capacity within the risk assessment community at individual level

KPI	Indicator	Baseline	Target 2019	Executed 2019	Status
Outcome: Building and sharing capacity within the risk assessment community at individual level					
Increased common expertise pool coverage and availability index	Number of TOTAL applicants for panel renewals	1,150 (2015)	N/A	N/A	🕒
	Number of ELIGIBLE applicants for panel renewals	900 (2015)	N/A	N/A	🕒
	Balance of applicants (total and eligible) for panel renewals, in terms of age (<40 years/40-55 years/>55 years)	23%/49%/28% (2017)	N/A	N/A	🕒

⁴³ Prior to the review of the expert compensation scheme in 2019, the last revision of the expert indemnity dates back to 2010 when it was increased from € 300 to €385.



KPI	Indicator	Baseline	Target 2019	Executed 2019	Status
	Balance of applicants (total and eligible) for panel renewals, in terms of gender (men/women)	55%/45% (2017)	N/A	N/A	🕒
	Balance of applicants (total and eligible) for panel renewals, in terms of geographic location (Mid-western Europe/Eastern Europe)	88%/12% (2017)	N/A	N/A	🕒
	Elapsed 'time to hire' for working group experts	3 months (2019) ⁴⁴	N/A	3 months	🕒

3.3 Strengthen capacity using innovative ways

With the aim to further build on experience gained by machine learning feasibility studies already carried out by EFSA, and ultimately to achieve the implementation of artificial intelligence approaches at organisational level while exploring collaboration and sharing with EU partners, the project of Joining Forces at EU Level on Implementation of AI made progress during 2019 and organised the second, out of the three workshops foreseen, in September. This internal workshop discussed the EFSA AI maturity assessment, AI integration in EFSA Strategy 2027, and prioritization of use cases and possible organisational models and competences needs. Cases prioritized so far include Evidence Management, Conflict of Interest Automation and Emerging Risk Identification. Possible organizational models and how to find and allocate AI competencies were discussed and defined. The workshops are in line with the "Coordinated Plan on Artificial Intelligence" from the European Council (Feb 11th, 2019) and "Communication on Artificial Intelligence for Europe" from European Parliament and European Commission (April 25th, 2018).

Table 22: Outcomes indicators for SO3 - Strengthened capacity using innovative ways

KPI	Baseline	Target 2019	Executed 2019	Status
Outcome: Strengthened capacity using innovative ways				
Number of innovative approaches (crowdsourcing, cognitive computing, artificial intelligence) included in EFSA's strategy implementation plan (original or revised) having been further developed in the different areas of EFSA's work (⁴⁵) (moved at least one stage from non-explored to feasibility, piloting, guidance endorsed, training provided, application in RA) (⁴⁶)	N/A	N/A	TBD ⁴⁷	🕒

All the above activities are naturally linked to a higher production of EFSA outputs, as **overall more** than expected **questions** are **closed** for activities related to SO3, while all outputs were delivered on time, therefore resulting in a 100% timeliness of adoption (table 23). More external scientific reports were produced, linked to trainings on expert knowledge elicitation and the development of the already mentioned web application to generate reports on project ideas in the context of the EU-RAA initiatives. In terms of technical reports, 4 were produced, so slightly below the set target; such reports refer to network activities, namely: Nanotechnology, genetically modified organisms, BSE/TSE (bovine

⁴⁴ Data is available for baseline to be presented to the EMP Board in March 2020. The number represents the average difference in days between the approval date of a Working Group by the relevant Head of Unit and the hire date of an expert, as recorded in EFSA's recruitment tool. Only Working Groups created between 01. 01. 2019 and 31. 12. 2019 are considered

⁴⁵ E.g. in scientific assessments (literature search, data collection, hazard/risk identification, risk characterisation, exposure assessment) or other processes (e.g. DoI screening)

⁴⁶ Update of the indicator: 'Share of outputs produced using new types of capacity'

⁴⁷ In the context of the definition of EFSA's innovation process, which will be piloted in 2020



spongiform encephalopathy / Transmissible Spongiform Encephalopathies) and microbiological risk assessment; in addition, an event report was delivered after the AHAW network, focusing on hazard identification for pigs at slaughter and during on-farm killing.

An overview on the status of the ongoing projects under this strategic objective and their contribution to the expected results from the EFSA strategy implementation is given in Annex III.

Table 23: Activity and output indicators for SO3

Activity – output indicators				
Indicator	Executed 2018	Target 2019	Executed 2019	Status
Number of questions delivered for scientific outputs and technical reports	5	6	4	
Number of questions delivered for 'other publications' (external reports, event reports)	4 (<i>event report</i>)	3	8 (7 external report, 1 event report)	
Proportion of scientific/technical questions adopted within deadline	100%	100%	100%	



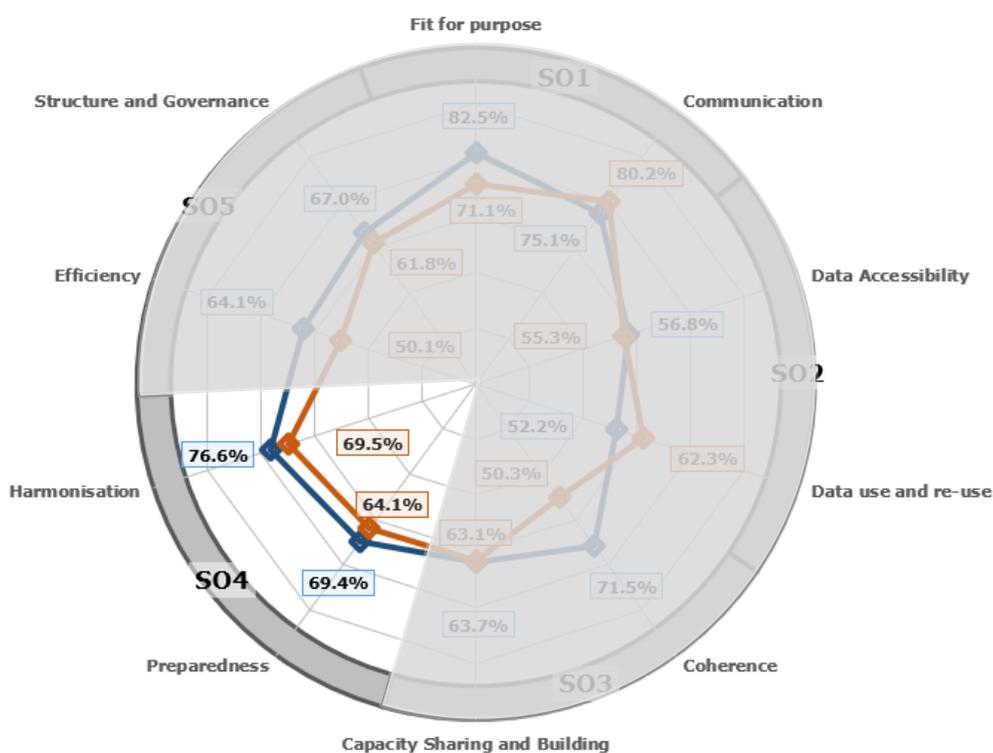
4. Prepare for future risk assessment challenges

Anticipating risk assessment priorities and related methodology and evidence needs ensures that EFSA is prepared for present and new challenges in a dynamic food safety system, whilst driving harmonisation of methodologies to improve food safety across Europe. The preparation for potential future challenges and crises in food risk assessment, encompasses the production of guidance documents and participation in crisis simulation exercises, and continuous update and creation of standardised guidelines or methodologies to assess risks in a consistent and harmonised manner

The feedback on EFSA’s efforts in being prepared to face future risk assessment challenges coming from the Customer/Stakeholder survey registered an overall satisfaction rate of 70.1% (figure 15), with the results across the different respondent groups quite consistent (78.8% for EU/MS risk managers, and 71.4% for EU and international organisations).

These results are also confirmed by the increase observed in the use of EFSA’s guidance documents and statistical models where all the measured indicators are on target (table 24).

Customer Satisfaction Survey: S04



Blue line: 2019 results
 Orange line: 2017 results

Figure 15. Customer Satisfaction Survey: S04



Table 24: Intermediary impact indicators for SO4

KPI	Indicator	Baseline	Target 2019	Executed 2019	Status
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)	66.6% (2017)	66.6%	78.8%	
	Stakeholders (general)	66.3% (2017)	66.3%	70.1%	
	MS, EU, international, non-EU country organisations	69.9% (2017)	69.9%	71.4%	
Use of EFSA's guidance (access, downloads, citations)	Number of page visits (visibility)	362,409 (2018)	380,529	395,000	
	Number of downloads (usage)	348,223 (2018)	365,634	370,000	
	Number of citations (impact)	2.97 ⁴⁸ (2018)	3.12	3.15	
Use of EFSA's methodologies (access, downloads, citations) ⁴⁹		N/A	TBD	N/A	
Use of EFSA's tools (statistical models) ⁵⁰		687 (2018)	756	1,719	

4.1 Effectiveness of EFSA's Preparedness and Response

Aligned with the increase in stakeholders' satisfaction with regards EFSA's preparedness, a significant increase is observed when measuring preparedness in terms of availability of data, experts and methods, at the time EFSA receives a request from its customers. Especially the availability of methods and expertise, at the time of the receipt of a request, was assessed as satisfactory in 93% and 98% of the cases respectively (an increase of 5 and 7 percentage points with respect to the baseline) ensuring that EFSA was properly prepared to address immediately the requests. This is also confirmed by the percentage of regular and urgent questions delivered within the initially agreed timelines (91.7%) that, despite a small drop, remains in line with the target set⁵¹.

These figures are in line with the results of the Customer/Stakeholder feedback as EFSA's preparedness in the above-mentioned areas of data, methodologies, and expertise registered rates of 81.5%, 84.1%, and 81.8% respectively.

⁴⁸ Average per article

⁴⁹ To be developed in 2019 within the context of the further development of the Knowledge Junction, in the context of exploring the use of bibliometrics to measure the impact of EFSA outputs/publications (see also SO2 intermediate impact indicator 'Use and reuse of EFSA's accessible data and evidence')

⁵⁰ Measuring the overall registered users in R4EU platform

⁵¹ Initially agreed versus updated deadline. Only applicable for negotiated deadlines, with the exclusion of regulated products applications and technical assistance.



Table 25: Intermediary impact indicators for SO4

KPI	Indicator	Baseline	Target 2019	Executed 2019	Status
Intermediary impact: Increased satisfaction of stakeholders with regard to EFSA’s preparedness, methodologies and response					
Preparedness with data, methods and expertise to address a risk assessment question when received and mutually agreed ⁵²	Percentage of questions for which data are readily available ⁵³	79% (2018)	79%	78%	
	Percentage of questions for which methods are readily available ⁵⁴	88% (2018)	88%	93%	
	Percentage of questions for which expertise is readily available ⁵⁵	91% (2018)	91%	98%	
	Percentage of questions (regular and urgent) delivered within the initially agreed timeliness ⁵⁶	94.3% (2018)	94.3%	91.7%	

4.1.1. Emerging risks identification

The activities of the emerging risks identification (ERI) process went according to the plan but requested more FTEs than initially estimated. This is accompanied by a very positive perception of the ERI process usefulness of services and outputs raising up to 85% of the stakeholders’ expectations (+4 p.p. compared to 2017 results). Additional input from the customer stakeholder feedback survey highlights the need for improvement in the area of provision of data on Emerging risks. The use of the ERI repository by EFSA stakeholders is considered limited and the database not fully satisfying the ERI process requirements leading to actions for improvements to the ER repository through new projects in ERI methodologies development, including better tracking of follow up activities.

In terms of activities, the CLEFSA project aiming at developing and testing new methodologies for emerging risks identification and at producing and characterising a list of emerging issues affected by climate change, delivered its intermediate technical report on climate change as a driver of emerging risks for food and feed safety, plant, animal health and nutritional quality. The report is summarizing the various methodologies developed, from citizen science approaches to a complex multicriteria decision analysis model implemented through a web application. A broad range of signals has been obtained through crowdsourcing. The knowledge network has been enlarged to experts from international EU and UN agencies. A Multi-Criteria Decision Analysis methodology has been designed through a participatory process. Expert knowledge is now being used to characterize the issues and identify relevant ones. A R-Shiny tool has been developed to collect the information provided by the experts.

The first joint meeting of Stakeholders and member states emerging risks knowledge networks was organized. Interest on both networks have been growing both in the EU and internationally.

⁵² The sub-indicators were measured for the first time in 2018; the 2018 execution will be used as baseline for the coming years

⁵³ Under development through the new procedure of frontloading and follow-up Portfolio Coordination Office activities during the discussion of the mandates’ feasibility

⁵⁴ Under development through the new procedure of frontloading and follow-up Portfolio Coordination Office activities during the discussion of the mandates’ feasibility

⁵⁵ Under development through the new procedure of frontloading and follow-up Portfolio Coordination Office activities during the discussion of the mandates’ feasibility

⁵⁶ Initially agreed deadline versus updated deadline, only applicable for negotiated deadlines



The ERI annual activity report was published and the revision of the “Emerging Risk” definition was endorsed by the Scientific committee in December 2019.

4.1.2. Crisis preparedness and response

In the area of crisis preparedness, an external crisis preparedness training involving EFSA staff, five MS and the EC was carried out on 28-30/08/2019 at Bundesinstitut für Risikobewertung (BfR). The exercise scenario was based on chemical contamination of herbal tea consumed by infants, pregnant and lactating women. The RACE tool recently developed by EFSA and the FOODCHAIN lab traceability software were used as part of the exercise. The event was organised by EFSA, in collaboration with Germany BfR and BVL (Federal Office of Consumer Protection and Food Safety). Participants appreciated the opportunity to share crisis handling structures and to get hands-on experience in applying EFSA tools for rapid risk assessment and management. The attending MS provided positive feedback at the AF meeting and at the Crisis Coordinator meeting. An external scientific report on crisis preparedness workshop published on the joint EFSA-BfR workshop on crisis handling summarises the event activities and provides extensive feedback on the workshop and the tools used therein, and lists many good crisis handling practices, that are useful for all MS. Satisfactory was also the internal crisis preparedness training that took place on 11 Nov 2019, as evidenced in the feedback forms of this training.

EFSA's procedures in responding to urgent advice needs dated from 2017 were updated based on feedback from previous crisis response evaluations and preparedness training events. The procedures update is part of the regular, bi-annual revision process. Recommendations from evaluation reports of real crisis responses, the EC's Request for scientific and technical assistance in the rapid assessment of biological or chemical risks which might affect food and feed safety, and the Commission Implementing Decision (EU) 2019/300 of 19.2.2019 establishing a general plan for crisis management in the field of safety of food and feed have been reflected in the update assuring EFSA's continued crisis preparedness. The updated procedures have been published on EFSA's webpage. As a result, a draft SOP for crisis response have been prepared and will be finalised and implemented in 2020 (figure 16).



Figure 16. Urgent advice – updated procedures

A topic “[Food incident preparedness and response](#)” has been developed in collaboration with Communications and published on EFSA's website in December 2019. Internally, a Sharepoint page with links to documents and contact lists linked to crisis response has been developed with Internal Communications and was launched in autumn 2019.

4.1.3. Methodology development, Harmonisation and Accessibility of methods/tools

Looking closer in the sub-areas within the strategic objective 4, the area of harmonisation registered a higher satisfaction rate than the one of preparedness (69.5% vs 64.1%). While these results measure the external stakeholders' perception on harmonisation, they cannot be compared with the internal indicators measuring the harmonised use of risk assessment methodologies in the EFSA's scientific work (see table 26) as they are still under elaboration. Work in this area was done in 2018



through 8 different projects that were aiming at producing cross-cutting guidance, methodologies, and tools.

In the area of Methodology development, (figure 17) the activities are being consolidated under the 'methodologies management' process. Performance measurement will be possible by counting the number of citations of cross-cutting guidance in the EFSA Journal. In the meantime, the activities on registration, dissemination and capacity building stemming from the existing guidance documents, were done 100% according to plan. The implementation of the guidance documents involves the developments of tools that was piloted in 2019 and will be used in 2020 onwards. Thematic discussion twice a year in plenary meetings to brainstorm about innovative methodologies or new trends in risk assessment are considered as an opportunity for further improvement of the process.

Methods EFSA @Methods_EFSA · 13 dic 2019
 This week in #KnowledgeJunction | Tables and figures complementing the #European Union #One Health 2018 #Zoonoses Report #OpenData doi.org/10.5281/zenodo... - check also efsa.onlinelibrary.wiley.com/doi/epdf/10.29...

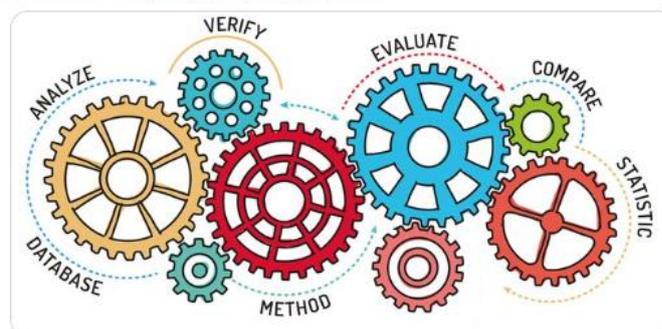


Figure 17. Methodology development

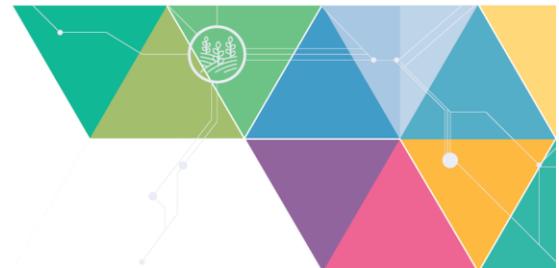
Regarding the accessibility of methods and tools for external users, the Knowledge Junction in place is already providing the solution while the definition of correct statistics to measure its efficiency is still on going.

Table 26: Outcome indicators for SO4

KPI	Indicator	Baseline	Target 2019	Executed 2019	Status
Outcome: Fostered use of new approaches and enhanced ability to anticipate and respond to risks					
	Number of capabilities included in EFSA's strategy implementation plan (original or revised) having been further developed (moved at least one stage from non-explored to feasibility, piloting, guidance endorsed, training provided, application in risk assessment)	0 (2016)	10	10	🟢
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)	To be calculated in 2020	N/A	N/A	⚪
Outcome: Harmonisation of risk assessment methodologies					
	Increase in the use of cross-cutting guidance documents by EFSA panels ⁵⁷	N/A	N/A	N/A	⚪
	Use of 'compulsory' guidance documents by panels and working groups	N/A ⁵⁸	N/A	N/A	⚪

⁵⁷ TBD in the context of further developing the EPA and specifically the 'methodologies management' process. It would be measured counting the number of citations of cross-cutting guidance in the EFSA Journal — linked to the Wiley report

⁵⁸ This indicator is linked to the relevant SOP on use of compulsory guidance. The SOP is not yet in place, so the indicator is suspended



Overall, the number of questions closed⁵⁹ for scientific outputs and technical reports exceeded the target, but this is due to planning inconsistencies related to technical reports in the animal health area, while the production of other publications is in line with the set target (see table 27 and figure 18).

The timeliness of adoption is also in line with set target, with the only exception of the delayed formal adoption of technical reports on public consultations in the pesticides area (cumulative assessment of pesticides), which did not however impact the finalisation of the related scientific reports. An overview on the status of the ongoing projects under this strategic objective and their contribution to the expected results from the EFSA strategy implementation is given in Annex III.

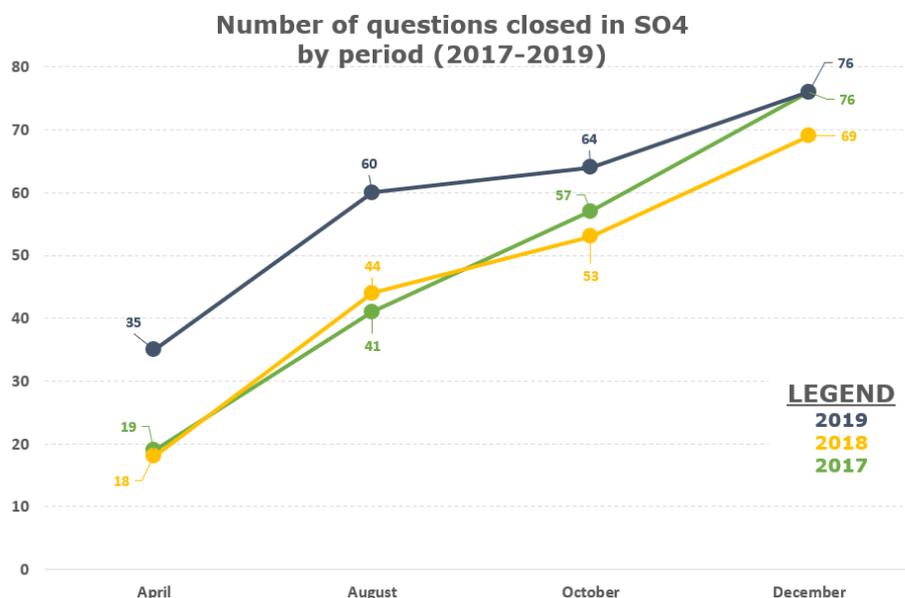


Figure 18. Questions closed in SO4 – comparison 2017-2019

Table 27: Activity and output indicators for SO4

Activity – output indicators				
Indicator	Executed 2018	Target 2019	Executed 2019	Status
Number of questions delivered for scientific outputs and technical reports	38	20	45	
Number of questions delivered for 'other publications' (external reports, event reports)	31 (29 external report /2 event reports)	31	31 (28 external reports/3 event reports)	
Proportion of scientific/technical questions adopted within deadline	100%	100%	95.6%	

From the overall scientific work delivered in the preparedness and harmonisation area, the following achievements can be highlighted in the specific areas of work:

⁵⁹ Additional details on questions closed by Unit and food sector area can be found in Annex IV. Questions closed in 2019



Animal health preparedness

The SIGMA project: The Classical Swine Fever (CSF) & African Swine Fever (ASF) wild boar surveillance database was developed as a tool to integrate ASF data collection, reporting and analysis. The features of this web database aim at supporting the Member States to manage, evaluate and control disease outbreaks in the wild boar population. This report describes the features of the database including the database structure and the tools to evaluate and visualize its content. Several screenshots were included to illustrate the diversity of possible analyses. The technical part of the document details the components and software used on the server (backend) and client side (frontend). Furthermore, the report illustrates the procedures for data import from the Member States and gives an outlook on the possible data flow and data exchange strategies between the CSF & ASF wild boar surveillance database and the EFSA data warehouse. The work was executed in cooperation with Member States representatives from the SIGMA consortium, the AHAW Panel members and external experts.

Biological hazards preparedness

Whole genome sequencing (WGS) and metagenomics: This Opinion, adopted in October, originates from a self-task mandate from the BIOHAZ Panel. The Panel and WG assessed the potential for application of WGS and metagenomics for outbreak investigation, source attribution and risk assessment of foodborne pathogens, highlighting the potential for their use. The opinion also provides an analysis on the use of these approaches for Salmonella and STEC serotyping and the identification of antimicrobial resistance determinants in bacteria, providing conclusions and recommendations on their use compared to microbiological methods currently regulated in EU legislation.

Genetically modified organisms

In the context of the on-going work on the environmental risk assessment of gene drive modified organisms EFSA organised a workshop with Stakeholders and EU Member States to discuss plausible environmental risks associated with the release of gene drive modified insects into the environment. While gene drives could be used to control agricultural pests and invasive species, rescue endangered species or suppress disease vectors, there is concern that they may lead to undesired side effects and alter ecosystems in irreversible ways. The input collected from the workshop participants will support the dedicated EFSA's expert working group to frame its work in the broader societal context.

Risk Assessment Methodologies Programme (RAMPRO)

The risk assessment methodologies programme (RAMPRO) supports the identification, prioritisation and management of scientific projects in three main areas: (i) chemical risk assessment for human and animal health; (ii) environmental risk assessment of chemicals; (iii) harmonisation of risk assessment methodologies including the use of evidence. The programme's objective is to identify synergies amongst the different projects developing new methodologies and achieve a harmonised use of EFSA's scientific solutions, methods and tools. RAMPRO stimulates scientific cooperation across EFSA as well as between EFSA and centres of excellence in and outside the EU.

In 2019, the programme showed good progress in its execution with 35 ongoing projects, 12 projects already delivered and closed and 14 new projects in the pipeline (envisioning/chartering phase).

Cumulative risk assessment methodology: Developing the Cumulative Risk Assessment (CRA) methodology and assessing the CRA for the consumers are requested by Regulations (EC) No 396/2005 and (EC) No 1107/2009.

In September, under the Risk Assessment Methodologies Programme (RAMPro), EFSA delivered a pilot CRA of pesticide residues for their effects on the thyroid and nervous system. This includes the



publication of two scientific reports on the establishment of cumulative assessment groups (supported by two reports on public consultation) and four scientific reports on cumulative dietary exposure assessment. In addition, a public consultation was launched on the two reports addressing cumulative risk characterisation, and an event was held in Brussels to explain and discuss the science behind the assessments with representatives of stakeholder groups. The final reports are planned to be published in April 2020. This pilot assessment is an important milestone as it allows EFSA to identify the issues that need to be improved and addressed in view of making this methodology operational and further refine the tools and data in order to obtain more accurate estimates. When this methodology will be fully operational, it will contribute to the preparedness for chemical risk assessment, the accessibility of CRA methodology and stakeholders' satisfaction. The phase 2 of the project (2020-2027 and beyond) is under chartering. This next phase will align with the EU Roadmap on the assessment of human health risks from combined exposure to multiple chemicals.

Guidance development

- Cross cutting guidance

A guidance on the use of the threshold of toxicological concern (TTC) approach in food safety assessment was released providing clear step-by-step instructions for the use of the TTC approach when the chemical structure of a substance is known, when there is limited chemical-specific toxicity data and when the exposure to the substance can be estimated. Instructions are also provided in case the TTC approach should not be used (EU food/feed legislation; existence of empirical data; exclusion categories).

Development and Use of Non-animal toxicity tests: The workshop on 'Advancing the application of evidence-based methods to construct mechanistic frameworks for the development and use of non-animal toxicity tests' was held at EFSA on 3 October in collaboration with Evidence Based Toxicology Collaboration. Participants included OECD, US – EPA, US-NTP JRC and methodology experts. The discussion was focussed on developing and applying evidence-based methods, assessing uncertainty and integrating uncertainty into decision making frameworks. In addition to contributing to advancing methodology in the relevant areas, the cooperative approach will enhance harmonisation across the various organisations by working together to come to common solutions.

- Sectoral guidance

Feed additives

A guidance on the assessment of the safety of feed additives for the environment was finalised in 2019, following a public consultation launched already in 2018. The guidance, which was also presented during an info-sessions with stakeholders, revised the previous guidance released by EFSA in 2008, with the aim to take into account new developments in methodology and the documentation produced by EFSA Scientific Committee and other bodies, such as EMA and OECD. The guidance was developed with specific attention to make it practical, short and simple and to cover as much as possible uncertainties.

Food enzymes

EFSA finalised a statement on the characterisation of microbial strains used as production organisms of food enzymes, with the aim to aid applicants in the preparation of dossiers for food enzymes. The CEP Panel took into account the particularities of the sectoral legislation regarding food enzymes, so to enhance clarity and transparency on the criteria applied to the evaluation.



Genetically modified organisms

EFSA finalised a statement on dietary exposure which further details the strategies on how to perform exposure assessment in the context of genetically modified plants application. The statement was discussed with MS and applicants during its development. It focuses on newly expressed proteins in genetically modified food and how their dietary exposure should be estimated. In addition, it provides guidance regarding the information that applicants need to provide to EFSA on the dietary exposure estimations.

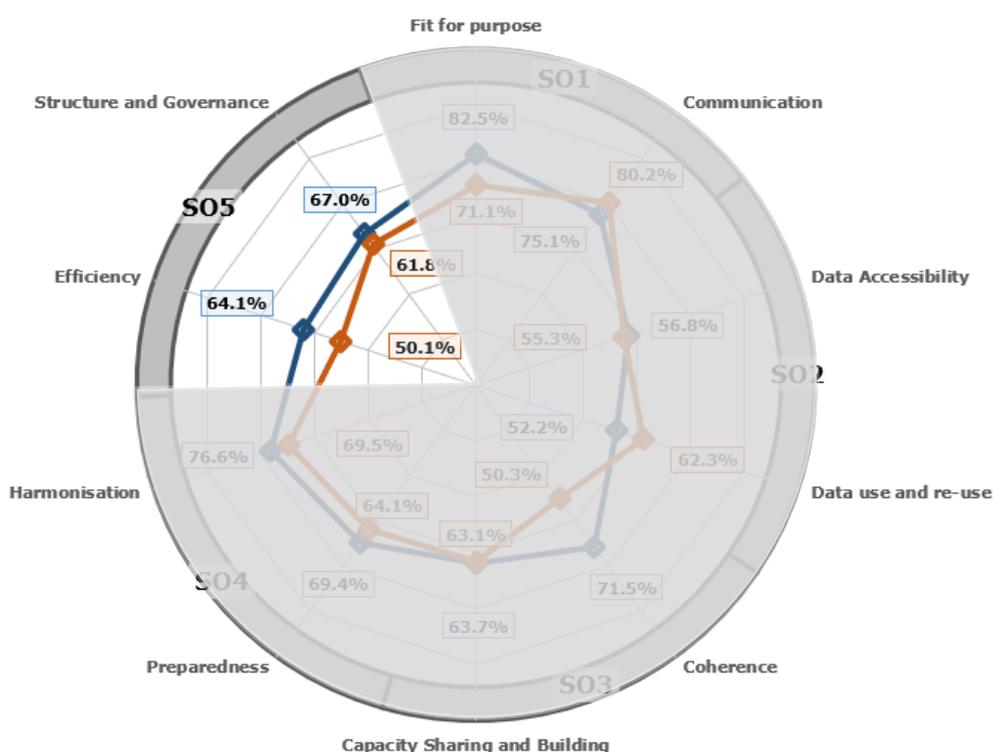


5. Create an environment and culture that reflects EFSA’s values

EFSA has been strengthening since 2016 a culture based on its values of openness, innovation, cooperation, independence and scientific excellence among its experts, partners and staff. In doing so, EFSA has implemented initiatives aiming to create an efficient, transparent and responsive environment, (i.e. organisation, processes and tools) that allow sustaining organisational performance improvements and delivering on its strategic objectives.

Overall, EFSA stakeholders registered a positive satisfaction rate (65.2% across the two dimensions, figure 19). Looking deeper, at the area of Efficiency, 62.8% (+6.8 p.p. compared to 2017) of the respondents agreed that EFSA’s Key Performance Indicators and the Annual Reports are able to provide a **realistic assessment of the overall performance** of EFSA, with EFSA’s Management Board registering the highest satisfaction rating (83.7%). A similar rate (64.5%) was also expressed on the ability of EFSA’s internal management systems for programming, monitoring, reporting, and evaluating to ensure the **accountability** of the Agency, with again the Management Board appearing very pleased.

Customer Satisfaction Survey: S05



Blue line: 2019 results
 Orange line: 2017 results

Figure 19. Customer Satisfaction Survey: S05

Looking internally, in November 2019 EFSA launched its 2019 Staff Engagement Survey (SES). Run every two years, this survey aims at assessing staff’s level of satisfaction and engagement across European agencies. The survey registered a very high participation rate of 85%, (+5 p.p. compared to 2017). Overall, the results are positive across most dimensions, registering an increase of 1 p.p. of



the overall favourable rate compared to 2017, a positive result when compared to the average registered by other EU Agencies. The 2019 survey results note also the positive impact of the 2017 survey follow up work. More details on specific KPIs connected to the SES are described in the paragraph 5.4.

5.1 Staying relevant in an evolving strategic context

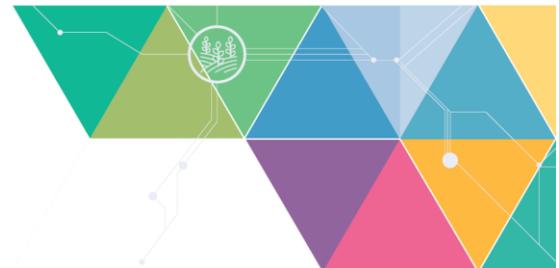
Leveraging on the environment scan report published in the summer 2019, and the results and recommendations from the mid-term EFSA 2020 strategy evaluation, work is on track for the preparation of the new EFSA strategy 2021-2027; a key milestone reached was a first discussion with the EFSA Board on a proposal of draft strategic directions and an updated description of EFSA mission, vision and values. The new strategy is being shaped in close cooperation with EFSA's partners and stakeholders, particularly EFSA's Stakeholder Forum and Advisory Forum. The development of the new strategy will ensure that EFSA stays relevant with the changing context in order to continue providing fit for purpose scientific advice while addressing efficiently the evolving societal expectations and risk managers' needs.

A key driver for the new strategy is the new **Transparency Regulation (TR)**, for which EFSA has started preparations already in 2019. As a matter of fact, EFSA saw a considerable investment of efforts across the organisation, to be intensified in 2020, in getting ready for when the TR enters into force. In this context, the work to design and to implement new processes, as well as to adjust the current ones has started and the first design of all scientific processes was drafted. A list of actions, timing and responsibilities were agreed with DG SANTE in an EFSA-SANTE mapping document and will represent the basis for mutual collaboration. Moreover, a first batch of recruitment calls was launched (42 additional staff foreseen to start in 2020 in the context of the TR).

EFSA's institutional relations intensified in 2019, in part to support the preparations for the TR and in part for the preparations for the next strategy cycle and the post-2020 multiannual framework. It continued to focus on its relations with the EU institutions to support EFSA on budget, discharge and policy/regulatory matters, but also reciprocally supported national policymakers and Council presidencies in their work programme in EFSA's remit. The authority worked closely with the European Parliament in relation to two mandates received in 2018 for the RA of multi-stressors in managed honeybees and the welfare of farmed rabbits. A discourse analysis to gather perception of Members of the European Parliament (MEPs) on EFSA was carried out in 2019, which will feed into future activities. Activities included topical events and delegation visits, supported by EFSA's Brussels liaison office.

In preparation of the United Kingdom's withdrawal from the European Union, EFSA developed an action plan in close collaboration with the European Commission and communicated it among its departments and units for implementation as of the end of January 2020. The action plan takes into consideration the Withdrawal Agreement signed by the European Union and the United Kingdom, which foresees a transition period until the end 2020. EFSA will continue working with the European Commission to keep the action plan updated in accordance with the outcome of the negotiations that are being conducted between the EU and the UK on their future relationship.

EFSA actively contributed to the EU Agencies Network's activities, working towards the strategic objectives of shared services and mutual value creation, and continued to host the head of the EU Agencies Network's Shared Support Office. Particular emphasis was placed on the further development of shared services, the new EUAN strategic priorities and the strengthened approach of cooperation within clusters of Agencies contributing to the same policy areas. To this end, EFSA participated to two meetings of the Health Agencies with DG SANTE, where further cooperation



modalities were discussed and agreed, such as in contribution to “New Green Deal” and the Health Policy Agencies and European Commission Collaboration (HPAC) initiative⁶⁰.

5.2 Sound operational performance and compliance

The sound operational performance is globally measured through ‘the clean budget discharge’ and the ‘proportion of KPIs of the programming documents having met their target’ (see table 28). In April 2019, EFSA received a clean discharge for the previous year and ensured the timely follow up of the EU Parliament observations.

The composite indexes that are measuring the overall performance of EFSA’s three “tiers” (impact-outcome-output) of performance indicators registered better-than-planned results for the medium- and long-term indicators. In particular, the KPIs measuring the impact of EFSA’s activities within the remit of the five Strategic Objectives pursued by the Authority registered an overall score of 84%, against a target of 80% and better than the 78% registered in 2018. The outcome indicators, instead, were in line with the target of 90% and registered a marked increase compared to 2018.

Table 28: Intermediary impact indicators for SO5

KPI	Indicator	Baseline	Target 2019	Executed 2019	Status
Intermediary impact: Sound operational performance					
Proportion of KPIs of the programming documents	Intermediary impact	71% (2017)	80%	84%	🟢
	Outcome	100% (2017)	90%	90%	🟢
	Activity/Output	73.5% (2017)	95%	84%	🟡
Clean discharge achieved	Discharge is granted	Yes	Yes	Yes	🟢
	Accounts are closed	Yes	Yes	Yes	🟢
	Observations are followed up within the prescribed deadlines	100%	100%	100%	🟢

By contrast, output indicators (the ones that measure EFSA’s direct products and services) were at 84%, a result that is below the ambitious target of 95% but that is not far away from the 2018’s performance (89%). It is also worth noting that the output indicators’ index registered an upward trajectory during the year, moving from 74% in P2 to 77% in P3 to 84% in December. While the deviation is relevant in absolute terms, it is not worrisome, as it is of technical relevance without implications to the achievement of expected results.

⁶⁰ Initiative led by DG SANTE pursuing efficiency via synergies and collaborations in the delivery of common digital solutions.



Table 29: Activity and output indicators for SO5

Indicator	Executed 2018	Target 2019	Executed 2019	Status
Service delivery index	82%	80%	85.9%	
Transformation performance index (development project execution index) ⁶¹	75%	80%	76%	

EFSA made use of these indicators for the first time under its current strategy, with ambitious targets aimed at driving the organisation forward. With the forthcoming conclusion of the 2020 strategy performance cycle, EFSA will make use of the lessons learnt and training activities carried out in the meantime, to improve the quality of performance measurement, based on few and relevant KPIs reported at corporate level and a good coverage of process indicators to be used mainly for internal processes.

In terms of efficiency, the index that measures the overall performance of EFSA's projects registered a result below the target (74.3%, against a target of 87%), mainly due to shortage of resources leading to delays. The index was on target until P2 (when it was 83.7%) and then decreased in the second part of the year. It is worth highlighting how projects connected to the preparation for the new Transparency Regulation entered in full speed around September, and this might have affected the other projects.

Regarding the allocation of the FTEs between operational and support activities, the ratio has been 74/26, slightly below the target of 75/25, but slightly better than the results of 2017 and 2018.

Table 30: Intermediary impact indicators for SO5

KPI	Indicator	Baseline	Target 2019	Executed 2019	Status
Intermediary impact: Efficiency					
	Improved ratio of effort (FTE) spent in operational vs support activities	73.5/26.5 (2016)	>75/25	74/26	
Efficiency index in EFSA's activities	For mature processes: improved index (ratio of output & quality/satisfaction vs input)	TBD	TBD	N/A	
	Process maturity index: percentage of mature vs total processes	TBD	TBD	N/A	
	Projects: improved index (delivery on budget, on time, in scope or better)	77% (2017)	87%	74.3%	

On the financial side, the 7 indicators measuring the budgetary performance of EFSA in 2019 registered positive results, both in terms of commitments and payments – with minor deviations in the payments of differentiated credits and credits connected to Grants & Procurement (see table 31 below and Section II for more details).

⁶¹ For the subset of key projects that were followed



An overview on the status of the ongoing projects under this strategic objective and their contribution to the expected results from the EFSA strategy implementation is given in Annex III.

Table 31: Activity and output indicators for SO5

Indicator	Executed 2018	Target 2019	Executed 2019	Status
Proportion of original budget committed at year end – differentiated	116.8%	100%	103.2%	
Proportion of original budget paid at year end – differentiated	112.3%	100%	94.1%	
Proportion of original budget committed at year end – non-differentiated	98.3%	100%	99.7%	
Proportion of original budget paid at year end – non-differentiated	88.9%	90%	90.3%	
Proportion of original science grants and procurement budget committed at year end	116.8%	100%	103.2%	
Proportion of original science grants and procurement budget paid at year end	112.3%	100%	94.0%	
Carry-forward of payments to following year ⁶²	9.6%	<10%	9.3%	

Accountability Framework

Underpinning the sound operational performance of EFSA is the strengthened accountability framework based on its four pillars: governance and decision making, assurance, result-based management, quality and continuous improvement, highlights of which are provided below.

Pillar 1: Governance and decision making

During 2019 the EFSA Management System integration approach was agreed, aiming to align and streamline the implementation of EFSA activities dealing with the seven shared requirements of the different management standards in an efficient way. Finally, EFSA's revised Hierarchy of Documents aiming at restructuring the EFSA Repository of governing documents was endorsed, contributing as well to the internal decision-making.

Pillar 2: Assurance

An Integrated Assurance Planning design and principles were adopted, structured around 4 assurance roles & tasks: Management Assurance, Control Clusters, Internal & External Audit, Certification Audits. The integrated assurance plan will be fully implemented in EFSA's workplan 2020, ensuring a streamlined and efficient monitoring approach.

In October 2019, EFSA underwent the ISO 9001:2015 re-certification audit, which confirmed the effectiveness and conformity of the Quality Management System, with no observations and no non-conformities identified.

During the course of 2019, EFSA was deemed compliant with other two ISO standards.

⁶² Non-differentiated credits



In November, EFSA obtained the ISO 14001:2015 Environmental Management re-certification. Moreover, the EMAS (EU Eco-Management and Audit Scheme) registration was confirmed. In December, EFSA's business continuity certification (ISO 22301), first achieved in December 2018, was re-confirmed.

Within this pillar, one of the main performance indicators (Number of 'critical', 'significant' or 'very important' findings) was on track (see table 31). Additional indicators are part of the Internal Control Framework (COSO), and a more in-depth analysis is provided in Section III - Assurance.

Table 32: Outcome indicators for SO5 - Compliance

KPI	Indicator	Baseline	Target 2019	Executed 2019	Status
Outcome: Compliance					
Compliance index (to laws, regulations, decisions, standards, policies and procedures applicable to EFSA)	Number of 'critical', 'significant' or 'very important' findings	4 (2016)	<5	2	

Noteworthy was also the proactive publication of data and information and improved transparency of risk assessment procedures, which will be also at the centre of the implementation of the Transparency Regulation measures. The Authority's ongoing commitment to openness and transparency is summarised as follows: 50% increase in the number of public access to document requests and an approximately 200% increase in the number of documents disclosed when compared to numbers from 2013. Governed by the so-called PAD Regulation (Regulation (EC) No. 1049/2001), public access to documents requests are dealt with by team centralised within Legal and Assurance Services who works closely and efficiently with all EFSA's Units to process the requests in a timely manner.

Finally, details on the work carried out on the implementation of EFSA's Independence Policy can be found in Annex VIII.

Pillar 3: Result-Based Management

EFSA's programming document was adopted in December, and it is setting the priorities in the multiannual plan of EFSA, fully integrating the new Transparency Regulation. In close cooperation with EFSA's Institutional partners, EFSA's programming document for 2020-2024 has integrated in an efficient manner the requirements from the new Transparency Regulation (additional resources, activities, outputs and expected outcomes) as well as the updated challenges and opportunities as identified in the 2019 environment scanning exercise.

BIKE Project

Through its Information Management Programme (IMP), EFSA's Business Intelligence and Knowledge Exploitation Project (BIKE) closed its first phase and delivered the tool improving the integration and automation, and thereby the efficiency of EFSA's corporate monitoring and reporting mechanisms, in a results-based approach. This will enable a fact-based decision-making on resources and on strategy implementation planning and reporting related matters. From a user perspective, a unified and stable interface will replace numerous and complex Excel files and provide a single self-service source of performance information. The BIKE project delivered several solutions in the context of portfolio and budget definition. Efficiency gains are expected starting from 2020/2021.



Pillar 4: Quality and continuous improvement

The added value of using the Quality Management System to support performance improvements and the ongoing work related to the Transparency Regulation was positively noted during the ISO 9001:2015 re-certification audit. By the end of the year, all the annual quality objectives have been entirely or partially delivered, with further progresses made in the areas of documentation, performance indicators, and continuous improvement.

In this context, 43 opportunities for improvement across the five Strategic Objectives (16 in SO1, 4 in SO2, 8 in SO3, 8 in SO4, and 7 in SO5) were put forwards at the beginning of 2019, the majority of them coming from suggestions emerged in the context of the 2017 Customer/Stakeholder Feedback survey and the 2018 Customer Feedback Exercise with DG Sante. In 2019, EFSA completed 31 (72%) of the opportunities for improvement that were identified, with further 11 currently ongoing (see figure 20).

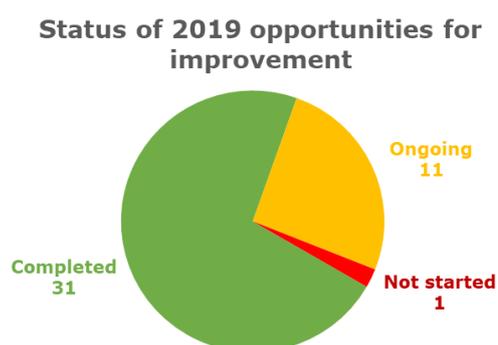


Figure 20. Status of 2019 opportunities for improvement

Particularly positive results were achieved in the areas of **Food Enzymes** and **Novel Foods**, which increased the number of opinions adopted during plenary meetings by up to 160% (e.g. Food Enzymes from 1.6 to 4.2). Moreover, in the area of **Talent Selection** the average duration of the process was reduced by half (from 7 months to 3.5 months), an improvement driven also by the increased need of recruitment in 2020 (Transparency Regulation).

During the business continuity certification, the auditors noted the improvements made in the context of the business continuity operations i.e. implementation of more cloud-based solutions allowing increased availability of EFSA systems in case of a disruptive event. From an organisational perspective, the business continuity documents and plans were streamlined and better integrated with the overall Management System making them more user-friendly for all business continuity stakeholders. No non-conformities were identified, and the 5 observations received were integrated in EFSA's 2020 workplan for follow-up actions. Additional details are provided in Section III - Assurance.

5.3 Enabling working environment

Measurements regarding the development of an enabling working environment properly supported by world class IT tools that promote innovative collaboration methods are on track.

IT Operational Strategy & Technology Roadmap

In December 2019, EFSA's Management Board endorsed the closure of EFSA's 2014-2020 technology strategy. The strategy modernised all EFSA's information technology by migrating from on-premises custom software to modern cloud services. The strategy aimed for and delivered a € 1.0 million annual capacity gain (€ 4.0 million total over the period which was re-invested in scientific risk assessment), a rationalised portfolio of software that reduced over 80 software systems by 60% while raising service delivery performance by 48% and end user satisfaction by 21%.

The modernised IT landscape is supporting the need of advanced analytics, for example those needed for the quantitative processing of complex scientific topics (such as whole genome sequencing and cumulative exposure risk assessment) within the budgetary resource of the Authority. The IT capability and cloud services were also developed in partnership with other European agencies, further contributing to the cost efficiency and cost avoidance for EU agency technology expense.



The investments in IT also supported the development of a more modern and agile working environment. In particular EFSA aimed at improving the exchange of knowledge and expertise within EFSA’s networks of staff, experts, institutional partners, and stakeholders through its Digital collaboration project. In this context, the pilot for panels, working groups, networks and KICs organised by the project has been completed and started its official roll-out. At the end of 2019, there were 15 active social collaboration groups with EFSA’s scientific experts (see table 33) and the official roll-out has started.

Moreover, the New World Of Work (NWOW) project, which aims at increasing personal and group productivity, nurture collaboration and foster innovation and creativeness by implementing factors required by the digital era, has further progressed during the year. It saw the refurbishment of a large part of the meeting rooms, the implementation of “soft landing spaces”, the partial delivery of new IT devices for staff, and the completion of digital trainings. During the year the project also enlarged its scope, with the inclusion of additional IT tools and building adaptation, in the frame of the implementation of measures stemming from the Transparency Regulation.

These progresses in the IT architecture and in the digital culture have helped EFSA in increasing its use of virtual meetings with its scientific experts: in 2019, 30% of the meetings were held as tele-meetings, more than the target of 25% and more than the 2018’s performance of 24.3%.

Table 33: Outcome indicators for SO5 – Enabling working environment and Capabilities development

KPI	Indicator	Baseline	Target 2019	Executed 2019	Status
Outcome: Enabling work environment					
Innovative collaboration methods supported by world class IT tools	% of tele-meetings (experts & networks) over total meetings (tele-meetings + physical meetings)	20%	≥25%	30%	
	Ratio of internal to external email traffic (staff, experts, networks)	95/5 ⁶³	55/45	55/45 (2018)	
	Social collaboration platforms (number of active working groups of experts and active networks) ⁶⁴	15 (2019)	N/A	15	
Outcome: Capabilities					
Performance-based management maturity level		Between stages 2&3 (2017)	Between stages 3&4	Between stages 3&4	
World-class IT maturity level (PEMM ⁶⁵ model)		1.7 (2017)	2.0	2.4 (2019)	

⁶³ Total mail received annually (average): 5.2 million/total mail sent annually (average): 2.1 million, of which EFSA internal traffic: 2.0 million=95%

⁶⁴ The indicator is defined in P3 2019 in accordance with the new social collaboration platform implemented in EFSA. The description is finetuned to reflect the reality (previously: “Social collaboration platforms (staff, experts, networks)”. The measurement is on an annual basis.

⁶⁵ Process and Enterprise Maturity Model.



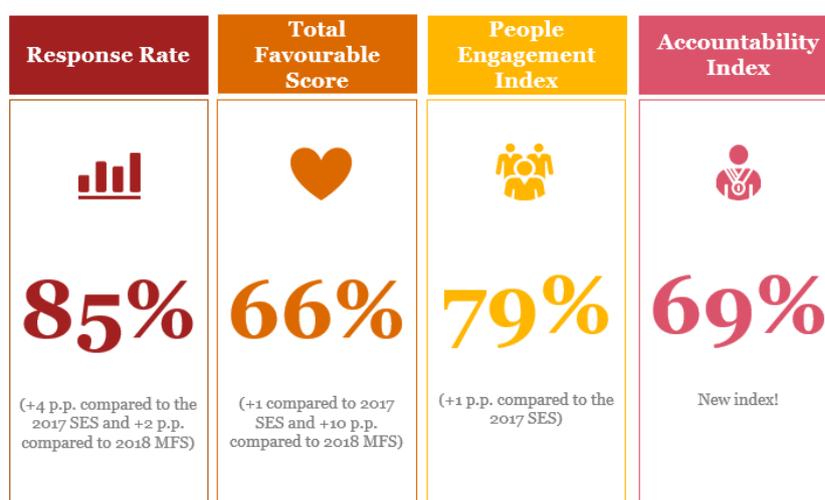
Records management

Finally, in the area of documents management, EFSA approved its Records Management policy was approved. The policy clarifies which documents (including e-mails) are to be considered records, supporting EFSA’s commitment with increased transparency, and aims to enhance EFSA’s paperless approach.

5.4 People and culture

The 2019 Staff Engagement Survey displayed positive results, with a steady increase compared to the past survey registered by the indicators monitored. More in details, the **overall favourable rate** was at 66%, above the target of 60% and slightly better than the results registered in 2017 (65%) and 2015 (63%), whilst the **engagement index** was at 79% (+1 p.p. compared to 2017 and +3 p.p. compared to 2015). The **organisational commitment** dimension registered a very high rate of 94% (see figure 21).

Snapshot of results and benchmarking with previous EFSA Surveys



Also, the results of the two specific indicators to evaluate EFSA’s managerial community (Management feedback survey: Line management; Management feedback survey: leadership) are aligned with the target sets (see table 34). Notably, the satisfaction rate expressed by EFSA staff on the ability of its line managers was one of the highest in the entire survey, whilst the satisfaction rate on leadership (meaning EFSA’s top management community), despite being slightly lower than the target set, it has registered one of the highest improvement survey-on-survey.

Following the results of the 2017 Staff Engagement Survey and 2018 Management Feedback Survey, in March 2019 EFSA has endorsed a leaned and joint action plan to address the findings, which groups the actions in 3 clusters: ‘Corporate culture mirroring EFSA’s values’; ‘Clarity and alignment in communication’; ‘Be the change’. Implementation of this plan has already started, one of the actions being the launch of a Leadership Development Programme to strengthen managerial and leadership competencies. In fact, the November ‘All Managers Forum’ aimed to steer EFSA’s managerial community in moving beyond the traditional model of strategy design and acknowledge the impact of social dynamics in defining and implementing strategies and ultimately developing the organisation.



Table 34: Outcome indicators for SO5

KPI	Indicator	Baseline	Target 2019	Executed 2019	Status
Outcome: People and culture					
Staff engagement index via feedback survey (based on biannual survey - interagency framework) ⁶⁶	Total favourable	63% (2015)	60%	66%	
	Total engagement	76% (2015)	78%	79%	
	Organisational awareness/commitment	93% (2017)	94%	94%	
Management and leadership index	Management feedback survey: Line management	69%	≥70%	74% ⁶⁷	
	Management feedback survey: leadership	46%	60%	58% ⁶⁸	
	Occupancy rate (%) Statutory staff year average	95.0% (2016)	>95.5%	97.6%	
	Competence management maturity level: Feedback of participants in managers' development programme 2018	TBD	TBD ⁶⁹	N/A	
	Competence management maturity level: EFSA's compliance with ESCO	86% (2018)	N/A	86% (2018)	

Finally, the occupancy rate, the last element composing the “Management and Leadership index” registered an achievement of 97.6%, better than the target of at least 95.5% set for 2019 and in line with the 97.5% registered in 2018.

EMP programme

Through its Expertise Management Programme (EMP), EFSA is pursuing its efforts to develop a comprehensive competency-based approach to talent attraction, career management and talent retention for staff and experts. The program delivered a new travel management model that enables the externalisation of the operational activities linked to meeting and mission organisation with expected benefits in efficiency and user satisfaction. The programme has been moving towards competency-based workforce planning and management. Developed under the EMP Strategic Competency Analysis project, the job profiles and workforce planning model have already demonstrated marked benefits to EFSA’s selection procedures and are currently supporting the process reengineering work underway in preparation for the implementation of the new TR. A pilot was initiated aiming at expanding the use of the competency framework to enhance learning and development, and mainly support the definition of strategic learning needs.

⁶⁶ The target 2018 and the execution remain the same throughout the year reflecting the result of the 2017 Staff Engagement Survey. The next survey will take place in 2019

⁶⁷ As reported in Staff Engagement Survey 2019, dimension 9 (line management)

⁶⁸ As reported in Staff Engagement Survey 2019, dimension 11 (leadership)

⁶⁹ Based on targets to be agreed with the new Leadership Development Program provider.



Section II. Management of resources

1. Budget and financial management

Financial resources

The initial approved budget of EFSA for year 2019 was €80.0 million in commitment and the same amount also for payment appropriations. During the year, bank account interest (€ 33,343.59) increased the initial EFSA commitments and payment budget and a € 0.7 million payment appropriations excess was transferred back to Commission.

In March 2019, EFSA Management Board approved a grant agreement with DG NEAR of € 0.5 million (R0 budget) to allow EFSA supporting food safety risk assessment training activities to neighbour countries; the grant amount was increased to € 0.8 million in December of the same year.

As of 31st December 2019, € 80.0 million have been committed, corresponding to 100% of commitment appropriations. € 72.5 million were paid, corresponding to 91% of payment appropriations. € 6.8 million of non-differentiated credits were carried forward to 2020 (figure 22, details in Annex II).

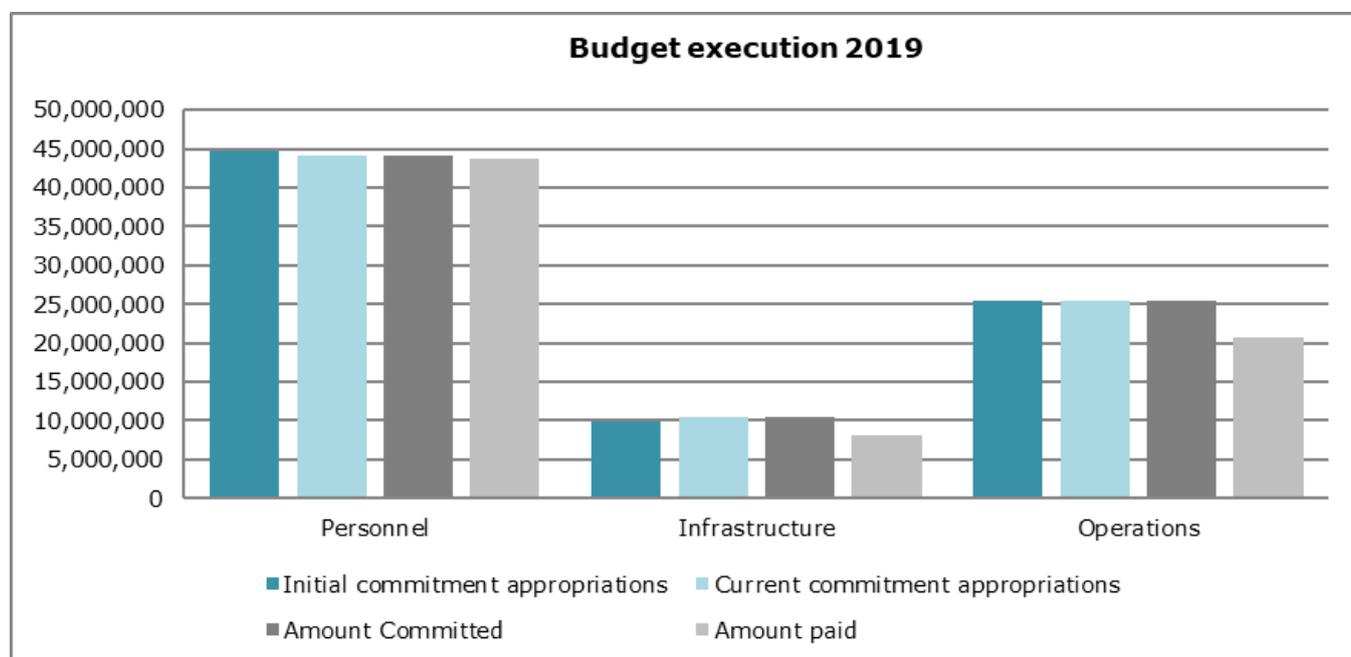


Figure 22. Budget execution 2019

Title I: Out of € 44.2 million, € 39.3 million were committed for staff salaries and allowances. Remaining €4.9 million have been spent mainly for interim services, European School contribution, SNEs and trainings. € 0.5 million have been transferred to Title II due to lower needs in the Title, mainly in salary cost and trainings. Payment execution reached 99% of available appropriations, € 0.5 million was carried forward to 2020.



Title II: € 10.4 million have been committed (€ 0.5 million above original budget increased by transfers from Title I and integration of bank interest). Approximately half of the funds (€ 5.3 million) was used for building related expenditures and € 4.1 million for IT software and infrastructure. Payment execution reached 79% while € 2.2 million were carried forward to 2020.

Title III: € 25.4 have been committed, out of which € 7.9 million for scientific grants & procurement and € 5.4 million for scientific meetings.

€ 10.8 million have been used for horizontal operational support expenses (mainly IT operational support, centralised prepaid travel, operational development and control, staff missions related to operational duties and Library and Events). € 1.3 million have been used for communications activities and materials.

Appropriations carried forward

Out of € 6.8 million commitments carried forward from 2018, 94% was used (6.4 million). The remaining amount of € 0.42 million was cancelled. These cancellations mainly refer to commitments in the areas of IT operational support, Other services, HR consultancy and services and telecommunications.

Debit notes

During 2019, 72 debit notes were issued and 70 debit notes effectively recovered for an amount of €80.5 million. This amount includes the EU budget contribution (€80 million). Three debit notes remained open at the end of the year to the amount of €0.048 million. One of these, issued in previous years, amounting to €0.02 million, is in litigation before the courts.

Amending budgets

Three amending budgets were approved by EFSA's Management Board during the year to 1) integrate bank interest into EFSA budget (€ 33,343.59) and grant agreement with DG NEAR to new Pre-accession Programme 2019-2021 (€ 500,00.00), 2) release payment appropriation in excess (€ 700,000.00) and 3) increase the Pre-accession Programme grant agreement (€ 250.000,00) and its extension until May 2022.

Budget transfers

Six budget transfers took place during the year. Three of them were related to scheduled "Requests for Change" procedures (May, September and November), two ad hoc transfers were done to cover immediate needs. The last transfer was performed in December to optimise the use of budgetary resources.

In Title I, the surplus funds in salary cost and trainings were transferred mainly to interim services, contract staff, stagiaires and European School to cover additional needs emerged during the year. € 0.5 million was transferred to Title II.

In Title II, the additional resources were requested mainly for the investment into building (refurbishment/fitting out, cost preliminary to construction and equipment), IT equipment and user support, legal expenses. Funds in excess from the Title II and from Title I were transferred to building acquisition and used for anticipated building loan down-payment, decreasing the payment rate in the future.



In Title III, the excess funds originating in mainly scientific meetings and related prepaid experts travel, missions' quality management and communications were transferred to operational development, operational IT systems and scientific grants and procurement.

Human resources management and talent selection

On 31 December 2019⁷⁰, 459 of the available 467 posts were occupied (including officials, temporary agents, contract agents and seconded national experts). With specific reference to statutory staff (officials, temporary agents and contract agents), 444 posts out of the 451 available were occupied on 31 December (98.4%). In terms of statutory staff average occupancy rate, 440 out of the available 451 posts (97.6%) were occupied throughout the year 2019 (vs the 2019 yearly target of >95.5%).

Table 35: Human resource overview (31/12/2019)

HUMAN RESOURCES	2018	2019	2019
	BUDGET REQUEST	BUDGET REQUEST	(31/12/2019)
Temporary Agents and Officials Executives, Managers & Officers (AD)	218	220	215
Temporary Agents and Officials Assistant functions (AST)	101	100	98
Total TAs+Off	319	320	313
Contract Agents officer functions (CA FGIV)	92	106	105
Contract Agents assistant functions (CA FG I, II, III)	33	25	26
Total CAs	125	131	131
Seconded National Experts	15	16	15
TOTAL STAFF ALL CATEGORIES	459	467	459

2. FTEs and budget indicators per strategic objective

Table 36: Input indicators for SO1 (FTEs and Budget as full cost of all Titles)

INPUT INDICATORS			
Total SO1	Resources invested per year	Target 2019	Executed
	FTEs	208	194 ⁷¹
	Budget (M, €)	34.32	29.92

⁷⁰ See Organisational Chart 2019 in figure 23

⁷¹ The overall reduction of EUR 4.0 million in SO1 is mainly due to two reasons: 1) EUR 2 million related to the "Matrix Project" have been reclassified to SO2 and 2) EUR 2 million, including the cost associated to around 7 ftes and 1 million Experts reimbursements and indemnities budget have been transferred to the implementation of TR measures under SO5. Indeed, the analysis of the implications of the TR measure on scientific processes has involved more internal scientific competencies than initially planned (the business as usual scientific activities have been partially and temporarily supported with additional procurements – e.g. tasking grants from art. 36 organisations – and scientific interim staff. In addition, savings from experts reimbursements and allowances have supported the increased expenditure in IT (for business analysts and IT architects) and consultancy (for management consultancy and project management) in connection with TR implementation.



INPUT INDICATORS			
Scientific – general risk assessment			
Input sub-indicator	FTEs	58	48
	Budget (M, €)	10.82	8.78
Scientific – regulated products evaluation			
Input sub-indicator	FTEs	128	126
	Budget (M, €)	19.83	17.90
Communication & engagement			
Input sub-indicator	FTEs	21	20
	Budget (M, €)	3.66	3.30

Table 37: Input indicators for SO2 (FTEs and Budget as full cost of all Titles)

INPUT INDICATORS			
	Resources invested per year	Target 2019	Executed
Total SO2	FTEs	16	18
	Budget (K, €)	2.99	4.93

Table 38: Input indicators for SO3 (FTEs and Budget as full cost of all Titles)

INPUT INDICATORS			
	Resources invested per year	Target 2019	Executed
Total SO3	FTEs	28	31
	Budget (K, €)	7.31	7.84

Table 39: Input indicators for SO4 (FTEs and Budget as full cost of all Titles)

INPUT INDICATORS			
	Resources invested per year	Target 2019	Executed
Total SO4	FTEs	29	27
	Budget (K, €)	6.72	6.22

Table 40: Input indicators for SO5 (FTEs and Budget as full cost of all Titles)

INPUT INDICATOR			
	Resources invested per year	Target 2019	Executed
Total SO5	FTEs	185	192 ⁷²
	Budget (K, €)	28.62	31.01

⁷² Increase connected to TR implementation (see also SO1 footnote)



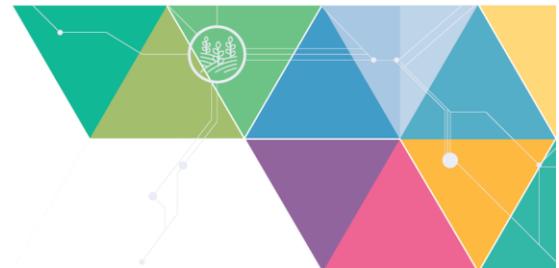
Section III. Assurance

EFSA conducts its operations in compliance with the applicable laws and regulations, working in an open and transparent manner and meeting the expected high level of professional and ethical standards. EFSA has adopted its Internal Control Framework, based on the equivalent standards laid down by the European Commission and international best practice, aimed to ensure the achievement of policy and operational objectives. The financial regulation requires that the organisational structure and the internal control systems are set up in accordance with these principles.

EFSA's 10 Assurance Pillars acts as an enabler by providing the overall architecture for Assurance in EFSA and defining what it entails:

- Audit Management; follow-up of recommendations and action plans **2.1**
- Financial reporting; budget implementation, accounts and discharge **2.2**
- Risk Management and Anti-Fraud Strategy **2.3**
- Internal Control **2.4**
- Legality and Regularity monitoring **2.5**
- Information Management **2.6**
- Evaluation **2.7**
- Quality certification **2.8**
- Security and Business Continuity **2.9**
- Health & Safety and Environment **2.10**

Assurance ensures cross-functional corporate oversight, providing a holistic and integrated view from a governance, policy, planning and reporting perspective of respective assurance activities in EFSA. This assessment is carried out by EFSA Management, who monitors the functioning of the 10 Assurance Pillars, and by the internal and external auditors. The first part below includes the results from audits performed during the reporting year by the Internal Audit Services (IAS) of the European Commission, EFSA's Internal Auditor, and by the European Court of Auditors (ECA), EFSA's External Auditor. The second part reports on the activities and achievements that support EFSA's Management Assurance.



1. Assessment of audit results during the reporting year

Internal Audit Service (IAS)

The work of the European Commission Internal Audit Service IAS is based on the Strategic Internal Audit plan 2018-2020 that originates from an in-depth risk assessment. The purpose of the exercise is to review all processes to constitute risk-based plans and determine the priorities of the internal audit activity. In 2017 the IAS performed the risk assessment, whereby the IT Business Continuity process and, more in particular, the IT Disaster Recovery sub-process was identified as the only process where controls needed to be further improved. The related action plan for the Business Continuity Project was fully implemented by EFSA in 2018.

The IAS performed an internal audit on the Human Resources Management and Ethics in EFSA and issued the final report in January 2019. The objective of the internal audit was to assess the adequacy of the design and the effectiveness and efficiency of the internal processes set up by EFSA to manage its human resources and to uphold the ethical values of the organisation and comply with the policy, rules and guidelines on HR management, ethics and fraud prevention and on the management of conflict of interest of staff. Two very important observations were identified on weaknesses in the recruitment and selection process and on weaknesses in the time management process.

The IAS also started an internal audit on the assessment and adoption of scientific outputs in the Food Ingredients and Packaging domain in November 2019. The objective of the audit is to assess the adequacy of the design, the effectiveness and the efficiency of the process established for the assessment and adoption of scientific outputs under the Food Ingredients and Packaging domain. The scope of the audit includes a review and assessment of the allocation of the resources and the organisation of work within EFSA and especially within the FIP unit, the assessment of the adequacy of the planning of the production of scientific outputs, the assessment of the effectiveness and efficiency of the assessment and adoption processes, and the assessment of the monitoring and reporting activities related to the audited topic.

European Court of Auditors (ECA)

The European Court of Auditors conducted its annual financial and regulatory audit of the Authority's 2018 accounts and adopted its report on 15 October 2019. In the report the ECA expressed the following audit opinions:

- *Opinion on the reliability of the accounts*

In the Court's opinion, the accounts of the Authority for the year ended 31 December 2018 present fairly, in all material respects, the financial position of the Authority at 31 December 2018, the results of its operations, its cash flows, and the changes in net assets for the year then ended, in accordance with its Financial Regulation and with accounting rules adopted by the Commission's accounting officer. These are based on internationally accepted standards for the public sector.

- *Opinion on the legality and regularity of the transactions underlying the accounts*

In the Court's opinion, revenue and payments underlying the accounts for the year ended 31 December 2018 are legal and regular in all material respects.

The European Court of Auditors audit report did not include any observations.



2. Management assurance | 10 Assurance Pillars

2.1 Audit Management; Follow-up of recommendations and action plans

At the end of the reporting year, after the full implementation of the action plan for the internal audit with focus on Data Collection and Analysis and respective follow-up audits performed during the year mainly concerning the IAS audit recommendations on Evaluation of Regulated Products Assessment Phase in Pesticides Authorisation there were no critical or very important audit recommendations outstanding from before 2019. The follow-up audits concluded that all audit recommendations had been adequately and effectively implemented, except for the weakness in the preparation of the annual report on pesticides residues considered only partly implemented and downgraded to important.

2.2 Financial Reporting, budget implementation, accounts and discharge

On 26 March 2019, the European Parliament (EP) granted to EFSA the Discharge in respect of the implementation of the budget for the financial year 2017. This is the final approval of the budget implementation and the closure of the accounts for 2017. Regarding the observations made by the European Parliament in the Discharge 2017 with respect to some aspects of EFSA's financial and administrative management, EFSA has informed the European Parliament that the majority of the recommendations have been implemented, and the remaining are in the process of being completed.

2.3 Risk Management and Anti-Fraud Strategy

Risk management is about identifying and assessing potential problems that could affect the execution of the organisation's activities and the achievement of objectives. As part of EFSA's planning cycle, risks and mitigating actions are identified at process level and captured in the EPA process risk registers. A streamlined impact/likelihood approach was used to perform the risk assessment to select the appropriate risk response. In 2019, following a recommendation from the Commission, a peer review exercise on risk management among EU Agencies was undertaken to allow for an exchange of best practice on methodology. The critical and cross-cutting risks that could potentially impact the achievement of EFSA's objectives, and respective mitigating actions that reduce the risks to acceptable levels are outlined in EFSA's 2020 Programming Document.

EFSA developed its Anti-Fraud Strategy following an internal risk assessment carried out in accordance with the European Anti-Fraud Office methodology and guidance. There are four main objectives highlighted focusing on maintaining a high level of ethics and fraud awareness, ensure robustness of fraud detection, strengthening cooperation with OLAF as key actor in the fight against fraud and ensuring effective implementation of anti-fraud measures. EFSA fully implemented the action plan included in the Anti-Fraud Strategy. In 2019, an e-learning module on fraud awareness was developed on the EU Learn platform. During the reporting year, EFSA did not have to transmit or follow-up on any suspicion of fraud cases to OLAF.

2.4 Internal Control

The EFSA Internal Control Framework, based on the equivalent Internal Control management system laid down by the European Commission was adopted by EFSA's Management Board in December 2017. The Internal Control Framework consists of five internal control components and 17 principles based on the COSO Internal Control Integrated Framework. Internal control monitoring criteria of EFSA were set and included in the EFSA programming documents to ensure an adequate assessment of the presence and functioning of all internal control principles. The assessment performed for the reported year concluded that, overall, all internal control components were present and functioning. Measures will be taken to further improve the control activities with (i) the review of access rights management



for the information systems and (ii) the enhanced monitoring in the framework of the Transparency Regulation funds.

2.5 Legality and Regularity monitoring

In accordance with the Internal Control Framework, EFSA has implemented a process for the management and control of exceptions, including the analysis of the root cause, the assessment of the risks and the identification of corrective and/or preventive actions. To ensure traceability, the deviations from all applicable rules and regulations are documented in an exception request, which is recorded in an exception register. In 2019, EFSA updated the Decision on the registration of exceptions and non-conformities. EFSA recorded 108 deviations, 47 deviations concerned exception requests approved ex-ante, whereas 61 deviations concerned non-conformities noted ex-post. The financial value of the deviations amounted to EUR 870.147 with one single exception request representing a financial impact of EUR 784.428 due to an a-posteriori commitment for the interagency agreement between EFSA and ECHA regarding the implementation of the IUCLID system. The exceptions mainly relate to expert reimbursements and missions.

2.6 Information Management

Information security

EFSA is actively committed to safeguarding the confidentiality, integrity and availability of all information that it manages, to ensure that regulatory, operational and contractual requirements are fulfilled. In 2019, EFSA adopted a new integrated Policy covering Information Security, Business Continuity, Security and Health & Safety. Multi-Factor Authentication was implemented, super-user accounts were further restricted and mandatory trainings on information security continued to be provided to all staff. EFSA was not affected by any global cyber-attacks during the reporting year, however, two information security incidents occurred, one caused by a malicious external attack to EFSA information infrastructure and one by phishing, with no adverse consequence to EFSA's information management integrity. EFSA implemented all follow-up actions following the 2018 ISO 27001 Information Security management standard gap analysis and following the previous CERT-EU assessment except for the regular review of the access rights of the different management information systems that will be addressed with the implementation of the new IT systems for document, record and correspondence management. The vulnerability assessment by CERT-EU started in December 2019 and the results of these assessments will be available in 2020.

Data protection

Following the General Data Protection Regulation (EU) 2016/679 (GDPR) which became applicable in the EU Member States on 25 May 2018, the 'GDPR for EU institutions, bodies, offices and agencies', Regulation (EU) 2018/1725 came into force on 11 December 2018. The new GDPR legal framework puts increased emphasis on accountability of controllers and business owners for compliance on the personal data management within their remits following a risk-based approach.

Throughout 2019, awareness-raising initiatives on the GDPR rules and principles took place and internal rules and procedures on data protection were updated. Specific advice on data protection aspects for the use of new applications and tools was provided. Data protection impact assessment was performed for various IT systems. During the reporting year, EFSA registered one data breach upon a complaint to the EFSA Data Protection Officer by a candidate to a selection procedure that was also formally notified to the EDPS.

At the end of 2017, the European Data Protection Supervisor (EDPS) performed an inspection at EFSA focusing on anti-harassment informal procedures, video-surveillance and data subjects' rights. The



EDPS examined the actions implemented by EFSA to address the related recommendations and formally notified EFSA in October 2019 that all outstanding recommendations were closed. Furthermore, EFSA is responding to an EDPS request for information on the use of Microsoft products and services.

2.7 Evaluation

External Evaluation of EFSA

The third external evaluation covered the EFSA's working practices and the impact of its activities in terms of effectiveness, efficiency, coherence, complementarity and EU added value for the period 2011-2017. As a result of the external evaluation EFSA will continue the implementation of the recommendations below. EFSA will carry out in 2020, and in the context of the new Strategy 2027 definition, an assessment of their level of implementation to ensure additional initiatives are integrated as necessary:

- enhance the capacity for fit-for purpose and responsive scientific advice, improving the planning and responsiveness of the Agency;
- enhance communication activities to strengthen EFSA's reputation by increasing proactivity of communication and communicating more collaboratively;
- secure long-term efficiency and sustainability of operations enhancing efficiency of the advice production system and finding additional ways to utilize expertise;
- continue the transformation to an Open Science Organisation, making evidence transparent and re-usable, making the advice-development process accessible, enhancing the dialogue with stakeholders and safeguarding and explain the organisation's independence;
- invest in preparedness to cope with complex futures scanning emerging risks, co-developing adequate assessment methodologies, co-developing European capacity for future risk governance and co-influencing EU research funding priorities;
- collaborate, cooperate and co-design to meet integrated "One health" protection targets upgrading collaboration to a strategic level, utilizing the opportunities of big data and sharing limitless to tackle complexity and resources constraints.

EFSA also carried out a mid-term evaluation of the EFSA Strategy 2020 to take stock of progress made in EFSA's current strategy implementation and identify lessons learned for the next strategy cycle. The results and conclusions focus on improvement areas for EFSA's five strategic objectives and lessons learned considerations on (i) scientific risk assessment, (ii) risk communication and engagement and (iii) knowledge, resources and collaboration to feed the preparation of the new EFSA strategy in 2020.

Internal Evaluations

Evaluations refer to a wide range of activities assessing EFSA's performance in reaching its policy, operational and financial objectives. They include activities that focus on the reporting on specific aspects of the performance of the organisation, its programmes and projects. At programme level no development programme was closed and no programme evaluations were performed.

The activities of the Portfolio Coordination Office (PCO) were regularly executed over the year granting ex-ante evaluation based on evaluation criteria before investing resources. The nine recommendations following the ex-post evaluation of the STEP 2018 project were translated into actionable items focussing on the further centralisation of procurement, the development of strategic sourcing capabilities, the fine-tuning of monitoring and reporting indicators, the recasting of coordinators and



planners roles and the application of lessons learned. To complete the follow-up of the STEP 2018 ex-post evaluation, EFSA will fine-tune the monitoring and reporting area in 2020 and further streamline some key processes, recasting some key roles in the department coordination area to further improve efficiency as of the second half of 2020

2.8 Quality certification

EFSA was awarded in 2016 the ISO 9001:2015 Quality Management standard certification attesting EFSA's ability to consistently produce services that meet EFSA's customers' requirements and foster a culture of continuous improvement. In 2019, EFSA deployed process performance indicators to improve the performance management at process level. Training on process management methodology was provided to all process owners. A risk-based planning approach was introduced for the internal quality audit programme following the defined EFSA Assurance planning design and principles.

The 2019 re-certification audit by the certification body confirmed EFSA's ISO 9001:2015 Quality Management certification. The certification auditors reported zero no non-conformities and some areas for improvement such as benchmarking the number of documents currently included in the current Quality Management System (QMS), focus on KPI's that could improve performance, include in the QMS a check on the appropriateness of KPI's, and for performance management, follow-up on not meeting expectations in terms of performance deviations.

2.9 Security and business continuity

EFSA's approach on security is established in the context of risk assurance to operate in a safe and secure environment, providing appropriate levels of protection for staff, assets and information commensurate with identified risks and ensuring a proper resiliency of the Authority.

EFSA's Business Continuity is to maintain the continuity of its activity, systems, facilities and processes and where these are disrupted by an event to enable it to return to normal operations as soon as possible, taking fully into account the impact of any delay on the EFSA's quality of service, reputation and budget. EFSA's business continuity plan is based on a business impact analysis and used by trained staff to ensure that EFSA is able to continue working to the extent possible in case of a major disruption. The 2019 surveillance audit by the certification body confirmed EFSA's ISO 22301:2012 Business Continuity Management certification.

2.10 Health & safety and Environment

EFSA is committed to establish and continuously promote a sound management system that aims at ensuring a healthy and safe work and a sustainable business environment. In 2019, the external certification body has re-certified EFSA's ISO 14001:2015 Environmental Management and confirmed the EMAS registration. The BS-OHSAS 18001:2007 Health & Safety Management certification attesting the compliance with the requirements of the international standard and applicable regulations in the field of health and safety at work, has also been confirmed.



Declaration of assurance

I, the undersigned, Executive Director of the European Food Safety Authority,

In my capacity as authorising officer,

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

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

This reasonable assurance is based on my own judgement and on the information at my disposal, such as the activities and outcome of the 10 Assurance Pillars reported in EFSA's Assurance report, the work of the Internal Audit Service and the lessons learnt from the reports of the Court of Auditors for the years prior to the year of this declaration.

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

Parma, 05 March 2020

Bernhard Url

[SIGNED]

Statement of the Head of Business Services

I the undersigned, Head of Business Services Department of the European Food Safety Authority declare that, in accordance with EFSA's Internal Control Framework, I have reported my advice and recommendations on the overall state of internal control in EFSA to the Executive Director.

I hereby certify that the information provided in the present report and in its annexes is, to the best of my knowledge, accurate and complete.

Parma, 05 March 2020

Selomey Yamadjako

[SIGNED]



Management Board assessment

The Management Board,

- having regard to Regulation (EC) No 178/2002 of the European Parliament and of the Council of 28 January 2002
 - having regard to the Financial Regulation applicable to the budget of the European Food Safety Authority and in particular Article 47 thereof,
 - having regard to the EFSA Strategy 2020 adopted by the Management Board in March 2016,
 - having regard to the 2019-2021 Programming Document of the Authority adopted by the Management Board in December 2018,
1. Welcomes a fourth year of implementation of the Strategy, with relevant progress made across all strategic objectives, and a sound performance across the various indicators, albeit a few deviations.
 2. Appreciates the achievements in the area of general risk assessment and regulated products and the great efforts made to improve risk managers satisfaction with fit for purpose, timely and independent scientific advice and communication activities, including an increasingly successful EFSA Journal.
 3. Notes the productivity of the Authority in the finalization of more than 800 questions via scientific outputs and technical reports in a timely manner, with a point of attention on the challenges faced in a small number of regulated product areas.
 4. Welcomes the strengthened work in the area of plant health on the assessment of risks from different microorganisms in a wide range of plants; also appreciates the efficiencies achieved and under development in the areas of feed additives, food enzymes and of novel foods applications.
 5. Appreciates the coordinated and timely assistance provided to the Commission and Member States through different rapid foodborne outbreak assessments and the support during the multi-country outbreak of listeriosis provided in collaboration with ECDC.
 6. Welcomes the commitment and attention to the public opinion and perceptions via the integration of social science into food safety risk assessment; acknowledges the review of the Stakeholder Engagement Approach together with the efforts to guarantee access to data and information to continue promoting transparency and the sharing of scientific documents and tools through open repositories.
 7. Notes the fruitful collaboration with Member States, that has been instrumental in strengthening the identification of common priorities in EFSA's work-programme, exploring themes of common interest, such as animal health, microplastics, combined exposure to multiple chemicals and artificial intelligence, and developing joint strategies for capacity building and sharing. Notes as well, the initiatives taken with international organisations such as US FDA and third countries, to make the best use of available expertise and reinforce coherence and efficiency
 8. Notes the efforts for strengthening cooperation with EU sister agencies, and particularly with the successful initiative with ECHA, preparing the field for more strategic partnerships around the "One Health" goals, and the future implementation of the Green Deal proposal from the European Commission.



9. Appreciates the efforts made towards preparedness, particularly the work on crisis preparedness in collaboration with Germany (BfR and BVL) and, in the area of animal health, the tool on African Swine Fever data collection, reporting and analysis to support Member States to manage, evaluate and control disease outbreaks in the wild boar population.
10. Welcomes the progress made in close cooperation with EFSA's partners towards the definition of the new Strategy 2027, driven by the results of the environment scan, the mid-term evaluation of the Strategy 2020 and the requirements of the new Transparency regulation.
11. Appreciates the preparatory work that already started, in close collaboration with DG SANTE, to design and implement new processes addressing the requirements of the new Transparency regulation.
12. Appreciates the work carried out in collaboration with the European Commission to develop an action plan in preparation of the withdrawal of the United Kingdom from the European Union.
13. Welcomes the positive outcomes achieved to develop an environment focused at improving organisational performance and capabilities, such as the strengthened gathering and reporting of customer and stakeholder feedback, the Integrated Assurance Planning design and the Quality re-certification.
13. Notes the achievements in the compliance area and the continued outstanding budget implementation; welcomes the fact that EFSA did not have to transmit or follow-up on any suspicion of fraud cases to OLAF.
14. Welcomes the audit results by the Internal Audit Service and the European Court of Auditors and appreciates the fact that the follow-up on audit recommendations is on track.

Adopted by written procedure on 27 March 2020

For the EFSA's Management Board

[*SIGNED*]

Jaana Husu-Kallio

Chair of the Management Board



Annex I. Resource allocation per strategic objective

1. Financial resources per strategic objective

Table 41: Budget allocations per strategic objective (% of the total EFSA budget)

EFSA'S STRATEGIC OBJECTIVE	EXECUTED 2018	BUDGET 2019		EXECUTED 2019	
	MC	%	MC	%	MC
SO1 Prioritise public and stakeholder engagement in the process of scientific assessment	30.37	34.32	43%	29.9 ⁷³	37%
SO2 Widen EFSA's evidence base and optimise access to its data	3.96	2.99	4%	4.93	6%
SO3 Build the EU's risk assessment capacity and knowledge community	8.78	7.31	9%	7.84	10%
SO4 Prepare for future risk assessment challenges	7.99	6.72	8%	6.22	8%
SO5 Create an environment and culture that reflects EFSA's values	28.08	28.62	36%	31.01	39%
Of which operations	10.20	10.23	13%	13.76 ⁷⁴	17%
Of which support	17.88	18.39	23%	17.25	22%
Total EFSA	79.18	79.95	100%	79.98	100%

⁷³ The overall reduction of EUR 4.0 million in SO1 is mainly due to two reasons: 1) EUR 2 million related to the "Matrix Project" have been reclassified to SO2 and 2) EUR 2 million, including the cost associated to around 7 FTEs and 1 million Experts reimbursements and indemnities budget have been transferred to the implementation of TR measures under SO5. Indeed, the analysis of the implications of the TR measure on scientific processes has involved more internal scientific competencies than initially planned (the business as usual scientific activities have been partially and temporarily supported with additional procurements – e.g. tasking grants from art. 36 organisations – and scientific interim staff. In addition, savings from experts' reimbursements and allowances have supported the increased expenditure in IT (for business analysts and IT architects) and consultancy (for management consultancy and project management) in connection with TR implementation.

⁷⁴ Increase connected to TR implementation (see also SO1 footnote)



2. Human resources per strategic objective

Table 42: FTE allocations per strategic objective

EFSA'S STRATEGIC OBJECTIVE	EXECUTED 2018	PLAN 2019		EXECUTED 2019	
	FTE ⁷⁵ / POSTS	FTE ⁷⁶ / POSTS	%	FTE	%
SO1 Prioritise public and stakeholder engagement in the process of scientific assessment	188	208	43%	194	42%
SO2 Widen EFSA's evidence base and optimise access to its data	18	16	5%	18	4%
SO3 Build the EU's risk assessment capacity and knowledge community	33	28	8%	31	7%
SO4 Prepare for future risk assessment challenges	31	29	8%	27	6%
SO5 Create an environment and culture that reflects EFSA's values	179	185	36%	192	41%
Of which operations	60	71	11%	71	15%
Of which support	119	117	25%	121	26%
Total EFSA	449	466	100%	462	100%

⁷⁵ Actual available FTEs

⁷⁶ 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



Annex II. Financial resources

Table 43: Expenditures

Expenditure/title	2019		2019	
	Current commitment appropriations	Payment	Executed	Executed Payment
		appropriations	Commitment	
Title I - Staff expenditure	44.18	44.18	44.18	44.18
Title II - Infrastructure and operating expenditure	10.42	10.42	10.42	8.22
Title III - Operational expenditure	25.38	24.68	25.37	20.65
TOTAL EXPENDITURE	79.99	79.29	71.59	56.99

Fund source: C1

Chapter / item	Heading	Initial Commitment Appropriations	Current Commitment Appropriation	Executed Commitment	%	Initial Payment Appropriations	Current Payment Appropriations	Executed Payment	%
TITLE I - STAFF									
1100	Basic salary	23,656,327	23,382,876	23,382,876	100%	23,656,327	23,382,876	23,382,876	100%
1101	Family allowance	3,203,000	3,059,619	3,059,619	100%	3,203,000	3,059,619	3,059,619	100%
1102	Transfer and expatriation allowance	2,608,000	2,570,866	2,570,866	100%	2,608,000	2,570,866	2,570,866	100%
1103	Secretarial allowance	13,000	12,273	12,273	100%	13,000	12,273	12,273	100%
1113	Stagiaires	899,891	992,379	992,379	100%	899,891	992,379	992,379	100%
1115	Contract staff	7,162,000	7,268,021	7,268,021	100%	7,162,000	7,268,021	7,268,021	100%
1130	Insurance against sickness	847,000	844,936	844,936	100%	847,000	844,936	844,936	100%
1131	Insurance against accidents and occupational disease	96,000	94,984	94,984	100%	96,000	94,984	94,984	100%
1132	Unemployment insurance for temporary staff	315,000	314,314	314,314	100%	315,000	314,314	314,314	100%



Chapter / item	Heading	Initial Commitment Appropriations	Current Commitment Appropriation	Executed Commitment	%	Initial Payment Appropriations	Current Payment Appropriations	Executed Payment	%
1140	Birth and death allowance	5,000	595	595	100%	5,000	595	595	100%
1141	Annual leave travelling expenses	270,000	283,408	283,408	100%	270,000	283,408	283,408	100%
1147	Call on duties	50,000	33,382	33,382	100%	50,000	33,382	33,382	100%
1149	Other allowances and repayments	20,000	0	0	0%	20,000	0	0	0%
1171	Translation and interpretation	80,000	74,680	74,680	100%	80,000	74,680	73,299	98%
1172	Payment for administrative assistance from the Community institutions	322,485	250,000	250,000	100%	322,485	250,000	239,801	96%
1175	Interim services	1,050,000	1,399,000	1,399,000	100%	1,050,000	1,399,000	1,222,378	87%
1176	Consultancy and HR services	137,000	116,595	116,595	100%	137,000	116,595	14,505	12%
1177	Other services	211,200	203,860	203,860	100%	211,200	203,860	138,146	68%
1180	Miscellaneous expenditure on recruitment	102,750	132,827	132,827	100%	102,750	132,827	132,564	100%
1181	Travel expenses (including for members of the family)	15,000	2,112	2,112	100%	15,000	2,112	2,112	100%
1182	Installation, resettlement and transfer allowances	150,000	87,717	87,717	100%	150,000	87,717	87,717	100%
1183	Removal expenses	80,000	47,124	47,124	100%	80,000	47,124	47,124	100%
1184	Temporary daily subsistence allowance	60,000	37,289	37,289	100%	60,000	37,289	37,289	100%
Chapter 11	Staff in active employment	41,353,653	41,208,857	41,208,857	100%	41,353,653	41,208,857	40,852,586	99%
1300	Mission and travel expenses	215,000	191,500	191,500	100%	215,000	191,500	191,500	100%
1301	Shuttles for missions and duty	80,000	49,000	49,000	100%	80,000	49,000	43,955	90%
Chapter 13	Missions and duty travel	295,000	240,500	240,500	100%	295,000	240,500	235,455	98%
1400	Restaurants, meals and canteens	55,000	39,810	39,810	100%	55,000	39,810	38,505	97%



Chapter / item	Heading	Initial Commitment Appropriations	Current Commitment Appropriation	Executed Commitment	%	Initial Payment Appropriations	Current Payment Appropriations	Executed Payment	%
1410	Medical service	270,000	203,077	202,973	100%	270,000	203,077	188,120	93%
1420	Further training, language courses and retraining for staff	575,000	369,234	369,234	100%	575,000	369,234	220,050	60%
Chapter 14	Sociomedical infrastructure	900,000	612,122	612,017	100%	900,000	612,122	446,675	73%
1520	Visiting experts, National Experts on Detachment	797,440	785,487	785,487	100%	797,440	785,487	781,120	99%
Chapter 15	Exchange of officials and experts	797,440	785,487	785,487	100%	797,440	785,487	781,120	99%
1600	Special assistance grants	0	0	0	0%	0	0	0	0%
1610	Social contacts between staff	65,000	28,075	27,625	98%	65,000	28,075	23,125	82%
1630	Early childhood centres, crèches and EU school contribution	1,250,000	1,305,576	1,305,576	100%	1,250,000	1,305,576	1,305,576	100%
1640	Complementary aid for the handicapped	10,000	0	0	0%	10,000	0	0	0%
Chapter 16	Social welfare	1,325,000	1,333,650	1,333,200	100%	1,325,000	1,333,650	1,328,700	100%
1700	Reception and entertainment expenses	8,000	149	149	100%	8,000	149	149	100%
Chapter 17	Reception and entertainment expenses	8,000	149	149	100%	8,000	149	149	100%
	TOTAL Title I	44,679,093	44,180,765	44,180,210	100%	44,679,093	44,180,765	43,644,686	99%
TITLE II - BUILDING, EQUIPMENT AND MISCELLANEOUS OPERATING EXPENDITURE LINKED TO THE AUTHORITY									
2000	Rent	47,000	31,327	31,327	100%	47,000	31,327	31,327	100%
2001	Acquisition	1,700,000	2,191,599	2,191,599	100%	1,700,000	2,191,599	2,191,599	100%
2010	Insurance	39,000	27,587	27,587	100%	39,000	27,587	27,587	100%
2020	Water, gas, electricity and heating	525,000	500,341	500,341	100%	525,000	500,341	391,625	78%
2030	Maintenance	355,000	351,547	351,547	100%	355,000	351,547	211,209	60%
2031	Cleaning	290,000	289,999	289,999	100%	290,000	289,999	210,566	73%
2040	Refurbishment of premises/ Fitting out	398,000	646,899	646,899	100%	398,000	646,899	245,755	38%



Chapter / item	Heading	Initial Commitment Appropriations	Current Commitment Appropriation	Executed Commitment	%	Initial Payment Appropriations	Current Payment Appropriations	Executed Payment	%
2050	Security and surveillance of buildings	770,000	769,085	769,085	100%	770,000	769,085	583,978	76%
2080	Preliminary to construction, acquisition or rental of immovable property	208,500	279,023	279,023	100%	208,500	279,023	211,093	76%
2090	Other expenditure on buildings	816,000	710,316	710,316	100%	816,000	710,316	600,155	84%
Chapter 20	Investments in immovable property, rental of buildings and associated cost	5,148,500	5,797,722	5,797,722	100%	5,148,500	5,797,722	4,704,895	81%
2100	Purchase/ Maintenance of equipment	835,949	1,067,048	1,067,048	100%	835,949	1,067,048	685,125	64%
2101	Purchase / maintenance of software	1,095,390	875,774	875,774	100%	1,095,390	875,774	740,848	85%
2103	Software development	1,024,569	846,405	846,405	100%	1,024,569	846,405	628,860	74%
2104	User Support	715,069	961,919	961,919	100%	715,069	961,919	780,840	81%
Chapter 21	Expenditure on data processing	3,670,977	3,751,146	3,751,146	100%	3,670,977	3,751,146	2,835,673	76%
2200	Technical equipment and installations	95,000	82,527	82,527	100%	95,000	82,527	81,417	99%
2210	Purchase of furniture	434,000	196,021	196,021	100%	434,000	196,021	128,782	66%
Chapter 22	Movable property and associated costs	529,000	278,548	278,548	100%	529,000	278,548	210,199	75%
2300	Stationery and office supplies	56,500	28,983	28,983	100%	56,500	28,983	23,770	82%
2320	Bank charges	1,000	150	150	100%	1,000	150	90	60%
2330	Legal expenses	85,000	188,720	188,720	100%	85,000	188,720	129,190	68%
2350	Miscellaneous insurance	7,000	5,471	5,471	100%	7,000	5,471	4,273	78%
2390	Publications	10,000	3,153	3,153	100%	10,000	3,153	2,203	70%
Chapter 23	Current administrative expenditure	159,500	226,477	226,477	100%	159,500	226,477	159,526	70%
2400	Postal charges	30,000	16,400	16,400	100%	30,000	16,400	10,354	63%



Chapter / item	Heading	Initial Commitment Appropriations	Current Commitment Appropriation	Executed Commitment	%	Initial Payment Appropriations	Current Payment Appropriations	Executed Payment	%
2410	Telecommunications subscriptions and charges	160,325	88,078	88,078	100%	160,325	88,078	62,932	71%
2411	Purchase and installation of equipment	114,238	212,876	212,876	100%	114,238	212,876	198,617	93%
Chapter 24	Postal charges and communications	304,563	317,354	317,354	100%	304,563	317,354	271,902	86%
2500	Management Board meetings	80,000	52,964	52,964	100%	80,000	52,964	35,239	67%
Chapter 25	Governance expenditure	80,000	52,964	52,964	100%	80,000	52,964	35,239	67%
	TOTAL Title II	9,892,540	10,424,211	10,424,211	100%	9,892,540	10,424,211	8,217,434	79%
TITLE III - OPERATING EXPENDITURE LINKED TO THE AUTHORITY									
3020	REPRO Experts Meetings	3,110,200	2,724,117	2,720,117	100%	3,110,200	2,724,117	2,653,468	97%
Chapter 30	Scientific Evaluation of regulated products	3,110,200	2,724,117	2,720,117	100%	3,110,200	2,724,117	2,653,468	97%
3120	RASA Experts Meetings	2,622,500	2,601,253	2,598,553	100%	2,622,500	2,601,253	2,532,805	97%
3130	Crisis support	6,850	0	0	0%	6,850	0	0	0%
Chapter 31	Risk assessment and scientific assistance	2,629,350	2,601,253	2,598,553	100%	2,629,350	2,601,253	2,532,805	97%
3210	EFSA Grants & Procurement	7,625,985	7,870,425	7,870,209	100%	7,565,585	7,110,025	7,108,510	100%
3220	Scientific Cooperation meetings	79,000	53,689	53,475	100%	79,000	53,689	53,475	100%
Chapter 32	EFSA Scientific Cooperation	7,704,985	7,924,114	7,923,684	100%	7,644,585	7,163,714	7,161,985	100%
3410	Risk communication, Web Management, Communication Activities and Materials	1,202,000	1,116,155	1,116,141	100%	1,202,000	1,116,155	916,593	82%
3420	External relations	235,000	178,564	176,741	99%	235,000	178,564	131,576	74%
Chapter 34	Communications	1,437,000	1,294,719	1,292,882	100%	1,437,000	1,294,719	1,048,169	81%



Chapter / item	Heading	Initial Commitment Appropriations	Current Commitment Appropriation	Executed Commitment	%	Initial Payment Appropriations	Current Payment Appropriations	Executed Payment	%
3500	Operational IT Systems	4,959,274	5,405,550	5,405,550	100%	4,959,274	5,405,550	3,382,488	63%
3501	Multiannual operational IT projects	0	0	0	0%	60,400	60,400	60,400	0%
3511	Translation, Interpretation Linguistic proofreading and editing	180,000	197,000	197,000	100%	180,000	197,000	126,487	64%
3512	Library	580,000	579,853	579,843	100%	580,000	579,853	493,925	85%
3513	Mission of staff related to operational duties	850,000	712,000	712,000	100%	850,000	712,000	695,752	98%
3514	Shuttles and prepaid travels for experts and shuttles for staff related to operational duties	2,050,000	1,689,472	1,689,472	100%	2,050,000	1,689,472	1,652,504	98%
3520	Conferences & Outreach	521,000	563,725	563,725	100%	521,000	563,725	492,199	87%
3530	Operational Development & Control	1,160,000	1,612,755	1,612,755	100%	1,160,000	1,612,755	290,800	18%
3540	Quality management	200,000	77,250	77,250	100%	200,000	77,250	57,450	74%
Chapter 35	Horizontal operations	10,500,274	10,837,605	10,837,595	100%	10,560,674	10,898,005	7,252,005	67%
	total Title III	25,381,809	25,381,809	25,372,832	100%	25,381,809	24,681,809	20,648,433	84%
	TOTAL EFSA	79,953,442	79,986,785	79,977,254	100%	79,953,442	79,286,785	72,510,553	91%

Fund source: C8

Item	Heading	Amount carried forward	Commitment Amount	Paid	% Paid
1171	Translation and interpretation	10,150	2,755	2,755	27%
1172	Payment for administrative assistance from the Community institutions	1,000	930	930	93%
1175	Interim services	146,247	127,663	127,663	87%
1176	Consultancy and HR services	204,096	166,246	166,246	81%
1177	Other services	108,405	68,405	68,405	63%
1180	Miscellaneous expenditure on recruitment	19,346	15,845	15,845	82%
1300	Mission and travel expenses	21,399	13,164	13,164	62%



Item	Heading	Amount carried forward	Commitment Amount	Paid	% Paid
1301	Shuttles for missions and duty	7,736	7,225	7,225	93%
1400	Restaurants, meals and canteens	2,801	2,562	2,562	91%
1410	Medical service	57,314	56,148	56,148	98%
1420	Further training, language courses and retraining for staff	291,341	264,246	264,246	91%
1610	Social contacts between staff	5,209	5,081	5,081	98%
1700	Reception and entertainment expenses	2,466	2,466	2,466	100%
TITLE1	TOTAL	877,511	732,737	732,737	84%
2000	Rent	56,814	56,814	56,814	100%
2020	Water, gas, electricity and heating	51,360	51,360	51,360	100%
2030	Maintenance	86,447	86,311	86,311	100%
2031	Cleaning	61,748	61,748	61,748	100%
2040	Refurbishment of premises/Fitting out	471,125	467,948	467,948	99%
2050	Security and surveillance of buildings	196,630	194,523	194,523	99%
2080	Preliminary to construction, acquisition or rental of immovable property	225,299	225,299	225,299	100%
2090	Other expenditure on buildings	120,684	107,603	107,603	89%
2100	Purchase/ maintenance of IT equipment	482,118	478,889	478,889	99%
2101	Purchase / maintenance of software	44,884	44,884	44,884	100%
2103	Software development	161,880	148,578	148,578	92%
2104	User Support	98,953	98,953	98,953	100%
2200	Technical equipment and installations	24,055	24,055	24,055	100%
2210	Purchase of furniture	87,511	87,511	87,511	100%
2300	Stationery and office supplies	6,073	6,073	6,073	100%
2320	Bank charges	80	0	0	0%
2330	Legal expenses	19,125	19,125	19,125	100%
2350	Miscellaneous insurance	1,105	792	792	72%
2390	Publications	822	385	385	47%
2400	Postal charges	7,351	3,233	3,233	44%
2410	Telecommunications subscriptions and charges	183,597	148,580	148,580	81%
2411	Purchase and installation of equipment	10,580	10,580	10,580	100%
2500	Management Board meetings	14,680	11,783	11,783	80%
TITLE2	TOTAL	2,412,921	2,335,026	2,335,026	97%
3020	REPRO Experts meetings	124,645	109,866	109,866	88%
3120	RASA Experts meetings	152,409	128,491	128,491	84%
3220	Scientific cooperation meetings	1,609	1,057	1,057	66%
3410	Risk Communication, Web management, communication activities and materials	176,842	145,232	145,232	82%
3420	External relations	28,464	27,731	27,731	97%
3500	Operational IT Systems	1,916,025	1,815,775	1,815,775	95%
3511	Translation, Interpretation, Linguistic Proofreading and Editing	19,064	18,999	18,999	100%



Item	Heading	Amount carried forward	Commitment Amount	Paid	% Paid
3512	Library	92,697	82,605	82,605	89%
3513	Mission of staff related to operational duties	27,435	27,435	27,435	100%
3514	Shuttles and prepaid travels for experts and shuttle for staff related to operational duties	49,652	47,509	47,509	96%
3520	Conferences and Outreach	169,714	157,550	157,550	93%
3530	Operational Development & Control	678,671	673,122	673,122	99%
3540	Quality Management	67,659	67,659	67,659	100%
TITLE3	TOTAL	3,504,884	3,303,033	3,303,033	94%
TOTAL		6,795,316	6,370,795	6,370,795	94%

Fund source: R0

Item	Heading	Current Commitment Appropriation	Executed Commitment	%	Current Payment Appropriation	Executed Payment	% Paid
3230	Pre-accession programme	868,743.07	362,246.73	41.7%	868,743.07	226,803.36	26.1%
3241	Collaboration with FAO	6,000.00	6,000.00	100.0%	6,000.00	6,000.00	100.0%
GRAND TOTAL		874,743.07	368,246.73	42.1%	874,743.07	232,803.36	26.6%

Fund source: C4

Item	Heading	Current Commitment Appropriation	Executed Commitment	%	Current Payment Appropriation	Executed Payment	%
1113	Stagiaires	575	575	100%	575	575	100%
1115	Contract staff	319,391	0	0%	319,391	0	0%
1177	Other services	25,510	6,072	24%	25,510	6,072	24%
1180	Miscellaneous expenditure on recruitment	6,000	0	0%	6,000	0	0%
1300	Mission and travel expenses	10,241	9,666	94%	10,241	5,067	49%
2000	Rent	49,082	0	0%	49,082	0	0%
2100	Purchase/ maintenance of IT equipment	12,690	0	0%	12,690	0	0%
2330	Legal expenses	31,500	0	0%	31,500	0	0%
3020	REPRO meetings	2,908	0	0%	2,908	0	0%
3120	RASA meetings	476	0	0%	476	0	0%
3420	External relations	1,060	343	32%	1,060	343	32%
3513	Mission of staff related to operational duties	39	0	0%	39	0	0%
TOTAL		459,471	16,656	4%	459,471	12,057	3%



Fund source: C5

Item	Heading	Current Commitment Appropriation	Executed Commitment	% Committed	Current Payment Appropriation	Executed Payment	% Paid
1113	Stagiaires	1,120	1,120	100%	1,120	1,120	100%
1115	Contract staff	173,648	173,648	100%	173,648	173,648	100%
1420	Further training, language courses and retraining for staff	2,870	2,870	100%	2,870	2,870	100%
1520	Visiting experts, National Experts on Detachement	4,167	4,167	100%	4,167	4,167	100%
2000	Rent	17,450	17,450	100%	17,450	17,450	100%
2100	Purchase/ maintenance of IT equipment	522	522	100%	522	522	100%
2300	Stationery and office supplies	7,515	7,515	100%	7,515	7,515	100%
3020	Scientific meetings REPRO	2,701	2,701	100%	2,701	2,701	100%
3120	Scientific meetings RASA	350	350	100%	350	350	100%
3210	Scientific Grants & procurement	137	137	100%	137	0	0%
3500	Operational IT Systems	189	189	100%	189	189	100%
3513	Mission of staff related to operational duties	385	385	100%	385	385	100%
TOTAL		211,054	211,054	100%	211,054	210,917	100%

Table 44: Budget Transfers January – December 2019

Title Chapter Article Item	Budget Headings Transfers from year start	Commitment and payment appropriations 2019		
		Initial	Transfers	Current
1	STAFF			
11	STAFF IN ACTIVE EMPLOYMENT			
110	Staff in active employment			
1100	Basic salary	23,656,327.00	-273,450.55	23,382,876.45
1101	Family allowance	3,203,000.00	-143,380.53	3,059,619.47
1102	Transfer and expatriation allowance	2,608,000.00	-37,133.70	2,570,866.30
1103	Secretarial allowance	13,000.00	-727.30	12,272.70



Title Chapter Article Item	Budget Headings Transfers from year start	Commitment and payment appropriations 2019		
		Initial	Transfers	Current
tot. of 110		29,480,327.00	-454,692.08	29,025,634.92

111 Other staff				
1113	Stagiaires	899,891.00	92,488.28	992,379.28
1115	Contract staff	7,162,000.00	106,020.91	7,268,020.91
tot. of 111		8,061,891.00	198,509.19	8,260,400.19

113 Employer's social security contributions				
1130	Insurance against sickness	847,000.00	-2,064.47	844,935.53
1131	Insurance against accidents and occupational disease	96,000.00	-1,016.11	94,983.89
1132	Unemployment insurance for temporary staff	315,000.00	-685.76	314,314.24
1133	Establishment or maintenance of pension rights for temporary staff	0.00	0.00	0.00
tot. of 113		1,258,000.00	-3,766.34	1,254,233.66

114 Miscellaneous allowances and grants				
1140	Birth and death allowance	5,000.00	-4,405.07	594.93
1141	Annual leave travelling expenses	270,000.00	13,407.72	283,407.72
1147	Call on duties	50,000.00	-16,618.17	33,381.83
1149	Other allowances and repayments	20,000.00	-20,000.00	0.00
tot. of 114		345,000.00	-27,615.52	317,384.48

117 Supplementary services				
1171	Translation and interpretation	80,000.00	-5,320.00	74,680.00



Title Chapter Article Item	Budget Headings Transfers from year start	Commitment and payment appropriations 2019		
		Initial	Transfers	Current
1172	Payment for administrative assistance from the Community institutions	322,485.00	-72,485.00	250,000.00
1175	Interim services	1,050,000.00	349,000.00	1,399,000.00
1176	Consultancy and HR services	137,000.00	-20,405.12	116,594.88
1177	Other services	211,199.62	-7,339.62	203,860.00
	tot. of 117	1,800,684.62	243,450.26	2,044,134.88

118 Recruitment costs and expenses on entering and leaving the service				
1180	Miscellaneous expenditure on recruitment	102,750.00	30,077.37	132,827.37
1181	Travel expenses (including for members of the family)	15,000.00	-12,888.25	2,111.75
1182	Installation, resettlement and transfer allowances	150,000.00	-62,283.26	87,716.74
1183	Removal expenses	80,000.00	-32,875.60	47,124.40
1184	Temporary daily subsistence allowance	60,000.00	-22,711.48	37,288.52
	tot. of 118	407,750.00	-100,681.22	307,068.78

119 Salary weightings				
1190	Salary weightings	0.00	0.00	0.00
	tot. of 119	0.00	0.00	0.00
	tot. of 11	41,353,652.62	-144,795.71	41,208,856.91

13	MISSIONS AND DUTY TRAVEL
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130	Mission and travel expenses
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Title Chapter Article Item	Budget Headings Transfers from year start	Commitment and payment appropriations 2019		
		Initial	Transfers	Current
1300	Mission and travel expenses	215,000.00	-23,500.00	191,500.00
1301	Shuttles for missions and duty	80,000.00	-31,000.00	49,000.00
	tot. of 130	295,000.00	-54,500.00	240,500.00
	tot. of 13	295,000.00	-54,500.00	240,500.00
14	SOCIOMEDICAL INFRASTRUCTURE			
140	Restaurants, meals and canteens			
1400	Restaurants, meals and canteens	55,000.00	-15,190.12	39,809.88
	tot. of 140	55,000.00	-15,190.12	39,809.88
141	Medical service			
1410	Medical service	270,000.00	-66,922.63	203,077.37
	tot. of 141	270,000.00	-66,922.63	203,077.37
142	Further training, language courses and retraining for staff			
1420	Further training, language courses and retraining for staff	575,000.00	-205,765.71	369,234.29
	tot. of 142	575,000.00	-205,765.71	369,234.29
	tot. of 14	900,000.00	-287,878.46	612,121.54
15	EXCHANGE OF OFFICIALS AND EXPERTS			
152	Exchange of officials and experts			



Title Chapter Article Item	Budget Headings Transfers from year start	Commitment and payment appropriations 2019		
		Initial	Transfers	Current
1520	Visiting experts, National Experts on Detachment	797,440.00	-11,953.22	785,486.78
1521	Authority officials temporarily assigned to national civil services, to international organisations or to public or private institutions	0.00	0.00	0.00
	tot. of 152	797,440.00	-11,953.22	785,486.78
	tot. of 15	797,440.00	-11,953.22	785,486.78

16	SOCIAL WELFARE
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160	Special assistance grants			
1600	Special assistance grants	0.00	0.00	0.00
	tot. of 160	0.00	0.00	0.00

161	Social contacts between staff			
1610	Social contacts between staff	65,000.00	-36,925.03	28,074.97
	tot. of 161	65,000.00	-36,925.03	28,074.97

162	Other interventions			
1620	Other interventions	0.00	0.00	0.00
	tot. of 162	0.00	0.00	0.00

163	Early childhood centres and other creches			
1630	Early childhood centres, other creches and EU school contribution	1,250,000.00	55,575.52	1,305,575.52



Title Chapter Article Item	Budget Headings Transfers from year start	Commitment and payment appropriations 2019		
		Initial	Transfers	Current
	tot. of 163	1,250,000.00	55,575.52	1,305,575.52

164 Complementary aid for the handicapped				
1640	Complementary aid for the handicapped	10,000.00	-10,000.00	0.00
	tot. of 164	10,000.00	-10,000.00	0.00
	tot. of 16	1,325,000.00	8,650.49	1,333,650.49

17	RECEPTION AND ENTERTAINMENT EXPENSES
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170 Reception and entertainment expenses				
1700	Reception and entertainment expenses	8,000.00	-7,851.00	149.00
	tot. of 170	8,000.00	-7,851.00	149.00
	tot. of 17	8,000.00	-7,851.00	149.00
	tot. of 1	44,679,092.62	-498,327.90	44,180,764.72

Title Chapter Article Item	Budget Headings Transfers from year start	Commitment and payment appropriations 2019		
		Initial	Transfers	Current
2	BUILDINGS, EQUIPMENT AND MISCELLANEOUS OPERATING EXPENDITURE LINKED TO THE AUTHORITY			

20	INVESTMENTS IN IMMOVABLE PROPERTY, RENTAL OF BUILDING AND ASSOCIATED COSTS
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Title Chapter Article Item	Budget Headings Transfers from year start	Commitment and payment appropriations 2019		
		Initial	Transfers	Current
200	Building			
2000	Rent	47,000.00	-15,672.52	31,327.48
2001	Acquisition*	1,733,343.59	458,255.43	2,191,599.02
	tot. of 200	1,780,343.59	442,582.91	2,222,926.50
201	Insurance			
2010	Insurance	39,000.00	-11,412.82	27,587.18
	tot. of 201	39,000.00	-11,412.82	27,587.18
202	Water, gas, electricity and heating			
2020	Water, gas, electricity and heating	525,000.00	-24,658.83	500,341.17
	tot. of 202	525,000.00	-24,658.83	500,341.17
203	Cleaning and maintenance			
2030	Maintenance	355,000.00	-3,453.30	351,546.70
2031	Cleaning	290,000.00	-1.50	289,998.50
	tot. of 203	645,000.00	-3,454.80	641,545.20
204	Refurbishment of premises/Fitting out			
2040	Refurbishment of premises/Fitting out	398,000.00	248,898.57	646,898.57
	tot. of 204	398,000.00	248,898.57	646,898.57
205	Security and surveillance of buildings			
2050	Security and surveillance of buildings	770,000.00	-914.64	769,085.36
	tot. of 205	770,000.00	-914.64	769,085.36
208	Preliminary expenditure relating to construction, acquisition or rental of immovable property			



Title Chapter Article Item	Budget Headings Transfers from year start	Commitment and payment appropriations 2019		
		Initial	Transfers	Current
2080	Preliminary to construction, acquisition or rental of immovable property	208,500.00	70,522.78	279,022.78
	tot. of 208	208,500.00	70,522.78	279,022.78

209 Other expenditure on buildings				
2090	Other expenditure on buildings	816,000.00	-105,684.39	710,315.61
	tot. of 209	816,000.00	-105,684.39	710,315.61
	tot. of 20	5,181,843.59	615,878.78	5,797,722.37

21	EXPENDITURE ON DATA PROCESSING			
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210 Purchase and maintenance of IT for administration and non-operational				
2100	Purchase/ maintenance of IT equipment	835,949.00	231,099.24	1,067,048.24
2101	Purchase / maintenance of software	1,095,390.00	-219,615.92	875,774.08
2103	Software development	1,024,569.00	-178,163.82	846,405.18
2104	User Support	715,069.00	246,849.61	961,918.61
	tot. of 210	3,670,977.00	80,169.11	3,751,146.11
	tot. of 21	3,670,977.00	80,169.11	3,751,146.11

22	MOVABLE PROPERTY AND ASSOCIATED COSTS			
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220 Technical equipment and installations				
2200	Technical equipment and installations	95,000.00	-12,473.33	82,526.67
2201	Hire or leasing of technical equipment and installations	0.00	0.00	0.00
2202	Maintenance and repair of technical equipment and installations	0.00	0.00	0.00
	tot. of 220	95,000.00	-12,473.33	82,526.67



Title Chapter Article Item	Budget Headings	Commitment and payment appropriations 2019		
	Transfers from year start	Initial	Transfers	Current
221	Furniture			
2210	Purchase of furniture	434,000.00	-237,979.02	196,020.98
2211	Hire of furniture	0.00	0.00	0.00
2212	Maintenance and repair of furniture	0.00	0.00	0.00
	tot. of 221	434,000.00	-237,979.02	196,020.98
	tot. of 22	529,000.00	-250,452.35	278,547.65

23	CURRENT ADMINISTRATIVE EXPENDITURE			
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230	Stationery and office supplies			
2300	Stationery and office supplies	56,500.00	-27,516.76	28,983.24
	tot. of 230	56,500.00	-27,516.76	28,983.24

232	Financial charges			
2320	Bank charges	1,000.00	-850.00	150.00
2321	Other financial charges	0.00	0.00	0.00
	tot. of 232	1,000.00	-850.00	150.00

233	Legal expenses			
2330	Legal expenses	85,000.00	103,719.61	188,719.61
	tot. of 233	85,000.00	103,719.61	188,719.61

234	Damages			
2340	Damages	0.00	0.00	0.00
	tot. of 234	0.00	0.00	0.00

235	Other operating expenditure			
2350	Miscellaneous insurance	7,000.00	-1,528.83	5,471.17



Title Chapter Article Item	Budget Headings Transfers from year start	Commitment and payment appropriations 2019		
		Initial	Transfers	Current
2353	Removals and associated handling	0.00	0.00	0.00
	tot. of 235	7,000.00	-1,528.83	5,471.17

239 Publications				
2390	Publications	10,000.00	-6,847.00	3,153.00
	tot. of 239	10,000.00	-6,847.00	3,153.00
	tot. of 23	159,500.00	66,977.02	226,477.02

24	POSTAL CHARGES AND TELECOMMUNICATIONS			
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240 Postal charges				
2400	Postal charges	30,000.00	-13,600.00	16,400.00
	tot. of 240	30,000.00	-13,600.00	16,400.00

241 Telecommunications				
2410	Telecommunications subscriptions and charges	160,325.00	-72,247.12	88,077.88
2411	Purchase and installation of equipment	114,238.00	98,638.28	212,876.28
	tot. of 241	274,563.00	26,391.16	300,954.16
	tot. of 24	304,563.00	12,791.16	317,354.16

25	GOVERNANCE EXPENDITURE			
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250 Governance expenditure				
2500	Management Board meetings	80,000.00	-27,035.82	52,964.18
	tot. of 250	80,000.00	-27,035.82	52,964.18
	tot. of 25	80,000.00	-27,035.82	52,964.18
	tot. of 2	9,925,883.59	498,327.90	10,424,211.49



Title Chapter Article Item	Budget Headings Transfers from year start	B 2019 Commitment appropriations			B 2019 Payment appropriations		
		Initial	Transfers	Current	Initial	Transfers	Current
3	OPERATING EXPENDITURE LINKED TO THE AUTHORITY						
30	SCIENTIFIC EVALUATION of REGULATED PRODUCTS						
302	REPRO Experts meetings						
3020	REPRO Experts meetings	3,110,200.00	-386,082.62	2,724,117.38	3,110,200.00	-386,082.62	2,724,117.38
	tot. of 302	3,110,200.00	-386,082.62	2,724,117.38	3,110,200.00	-386,082.62	2,724,117.38
	tot. of 30	3,110,200.00	-386,082.62	2,724,117.38	3,110,200.00	-386,082.62	2,724,117.38
31	RISK ASSESSMENT & SCIENTIFIC ASSISTANCE						
312	RASA Experts meetings						
3120	RASA Experts meetings	2,622,500.00	-21,246.57	2,601,253.43	2,622,500.00	-21,246.57	2,601,253.43
	tot. of 312	2,622,500.00	-21,246.57	2,601,253.43	2,622,500.00	-21,246.57	2,601,253.43
313	Crisis support						
3130	Crisis support	6,850.00	-6,850.00	0.00	6,850.00	-6,850.00	0.00
	tot. of 313	6,850.00	-6,850.00	0.00	6,850.00	-6,850.00	0.00
	tot. of 31	2,629,350.00	-28,096.57	2,601,253.43	2,629,350.00	-28,096.57	2,601,253.43
32	EFSA SCIENTIFIC COOPERATION						
321	EFSA Grants & Procurement						



Title Chapter Article Item	Budget Headings Transfers from year start	B 2019 Commitment appropriations			B 2019 Payment appropriations		
		Initial	Transfers	Current	Initial	Transfers	Current
3210	EFSA Grants & Procurement	7,625,985.00	244,439.98	7,870,424.98	7,565,585.00	-455,560.02	7,110,024.98
	tot. of 321	7,625,985.00	244,439.98	7,870,424.98	7,565,585.00	-455,560.02	7,110,024.98

322	Scientific cooperation meetings						
3220	Scientific cooperation meetings	79,000.00	-25,311.15	53,688.85	79,000.00	-25,311.15	53,688.85
	tot. of 323	79,000.00	-25,311.15	53,688.85	79,000.00	-25,311.15	53,688.85

323	Pre-accession and ENP Programmes*						
3230	Pre-accession programme	0.00	0.00	0.00	0.00	0.00	0.00
3231	ENP (European Neighbourhood programme)	0.00	0.00	0.00	0.00	0.00	0.00
	tot. of 323	0.00	0.00	0.00	0.00	0.00	0.00

324	Collaboration with other organisations*						
3240	Collaboration with FAO	0.00	0.00	0.00	0.00	0.00	0.00
	tot. of 3234	0.00	0.00	0.00	0.00	0.00	0.00
	tot. of 32	7,704,985.00	219,128.83	7,924,113.83	7,644,585.00	-480,871.17	7,163,713.83

34	COMMUNICATIONS						
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341	Risk Communication						
3410	Risk Communication, Web management, communication activities materials	1,202,000.00	-85,844.58	1,116,155.42	1,202,000.00	-85,844.58	1,116,155.42
	tot. of 341	1,202,000.00	-85,844.58	1,116,155.42	1,202,000.00	-85,844.58	1,116,155.42



Title Chapter Article Item	Budget Headings Transfers from year start	B 2019 Commitment appropriations			B 2019 Payment appropriations		
		Initial	Transfers	Current	Initial	Transfers	Current
342	External relations						
3420	External relations	235,000.00	-56,436.26	178,563.74	235,000.00	-56,436.26	178,563.74
	tot. of 342	235,000.00	-56,436.26	178,563.74	235,000.00	-56,436.26	178,563.74
	tot. of 34	1,437,000.00	-142,280.84	1,294,719.16	1,437,000.00	-142,280.84	1,294,719.16
35	HORIZONTAL OPERATIONS						
350	Operational IT Systems						
3500	Operational IT Systems	4,959,274.00	446,276.14	5,405,550.14	4,959,274.00	446,276.14	5,405,550.14
3501	Multiannual IT Projects	0.00	0.00	0.00	60,400.00	0.00	60,400.00
	tot. of 350	4,959,274.00	446,276.14	5,405,550.14	5,019,674.00	446,276.14	5,465,950.14
351	Operational support						
3511	Translation, Interpretation, Linguistic Proofreading and Editing	180,000.00	17,000.00	197,000.00	180,000.00	17,000.00	197,000.00
3512	Library	580,000.00	-147.02	579,852.98	580,000.00	-147.02	579,852.98
3513	Mission of staff related to operational duties	850,000.00	-138,000.00	712,000.00	850,000.00	-138,000.00	712,000.00
3514	Shuttles and prepaid travel for experts and shuttles for staff related to operational duties	2,050,000.00	-360,527.65	1,689,472.35	2,050,000.00	-360,527.65	1,689,472.35
	tot. of 351	3,660,000.00	-481,674.67	3,178,325.33	3,660,000.00	-481,674.67	3,178,325.33
352	Conferences & Outreach						
3520	Conferences and Outreach	521,000.00	42,725.06	563,725.06	521,000.00	42,725.06	563,725.06
	tot. of 352	521,000.00	42,725.06	563,725.06	521,000.00	42,725.06	563,725.06



Title Chapter Article Item	Budget Headings Transfers from year start	B 2019 Commitment appropriations			B 2019 Payment appropriations		
		Initial	Transfers	Current	Initial	Transfers	Current
353	Operational development & Control						
3530	Operational Development & Control	1,160,000.00	452,754.67	1,612,754.67	1,160,000.00	452,754.67	1,612,754.67
	tot. of 353	1,160,000.00	452,754.67	1,612,754.67	1,160,000.00	452,754.67	1,612,754.67
354	Quality Management						
3540	Quality Management	200,000.00	-122,750.00	77,250.00	200,000.00	-122,750.00	77,250.00
	tot. of 354	200,000.00	-122,750.00	77,250.00	200,000.00	-122,750.00	77,250.00
	tot. of 35	10,500,274.00	337,331.20	10,837,605.20	10,560,674.00	337,331.20	10,898,005.20
	tot. of 3	25,381,809.00	0.00	25,381,809.00	25,381,809.00	-700,000.00	24,681,809.00



Annex III. Status of projects

Table 45: Projects and Process improvement initiatives under SO1 – Status report

Intermediary Impact	Expected result – Outcome	Project	Overall Status
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	Increased engagement of stakeholders in scientific activities	Stakeholder Engagement Approach (SEA)	
		End2end Science project	
		Engagement in Risk Communication	
	Full availability of documentation relevant to EFSA scientific outputs	Notification of studies	
		Enhanced outreach of communication	Reputation Management
	Social Media 2020 strategy		
	Impactful communication and cooperation		

Table 46: Projects and Process improvement initiatives under SO2 – Status report

Intermediary impact	Expected result - outcome	Project	Overall Status
Increased satisfaction of stakeholders regarding EFSA's evidence management services and fostered innovative re-use of data	Improved access to data	Information Management Programme	
		Developing a system for assigning digital object identifiers (dois) project	
		Open ScaIE project	Closed



Intermediary impact	Expected result - outcome	Project	Overall Status
	Increased standardisation and interoperability of data	Matrix	
		Introduction of a framework for Information Access Management	Closed
		Support to national dietary surveys in compliance with the EU Menu methodology	
		Framework Partnership Agreement on Data Quality (implementation phase)	

Table 47: Projects and Process improvement initiatives under SO3 – Status report

Intermediary impact	Expected result - Outcome	Project	Overall Status	
Increased efficiency at European and international level		Expertise Management Programme		
	Building & sharing within the risk assessment community at individual level	Knowledge & Innovation Communities (KICs)		
	Building and sharing capacity within the risk assessment community at organisational level	2017-19 Pre-accession project - Preparatory measures for the participation of IPA beneficiaries in EFSA 2017-2019		
		Innovative approach for Article 36 networking and management of the List		
		3rd Scientific Conference (2018)		Closed
		External Talent Pool & Attraction Package Project ETAP		
	Strengthened capacity using innovative ways	Joining forces at EU level on the implementation of Artificial Intelligence		
		Hackathon		



Intermediary impact	Expected result - Outcome	Project	Overall Status
		CROWDSOURCING: Engaging communities effectively in scientific assessment	
	Reviewing and developing EFSA's scientific assessment model	FEED production model - specific training	

Table 48. Projects and Process improvement initiatives under SO4– Status report

Intermediary impact	Expected result - Outcome	Project	Overall Status
Increased effectiveness of preparedness and response	Fostered use of new approaches and enhanced ability to anticipate and respond to risks	RAM-Pro: Risk Assessment Methodology Programme	
		PLH preparedness to the risks of new plant pests	
		Wildlife surveillance	
		PLH procurement on Xylella vectors	
		Guidance on non-target terrestrial organisms	
		Revision of the EFSA Guidance on Risk assessment for Birds and Mammals	
		EFSA's activities on emerging risks	
		Data collection in support of the Endocrine Disruption (ED) assessment for non-target organisms	
		Implementation of the Guidance on the establishment of residue definition for dietary risk assessment	Closed



Intermediary impact	Expected result - Outcome	Project	Overall Status
		Implementation of Cumulative Risk Assessment of Pesticides	
		Operations of the Scientific Panel on Plant Protection Products and their Residues	
		Development of conversion model for recoding food commodities used in pesticide residues	
		In vitro comparative metabolism	
		Procurement on proteins with adverse effects	Closed
		Integrating new approaches in chemical risk assessment	
		Outsourcing on the application of NGS (next generation sequencing) on noroviruses	
		EFSA Guidance Document for predicting environmental concentrations of active substances of plant protection products in soil	
		EFSA Guidance on completing risk assessment for active substances that have isomers	Closed
		Integrated testing strategy for evaluation of developmental neurotoxicity with special emphasis to pesticides	
		Repair action of the FOCUS surface water scenarios	
		PROC_NT Lepidoptera model	
		MUST-B: EU efforts towards the development of a holistic approach for the risk assessment on MULTiple STressors in Bees	
		Next generation sequencing	



Intermediary impact	Expected result - Outcome	Project	Overall Status
		Arthropod vectors	
		WGS Umbrella	
		Scientific opinion on the state of the science of pesticide risk assessment for bats	Closed
		Request for a statement on a framework for conducting the environmental exposure and risk assessment for transition metals when used as active substances in plant protection products (PPP)	
		Data collection and analyses processes on animal disease outbreaks and surveillance (SIGMA)	
		Revision of the EFSA GD on risk assessment for bees	
	Accessibility of EFSA methods and tools	Risk Assessment Tools for the Safety of Global Food and Feed Supply Chains (FPA BfR)	
		R Services for EU projects (R4EU)	
Increased satisfaction of stakeholders with regards to EFSA's preparedness, methodologies and response	Harmonisation of risk assessment methodologies	Scientific opinions of the Scientific Committee on overarching elements of environmental risk assessment (ERA)	
		EFSA Framework for problem formulation	
		Collection of EFSA experiences and needs for evidence appraisal	Closed
		HLADQ peptide modelling	
		Benchmark Dose Model (BMD)	
		Animal dietary exposure assessment in EFSA: integration of existing feed consumption data	



Intermediary impact	Expected result - Outcome	Project	Overall Status
		Update of the EFSA Guidance on exposure of operators, workers, residents and bystanders in risk assessment for plant protection products	
		Develop cross-cutting guidance documents	
		Guidance on how to characterise, document and explain uncertainties in risk assessment	
		Synthetic Biology	
		Guidance on the human, animal and environmental risk assessment of the application of nanoscience and nanotechnologies in agro/food/feed	
		EFSA Template for protocol development	
		MixTox: Developing harmonised methods for the risk assessment of combined exposure to multiple chemicals	
		Scientific Committee guidance on appraising and integrating evidence from epidemiological studies for use in EFSA's scientific assessments	
		Update of the 2012 SC scientific opinion on the TTC	
		OECD MetaPath: Incorporation of pesticide residue data	
		Development of Adverse Outcome Pathways relevant for the identification of substances having endocrine disruptors properties	
		Scientific Committee Guidance on aneugenicity assessment	



Table 49: Projects and Process improvement initiatives under SO5 – Status report

Intermediate impact	Expected result - Outcome	Project	Overall Status
Sound operational performance & Efficiency	People and culture	Talent Management Project	
		EFSA Academy	
		Strategic Competencies Analysis - SCA Project	
		BuS Organisation Design	Closed
		Organisational Design	
		Governance	
	Enabling work environment	New World of Work (NWOW) ⁷⁷	Closed
		Travel Management Model (TMM)	Closed
		Data Management and Data Virtualisation (DAMA)	
		Business Services Open Call for Tender	
		Digital collaboration	
	End2End Support		
	Compliance	Records and Correspondence Management Project	

⁷⁷ Incorporated into End2End Support project



Intermediate impact	Expected result - Outcome	Project	Overall Status
		Objectivity Policy Project	
		Revamp (COMPASS)	Closed
		Transactional services	Closed
	Capabilities	BIKE project	



Annex IV. Questions closed in 2019

Table 50: Questions closed in 2019

Questions per strategic objective and type of output	REPRO							RASA					TOTAL
	APDESK	FEED	FIP	GMO	NUTRI	PRES	PREV	ALPHA	AMU	BIOCONTAM	DATA	SCER	
SO1 – Prioritise public and stakeholder engagement in the process of scientific assessment													
SO1 – EFSA scientific outputs – general risk assessment		1	4	2	3			69	1	14	2		96
Of which:													
– opinion of the scientific committee / scientific panel			3		3			57		8			71
– guidance of the scientific committee / scientific panel								1					1
– statement of the scientific committee / scientific panel				1						2			3
– scientific report of EFSA								11	1	4	2		18
– guidance of EFSA													
– statement of EFSA		1	1	1									3
SO1 – Technical reports – general risk assessment			1	1	3			65		9	7		86
SO1 – Other publications (external scientific reports/event reports) – general risk assessment								1		12			13
– Other publications - external scientific report								1		12			13
– Other publications - event report										-			
SO1 – Subtotal – general risk assessment		1	5	3	6			135	1	35	9		195



Questions per strategic objective and type of output	REPRO							RASA					TOTAL
	APDESK	FEED	FIP	GMO	NUTRI	PRES	PREV	ALPHA	AMU	BIOCONTAM	DATA	SCER	
SO1 – EFSA scientific outputs – evaluation of regulated products		106	209	11	26	139	18						509
Of which:													
– conclusion on pesticides peer review							13						13
– opinion of the scientific committee / scientific panel		106	209	10	26								351
– guidance of the scientific committee / scientific panel													
– statement of the scientific committee / scientific panel													
– reasoned opinion						78							78
– scientific report of EFSA						35							35
– guidance of EFSA						1							1
– statement of EFSA				1		25	5						31
SO1 – Technical reports – evaluation of regulated products	3		3	6	6	2	12						32
SO1 – Other publications (external scientific reports/event reports) – evaluation of regulated products				4	1								5
– Other publications - external scientific report				4	1								5
– Other publications - event report													
SO1 – Subtotal – evaluation of regulated products	3	106	212	21	33	141	30						546
SO1 – Total	3	107	217	24	39	141	30	135	1	35	9		741



Questions per strategic objective and type of output	REPRO							RASA					TOTAL
	APDESK	FEED	FIP	GMO	NUTRI	PRES	PREV	ALPHA	AMU	BIOCONTAM	DATA	SCER	
SO2 – Widen EFSA’s evidence base and optimise access to its data													
SO2 – EFSA scientific outputs													
SO2 – Technical reports											5		5
SO2 – Other publications (external scientific reports/event reports)											3	1	4
– Other publications - external scientific report											3	1	4
– Other publications - event report													
SO2 – Total											8	1	9
SO3 – Build the EU’s scientific assessment capacity and knowledge community													
SO3 – EFSA scientific outputs													
SO3 – Technical reports				1						2		1	4
SO3 – Other publications (external scientific reports/event reports)								2	5	1			8
– Other publications - external scientific report								1	5	1			7
– Other publications - event report								1					1
SO3 – Total				1				2	5	3		1	12
SO4 – Prepare for future risk assessment challenges													
SO4 – EFSA scientific outputs		1	1	1		3	2			1	2	2	13
Of which:													
– opinion of the scientific committee / scientific panel							1			1			2



Questions per strategic objective and type of output	REPRO							RASA					TOTAL
	APDESK	FEED	FIP	GMO	NUTRI	PRES	PREV	ALPHA	AMU	BIOCONTAM	DATA	SCER	
- scientific report of EFSA				1		2					2		5
- statement of the scientific committee / scientific panel			1				1						2
- guidance of the scientific committee / scientific panel		1										2	3
- guidance of EFSA (regulated products)						1							1
SO4 - Technical reports		1				3		17		1		10	32
SO4 - Other publications (external scientific reports/event reports)				2			6	10	3	1	2	7	31
- Other publications - external scientific report				2			1	9	2	1	2	7	24
- Other publications - event report							5	1	1				7
SO4 - Total		2	1	3		6	8	27	3	3	4	19	76
Total questions	3	109	218	28	39	147	38	164	9	41	21	21	838



Table 51: Questions closed by food sector area for SO1 general risk assessment

SO1 - General risk assessment			
EFSA UNIT	Total by Unit	Food/feed sector area	Questions closed
Animal and plant health	135	Animal Diseases	12
		Animal welfare	7
		Plant Health	116
Assessment and methodological support	1	Data collection and analysis	1
Biological hazards and contaminants	35	AMR (Antimicrobial resistance)	2
		BIOCONTAM - Other areas	6
		Contaminants in Food	6
		Contaminants in food and feed	2
		DATA - Other areas	1
		Data collection and analysis	1
		Foodborne outbreaks	3
		Foodborne zoonosis	8
		Micro-organisms	3
		TSE	3
Evidence management	9	Contaminants in Feed	1
		Contaminants in Food	1
		EFSA Guidance documents	7
FEED	1	Feed additives - others	1
Food Ingredients and Packaging	5	Food additives	4
		Food contact materials	1
GMO	3	GMO generic	3
Nutrition	6	Dietary reference values	4
		Food for specific groups	2
Total questions closed in general risk assessment			195



Table 52: Questions closed by food sector area for SO1 regulated products

SO1 - Regulated products			
EFSA UNIT	Total by Unit	Food/feed sector area	Questions closed
Applications Desk	3	Feed additives - others	1
		GMO generic	1
		Pesticides - Other areas	1
FEED	106	Feed additives - applications	106
Food Ingredients and Packaging	212	Enzymes	36
		Flavourings	102
		Food additives	46
		Food contact materials	28
GMO	21	GMO generic	6
		GMOs applications for renewal under Reg. 1829/2003 / Commission Implementing Regulation (EU) No 503/2013	5
		GMOs applications under Reg. 1829/2003	3
		GMOs applications under Reg. 1829/2003 / Commission Implementing Regulation (EU) No 503/2013	7
Nutrition	33	Health claims Art. 13/5	3
		Health claims Art. 14	1
		Health claims other	1
		Notification on traditional foods from third countries	4
		Novel Foods application	23
		Nutrient sources	1



SO1 - Regulated products			
EFSA UNIT	Total by Unit	Food/feed sector area	Questions closed
Pesticide Peer Review	30	Pesticides - Other areas	2
		Pesticides peer review - basic substances	6
		Pesticides peer review - confirmatory data	6
		Pesticides peer review - new active substances	3
		Pesticides peer review - renewal of approval	8
		Pesticides peer review - review of approval	5
Pesticide Residues	141	Pesticide MRL	1
		Pesticides MRL Application (Reg. 396/2005 - Art. 10)	53
		Pesticides MRL Monitoring (Reg. 396/2005 - Art. 31)	3
		Pesticides MRL Request (Reg. 396/2005 - Art. 43)	35
		Pesticides MRL Review (Reg. 396/2005 - Art. 12)	49
Total questions closed in regulated products			546

In some areas of the regulated products evaluation the delays registered with respect to the initial deadline lead to the accumulation of backlog. These questions are part of the ongoing work programme and efforts are made to reduce their number during the actual year. To be noted that questions received in bulks and pending evaluation, are not part of this backlog. For these cases, called “bulk evaluations”, a work plan is agreed or pends agreement with the risk managers.

Details on the actual backlog and its reduction per food sector area during 2019 are presented in table 53, while current status of bulk evaluations is included in table 54.



Table 53: Regulated products - Backlog reduction in 2019

Regulated products area	# in P1	# in P4
FEED	53	44
- Feed additives – applications	53	44
GMO	4	1
- GMO - miscellaneous	4	1
PRES	30	22
- Pesticides MRL Application (Reg. 396/2005 - Art. 10)	30	22
PREV	2	0
- Pesticides – miscellaneous	2	0

Table 54: Regulated products - Bulk evaluation in 2019

Status	Regulated products area	# in P1	# in P4
Deadlines agreed with Risk Manager	FIP	543	439
	- Flavourings ⁷⁸	148	73
	- Enzymes ⁷⁹	256	238
	- Food additives – re-evaluation	139	128
	PRES	146	113
	- Pesticides MRL Review (Reg. 396/2005 - Art. 12) - ex backlog ⁸⁰	146	113
Pending Risk Manager decision	NUTRI	1548	1548
	- Health Claims (Art.13.2) - botanicals	1548	1548

⁷⁸ Evaluation of flavouring substances included in the Union list with a footnote, according to Regulation (EC) 1565/2000 and Implementing Regulation (EU) 872/2012. The plan for addressing the remaining evaluations is influenced by the timing of submission of information from applicants. The number of on-going questions might be increased because of potential future FGEs (flavouring group evaluations) (confirmed only if no safety concerns are identified), or newly received requests.

⁷⁹ The number takes into account the questions closed for food enzymes applications until P2, and 6 additional questions received as of start 2019.

⁸⁰ To be noted that this table presents the overall picture with respect to the pending MRL reviews and takes into account the totality of questions closed in the period, with no distinction per output type.



Annex V. Human resources

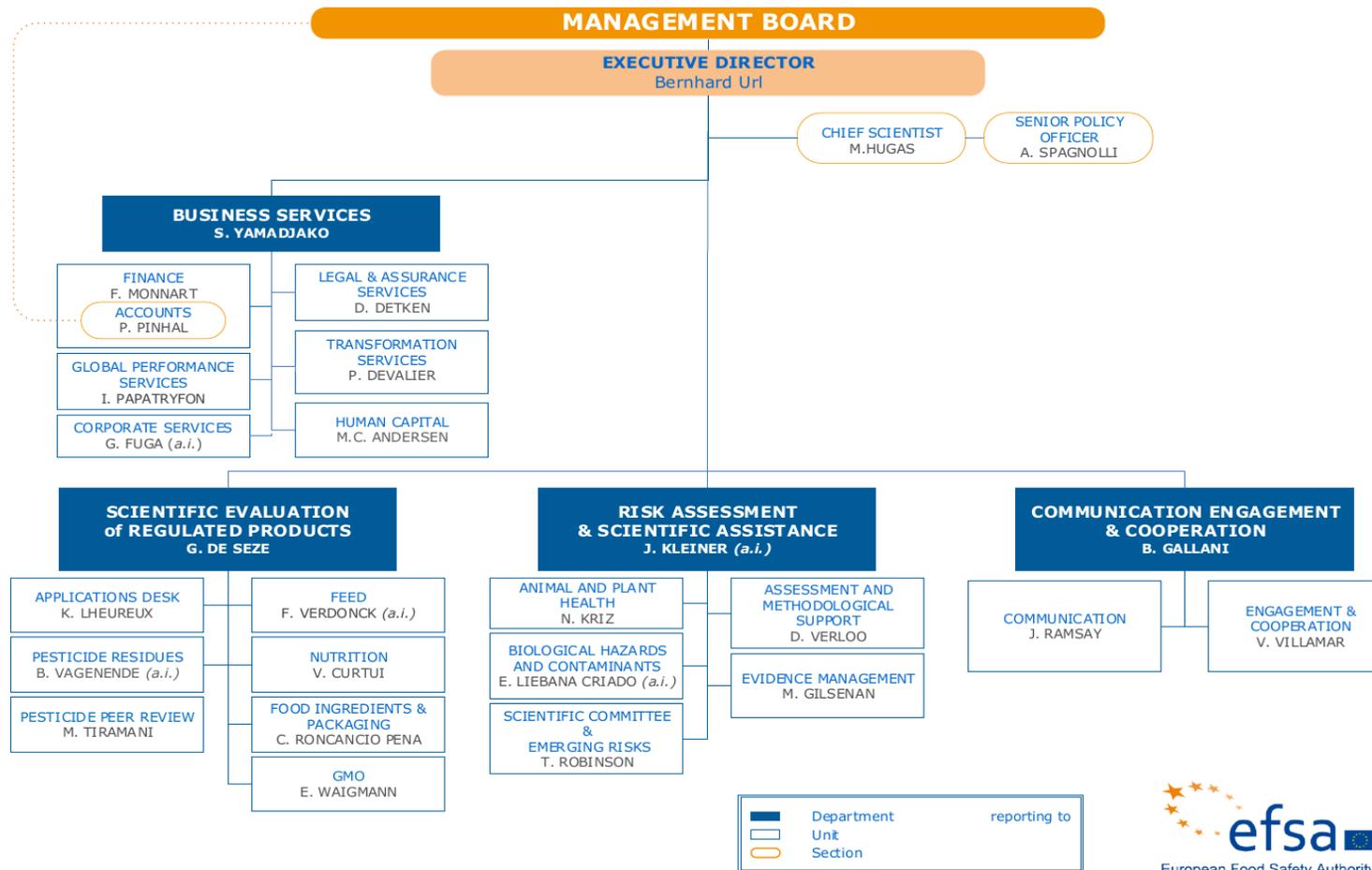


Figure 23. Organisational chart (31/12/19)



Table 55: Establishment plan 2019

Function group and grade	2019			
	Authorised under the EU Budget		Filled as of 31/12/2019	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AD 16				
AD 15		1		1
AD 14				
AD 13		2		1
AD 12		7		5
AD 11		9		7
AD 10		20		14
AD 9		38		30
AD 8	2	57	2	61
AD 7	3	45	3	49
AD 6		27		35
AD 5		9		7
AD TOTAL	5	215	5	210
AST 11				
AST 10				
AST 9				
AST 8		1		
AST 7		3		3
AST 6		7		6
AST 5		21		16
AST 4		32		36
AST 3		20		19
AST 2		15		17
AST 1		1		1
AST TOTAL	0	100	0	98



Function group and grade	2019			
	Authorised under the EU Budget		Filled as of 31/12/2019	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts
TOTAL	5	315	5	308

Table 56: Results of the benchmarking exercise in accordance with provision of Art. 29 (3) Framework Financial Regulation and Methodology for Agencies Job Screening(a)

Job type (sub)category	Year 2018	Year 2019
Administrative support and Coordination	19.1%	16.3%
Administrative support	17.6%	14.8%
Coordination	1.5%	1.5%
Operational	75.3%	79.4%
Top Level Operational Coordination	2.6%	1.7%
Programme Management and Implementation	59.4%	63.2%
Evaluation & Impact Assessment	0.9%	0.7%
General operational	12.4%	13.8%
Neutral	5.6%	4.3%
Finance/Control	5.1%	4.0%
Linguistics	0.5%	0.3%
TOTAL	100%	100%



Annex VI. Negotiated procedures and time to grant

Table 57: 2019 negotiated procedure

2019 Exceptional Negotiated Procedures under FR 2018/1046 NP point 11.1 (a) to (f) and point 39 Annex 1 FR				
No.	Procedure type	Contractor name	Subject of contract	Contract amount
1	Annex 1 - 11.1 (b) - artistic/technical reasons or exclusive rights or technical monopoly/captive market	applied maths nv	Bionumerics	30,000.00
2	Annex 1 - 11.1 (b) - artistic/technical reasons or exclusive rights or technical monopoly/captive market	Institut de recerca contra la leucemia josep carreras	Explore the potential genotoxic effect of two pesticides (permetrine and clorpyriphos) in human stem cells at different ontogeny stages, and investigate their potential of inducing leukaemia in animal models of infant leukaemia	50,000.00
3	Annex 1 - 11.1 (b) - artistic/technical reasons or exclusive rights or technical monopoly/captive market	Istituto superiore di sanita	Stec eusr zoonoses 2018	15,000.00
4	Annex 1 - 11.1 (b) - artistic/technical reasons or exclusive rights or technical monopoly/captive market	Anses	Listeria eusr zoonoses 2018	15,000.00
5	Annex 1 - 11.1 (b) - artistic/technical reasons or exclusive rights or technical monopoly/captive market	Istituto superiore di sanita	Echinococcus & trichinella 2018	14,850.00
6	Annex 1 - 11.1 (b) - artistic/technical reasons or exclusive rights or technical monopoly/captive market	Dtu	Preparatory work for flavourings evaluation	40,000.00



2019 Exceptional Negotiated Procedures under FR 2018/1046 NP point 11.1 (a) to (f) and point 39 Annex 1 FR

No.	Procedure type	Contractor name	Subject of contract	Contract amount
7	Annex 1 - 11.1 (b) - artistic/technical reasons or exclusive rights or technical monopoly/captive market	politico sprl	Annual subscription to politico pro agriculture & food and pro health care	24,000.00
8	Annex 1 - 11.1 (b) - artistic/technical reasons or exclusive rights or technical monopoly/captive market	The food safety agency of Bosnia and Herzegovina	Participation of Bosnia and Herzegovina in the framework of the instrument of pre-accession programme ii	16,100.00
9	Annex 1 - 11.1 (b) - artistic/technical reasons or exclusive rights or technical monopoly/captive market	Food and veterinary agency of the republic of North Macedonia	Participation of North Macedonia in the framework of the instrument of pre-accession programme ii	16,100.00
10	Annex 1 - 11.1 (b) - artistic/technical reasons or exclusive rights or technical monopoly/captive market	Administration for food safety, veterinary and phytosanitary affairs	Participation of Montenegro in the framework of the instrument of pre-accession programme ii	16,100.00
11	Annex 1 - 11.1 (b) - artistic/technical reasons or exclusive rights or technical monopoly/captive market	Ministry of agriculture and forestry	Participation of turkey in the framework of the instrument of pre-accession programme ii	20,700.00
12	Annex 1 - 11.1 (b) - artistic/technical reasons or exclusive rights or technical monopoly/captive market	Albanian national food authority	Participation of Albania in the framework of the instrument of pre-accession programme ii	16,100.00
13	Annex 1 - 11.1 (b) - artistic/technical reasons or exclusive rights or technical monopoly/captive market	Food and veterinary agency	Participation of Kosovo in the framework of the instrument of pre-accession programme ii	11,500.00



2019 Exceptional Negotiated Procedures under FR 2018/1046 NP point 11.1 (a) to (f) and point 39 Annex 1 FR

No.	Procedure type	Contractor name	Subject of contract	Contract amount
14	Annex 1 - 11.1 (b) - artistic/technical reasons or exclusive rights or technical monopoly/captive market	Ministry of agriculture, forestry and water management-veterinary directorate of the Republic of Serbia	Participation of Serbia in the framework of the instrument of pre-accession programme ii	15,400.00
15	Annex 1 - 11.1 (b) - artistic/technical reasons or exclusive rights or technical monopoly/captive market	Orcid inc.	Annual subscription to orcid for the EFSA journal	3,722.00
16	Annex 1 - 11.1 (b) - artistic/technical reasons or exclusive rights or technical monopoly/captive market	Elsevier bv	Purchase of access to and associated services for SCOPUS database and embase database	180,000.00
17	Annex 1 - 11.1 (e) - new services/works consisting in the repetition of similar servies/works	Istituto zooprofilattico sperimenta, Estonian universit, Statens veterinarmedicinska anstalt, friedrich loeffler institut, Bulgarian food safety agency	Technical support to improve and automatize data collection and reporting	300,000.00
18	Annex 1 - 11.1 (e) - new services/works consisting in the repetition of similar services/works	forsafe srl, a.i.erre engineering srl	Consultancy service to improve efficiency and effectiveness of EFSA facility management processes	750,000.00
19	Annex 1 - 11.1 (b) - artistic/technical reasons or exclusive rights or technical monopoly/captive market	Springer customer service center gm	Springer's e-books collections	28,901.00



Table 58: Time to grant

Procedure Title	Procedure reference	Deadline for applications (A)	Signature of award decision (B)	Grant Agreement signature date (C)	Committed amount	Art 189 3c (B-A)	Art 189 (C-B)
Gp/efsa/enco/2018/03 - ga 04	Partnering grants (ga 04): obemirisk-knowledge platform for assessing the risk of biosphenols on gut microbiota and its role in obesogenic phenotype: looking for biomarkers	31/10/2018	05/12/2018	29/03/2019	100,000.00	35	114
Gp/efsa/enco/2018/03 - ga 03	Partnering grants (ga 03): impact: standardising molecular detection methods to improve risk assessment capacity for foodborne protozoan parasites, using cryptosporidium in ready-to-eat salad as a model	31/10/2018	05/12/2018	10/04/2019	98,156.17	35	126
Gp/efsa/enco/2018/05 - ga1	Selection of hosting sites for eu for a programme: training in tools to develop risk ranking and quantitative ra using spanish ready to eat food examples	31/01/2019	29/05/2019	27/06/2019	28,771.60	118	29
Gp/efsa/enco/2018/05 - ga4	Study of the different evaluation areas in the pesticides risk assessment process	31/01/2019	29/05/2019	25/07/2019	28,771.60	118	57
Gp/efsa/enco/2018/05 - ga5	Analysis and risk assesment of elements in baby food including a screening for a range of elements, which may influence food safety	31/01/2019	29/05/2019	25/07/2019	41,384.20	118	57
Gp/efsa/enco/2018/05 - ga7	Risk assesment of phthalates based on aggregated exposure from foods and cosmetics for two 24h periods and comparison with biomonitoring data using the monte carlo risk assessment tool	31/01/2019	29/05/2019	25/07/2019	40,240.20	118	57
Gp/efsa/enco/2018/05 - ga8	Livestock health and food chain risk assessment	31/01/2019	29/05/2019	25/07/2019	31,837.80	118	57
Gp/efsa/enco/2018/05 - ga9	Modelling and magnitude estimation of cross-contamination in the kitchen for quantitative microbiological risk assessment (qmra)	31/01/2019	29/05/2019	25/07/2019	33,948.20	118	57



Procedure Title	Procedure reference	Deadline for applications (A)	Signature of award decision (B)	Grant Agreement signature date (C)	Committed amount	Art 189 3c (B-A)	Art 189 (C-B)
Gp/efsa/enco/2018/05 – ga10	Identification of risk factors and hotspots of antibiotic resistance along the food chain using next-generation sequencing	31/01/2019	29/05/2019	30/07/2019	57,543.20	118	62
Gp/efsa/enco/2018/05 – ga15	A risk assessment model for <i>escherichia coli</i> in lymph nodes of bovine carcasses	31/01/2019	29/05/2019	12/08/2019	30,144.40	118	75
Gp/efsa/enco/2018/05 – ga14	A risk assessment related to food additives and contaminants exposure during infancy and adolescence	31/01/2019	29/05/2019	14/08/2019	27,313.00	118	77
Gp/efsa/enco/2018/05 – ga06	Integration of tools and social science into food safety risk assessment	31/01/2019	29/05/2019	28/08/2019	75,675.60	118	91
Gp/efsa/enco/2018/05 – ga2	Study of risk assessment of food contact materials	31/01/2019	29/05/2019	16/09/2019	31,574.40	118	110
Gp/efsa/enco/2018/05 – ga3	Risk assessment of botanical preparations used in food supplements and fortified foods	31/01/2019	29/05/2019	16/09/2019	31,574.40	118	110
Gp/efsa/enco/2018/05 – ga13	Risk assessment and toxicological research of micro- and nanoplastics after oral exposure via food products	31/01/2019	29/05/2019	16/09/2019	31,574.40	118	110
Gp/efsa/alpha/2019/04	Risk assessment uncertainty	18/10/2019	22/11/2019	19/12/2019	200,000.00	35	27
					Average:	102	76



Financing not linked to costs under art. 125(3) points (a) and (f)			
No.	Beneficiary name	Subject of contract	Contract amount
1	NATIONAL SANITARY VETERINARY AND FO	GA/EFSA/ALPHA/2019/02 - ANALYSIS OF RISK FACTORS FOR ASF IN ROMANIA - ANSVSA	45,000.00
2	THE UNIVERSITY OF HERTFORDSHIRE HIG	GP/EFSA/FIP/2018/01 LOT 3 - SA 02 - ENTRUSTING SUPPORT TASKS IN THE AREA OF FOOD INGREDIENTS AND PACKAGING - IMPLEMENTATION OF THE EVIDENCE BASED RA FOR REEVALUATION OF APPROVED SWEETENERS, BPA, SUBSTANCES AUTHORISED FOR USE IN FCM	38,188.29
3	NATIONAL DIAGNOSTIC RESEARCH VETERI	GP/EFSA/ALPHA/2019/03 - SUPPORT OF AVIAN INFLUENZA BULGARIA - NDRVMI	45,000.00
4	THE UNIVERSITY OF HERTFORDSHIRE HIG	GP/EFSA/FIP/2018/01 LOT 3 - SA 03 - ENTRUSTING SUPPORT TASKS IN THE AREA OF FOOD INGREDIENTS AND PACKAGING - BPA- UNI HERTS	19,984.24

FPA exceeding 4 years duration (art. 130(4)(c) FR)			
No.	Beneficiary name	Subject of contract	Contract amount
None			

Flat-rate indirect costs higher than max. 7 % of total eligible direct costs (art. 181(6) FR)
Given the nature of the EFSA grants, 10 % flat-rate indirect costs correspond better to the reality of the cost composition (Management Board decision of 10.02.2011)



Annex VII. Annual Report on the implementation of EFSA's policy on independence

1. Executive Summary

As independence is one of its key values, EFSA attaches great importance to ensuring an impartial scientific process devoid of conflicts of interest. This annual report provides a clear picture of the investments and efforts made by EFSA during the reporting period for the implementation of its Policy on Independence and the management of conflicts of interest (CoIs). In the reference period, EFSA:

- Screened a total of 2,796 annual Declarations of Interest (DoIs) submitted by its scientific experts and identified 31 CoIs;
- Processed 17 DoIs submitted by its Management Board members, 393 DoIs of staff members, where 1 CoI was prevented, and 46 DoIs of candidates pre-selected in the context of recruitment procedures, for whom ordinary risk mitigation measures were adopted;
- Screened 59 "Institutional DoIs" and 179 "individual DoIs" submitted by participants to procurement and grant awarding procedures, identifying and preventing 5 conflicts of interests;
- Carried out in the context of *ex-post* controls two compliance and veracity checks, which led to the identification 8 minor non-conformities, none of which required the adoption of remedial measures;
- Evaluated the applications of 14 former staff members wishing to engage in occupational activities, none of which was considered overlapping with EFSA's tasks;
- Delivered 2 training sessions to EFSA's staff, 11 awareness sessions to scientific panels and made available 2 e-trainings to experts and staff members;
- Updated the list of "public institutions" published online and classified 360 organisations.

In order to carry out the above activities and to further improve its Policy on Independence, EFSA invested a total of 3.03 full-time equivalents and EUR 196,158.08. A similar level of investment is expected to continue in 2020, as EFSA will also focus on improving its IT solution and further enhancing its internal regulatory framework.

The analysis of these findings shows that the regulatory system currently in place is efficient and adequately safeguards the independence of EFSA's scientific work.



2. Background

Regulation (EC) No 178/2002⁸¹ laying down the general principles and requirements of food law and establishing the European Food Safety Authority, prescribes that EFSA shall be a point of reference for risk assessment in the food chain by virtue of the quality of its scientific outputs and of its independence. Independence and high standards of professional conduct are crucial to EFSA's work, for it is essential that interested parties and the public at large trust the process leading to the adoption of its scientific outputs.

Against this background, as acknowledged in the "EFSA Strategy 2020", EFSA's motto of delivering "Trusted science for safe food" requires adherence to robust ethics and integrity standards⁸². An impartial scientific process populated with datasets gathered or developed in an objective manner and processed by scientists devoid of conflicts of interest is of fundamental importance to achieve EFSA's objective of being truly accountable to EU citizens and its institutional partners.

Adequate management of Conflicts of Interest (CoI) is of key importance for EFSA. In June 2017, EFSA adopted a new Policy on Independence followed by an implementing decision on the management of competing interests applicable to all members of EFSA's Scientific Committee, scientific panels, working groups, participants in peer-review meetings, network members, members of EFSA's governance bodies, hearing experts, observers, participants to procurement and grant awarding procedures as well as staff of EU institutions, bodies or other agencies taking an active role in EFSA's meetings⁸³.

In its Policy on Independence, EFSA committed to making publicly available an annual report on independence-related activities, thereby increasing the transparency of related processes⁸⁴.

This annual report is the second on independence-related matters and aims at providing a clear picture of the investments and efforts made by the Authority to meet the expectations of EU citizens and its institutional partners. In the reference year, some independence-related activities besides screening of Declarations of Interest (DoI) have been deprioritised by EFSA due to the need to divert internal resources to the implementation of Regulation (EU) 2019/1381 on the transparency and sustainability of the EU risk assessment in the food chain⁸⁵ (hereinafter Transparency Regulation), which entered into force on 26 June 2019, and whose provisions will become applicable as of 27 March 2021.

3. Regulatory developments

Independence is one of EFSA's core values, together with openness, scientific excellence, innovation and cooperation. For this reason, in line with the idea of a lean evolution, the

⁸¹ 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, OJ L 031, 01/02/2002, 2-24 as last amended.

⁸² EFSA, EFSA Strategy 2020. Trusted science for safe food. Protecting consumers' health with independent scientific advice on the food chain, available online at https://www.efsa.europa.eu/sites/default/files/corporate_publications/files/strategy2020.pdf.

⁸³ EFSA, Decision of the Executive Director of EFSA on Competing Interest Management, EFSA/LA/DEC/19568050/2018, available online at <http://www.efsa.europa.eu/en/corporate/pub/independencepolicy17>.

⁸⁴ EFSA's Policy on Independence. How the European Food Safety Authority assures the impartiality of professionals contributing to its operations, mb170621-a2, available online at <http://www.efsa.europa.eu/en/corporate/pub/policyonindependence>.

⁸⁵ Regulation (EU) 2019/1381 of the European Parliament and of the Council of 20 June 2019 on the transparency and sustainability of the EU risk assessment in the food chain, OJ L 231, 6.9.2019, p. 1-28.



Authority adopts a continuous improvement approach characterised by the “Plan-Do-Check-Act” cycle⁸⁶. The next steps will be the review of the rules on Competing interest management foreseen for 2020, and an ex post evaluation of the Policy to be performed by 2022.

In the reference period, EFSA kept enhancing the internal regulatory framework necessary for the implementation of its 2017 Policy on Independence. The key features of the Decision on Competing Interest Management can be found on EFSA’s website⁸⁷.

As a follow-up action to the internal audit performed by the European Commission’s Internal Audit Service in May 2018, EFSA started developing in 2019 a new set of internal instructions on the prevention of conflicts of interest of the Selection Board’s Members within the recruitment procedures of EFSA Statutory Staff.

In the reference period EFSA continued developing a regulatory framework for the implementation of articles 11 and 11a of the EU Staff Regulations on the prevention of conflicts of interest of EFSA employees and candidates to EFSA vacant positions⁸⁸. In view of the fact that this forthcoming Decision is implementing the EU Staff Regulations, it must undergo the *ex-ante* agreement by the European Commission set out in Article 110 of the EU Staff Regulations. The aim is to propose the new rules for adoption by the EFSA Management Board by Q4 2020.

Finally, in July 2019, EFSA’s Advisory Forum endorsed a Declaration of Intent⁸⁹ on the principles governing the impartiality of risk assessment in the areas of food, feed, plant health and animal health & welfare, and proposed to establish a Task Force on independence aimed at facilitating the exchange of information and best practices. Implementation was postponed due to the need to prioritise activities related to the Transparency Regulation.

4. Ex-ante controls - figures on DoI processing operations

In the reference period, EFSA screened a total of 2,976 Annual DoIs submitted by its scientific experts.

In the course of 2019, EFSA also processed 17 DoIs submitted by Management Board members in charge and made publicly available⁹⁰ 4 DoIs as part of the registry of activities of former Management Board members⁹¹.

⁸⁶ So called “Deming cycle”, as further reviewed by Imai and Ishikawa, contemplates a continuous improvement process based on four phases: Planning, where issues are identified, hypothesis developed and strategic decisions taken; Doing, where the solutions are tested and implemented on a small scale, and the results measures; Checking, where the results are evaluated and a decision is taken whether the hypothesis and related solution is concerned; and Acting, where the successful solution is implemented: Deming, W.E., 1950. *Elementary Principles of the Statistical Control of Quality*, JUSE; Ishikawa, K., 1985. *What is Total Quality Control? The Japanese Way*. Translated by David, J. Lu. Englewood Cliffs, NJ: Prentice-Hall, Inc, pages 56-61

⁸⁷ Trusted Science for safe food, available online at <https://www.efsa.europa.eu/en/howwework/independentscience>

⁸⁸ Regulation No 31 (EEC), 11 (EAEC), laying down the Staff Regulations of Officials and the Conditions of Employment of Other Servants of the European Economic Community and the European Atomic Energy Community, OJ P 045 14.6.1962, p. 1385.

⁸⁹ Declaration of Intent of the EFSA Advisory Forum, 3 July 2019, available online at https://www.efsa.europa.eu/sites/default/files/corporate_publications/files/190703_independence_AF_declaration_of_intent.pdf

⁹⁰ The registry of post mandate activities in which former MB members engage is available online at <https://ess.efsa.europa.eu/doi/doiweb/wg/684430>.

⁹¹ The disclosure of activities of former Board members for two years after termination of their mandate is a voluntary transparency measure proactively adopted by the Management Board in EFSA’s Policy on Independence.



DoIs have to be submitted also by all tenderers and participants to grant awarding procedures regarding the outsourcing of scientific tasks or projects. In the reference year, this resulted in 31 calls being launched for which DoIs were requested, which led to the screening of a total number of 59 “institutional DoI” as well as of 179 “individual DoIs”. In the context of these screening processes, 5 conflicts of interests were identified and prevented from occurring by rejecting the concerned experts.

Finally, the Authority also processed 393 DoIs of staff members, as well as 46 DoIs of candidates being pre-selected for engagement as contract agents, temporary agents, seconded national experts, or national experts in professional training. As far as the screening of DoIs of staff members is concerned, 1 conflict of interest was identified which was prevented by the adoption of ordinary risk mitigating measures, while for candidates, ordinary mitigating measures were adopted in a number of cases to ensure that no perception of conflicts of interest could be caused by certain past interests held by candidates selected for fill vacant positions of EFSA statutory staff, seconded national experts and national experts in professional training.

These ordinary mitigating measures consist in the exclusion of the concerned individual from processes and projects regarding their previous employer in the private sector, such as those regarding the evaluation of application dossiers submitted to EFSA by applicants, participation in the evaluation of tenders by previous employers, or the review of the candidate’s own work⁹².

4.1 Competing Interests prevented by sector

In the reference period, in the context of *ex ante controls* performed on the DoIs submitted by its experts, EFSA identified and prevented 31 conflicts of interest at ADoI level. This systematically resulted in the exclusion of the expert either from membership, or from participation in the discussion at the relevant meeting of the scientific group if the CoI regarded an intellectual property right or the expert’s previous work.

The breakdown by sector of the conflicts prevented is provided in Table 1.

Table 59: Competing interests prevented by sector

Sector	Number of conflicts of interest prevented
Animal Health and Welfare	3
Biological Hazards	5
Communications, Engagement and Cooperation	1
Contaminants	1
Food Additives and Flavourings	2
Pesticides	17
Scientific Committee	2
Total	31

⁹² For a definition of this concept, see SOP 039 on management of competing interests, available on EFSA’s website at https://www.efsa.europa.eu/sites/default/files/corporate_publications/files/SOP-039_A.pdf.



5. Ex post controls

5.1 Background and aggregated results

Pursuant to the Decision of the Executive Director on Competing Interest Management, twice a year EFSA performs a check of the compliance and veracity of a sample of screening processes of DoIs submitted by experts who participated in meetings of the Scientific Committee, scientific panels, working groups (WGs), peer review meetings as well as of DoIs submitted in the context of outsourcing procedures.

For each reporting period, relevant documents related to 15 experts and 15 tenderers and grant beneficiaries are randomly selected and are checked for compliance with the regulatory framework in force at the time the DoI was screened and for the veracity of the information contained. Tenderers and grant beneficiaries who are part of the teams being awarded contracts and grants in the scientific domain as well as experts participating as Chairs or members in scientific meetings are included in the list for random selection. Experts participating as hearing experts or observers, as well as experts participating in meetings of the Management Board, (scientific) Networks, Advisory Forum or Focal Points, those participating in scientific preparatory or follow-up meeting and in scientific conferences and/or workshops on EFSA's behalf are not part of the exercise as they are not implicated in developing or adopting EFSA's scientific outputs.

Overall, in 2019 these checks identified eight findings, none of which consisted in a non-conformity requiring the adoption of remedial measures.

In 2019, following up from a finding identified in the 2018 compliance and veracity checks and reported in the first Annual Report on Independence,⁹³ EFSA's Legal and Assurance services confirmed that based on the supporting documents held by the Authority there is no indication of an undue influence by the concerned expert in the preparation of a draft opinion. Furthermore, an extra level of reassurance is given by the fact that the expert whose input was reviewed by the Legal and Assurance Services contributed to the preparatory work delivered by a working group, while the final scientific opinion was adopted by the EFSA Scientific Panel on Novel Foods and Food Allergens, whose members discussed, reviewed and endorsed the draft opinion submitted to their attention, thereby ensuring an additional level of scrutiny on the original proposal from the working group. In the reference year, this was complemented by an action taken in response to a breach of the applicable rules.

5.2 Findings of compliance and veracity check of 2019

The compliance checks of 2019 demonstrated that, for 30 out of 30 experts checked, the Decision of Executive Director on Competing Interest Management had been followed correctly.

The 2019 veracity checks revealed that the ADoIs of 25 experts out of 30 were complete, while for 5 experts the ADoIs revealed the following omissions, that upon declaration were evaluated as not leading to a conflict of interest:

- A consultancy activity to aid the United States Department of Agricultural Animal and plant health Inspection Service (USDA APHIS) and a different ending date of a research activity funded by Defra.

⁹³ European Food Safety Authority, Annual Report on the implementation of EFSA's policy on independence, Reporting period: 1 January – 31 December 2018, available on EFSA's website at http://www.efsa.europa.eu/sites/default/files/corporate_publications/files/EFSA_report_on_independence_2018.pdf.



- Habilitation as Assistant Professor at a public University.
- Chairmanship in a Commission at the German Central Committee of Agriculture.
- An on-going research activity concerning the protection of ground water against pesticides. No follow-up action was required since the expert is currently acting as Hearing expert.
- Four research activities falling within EFSA's remit by the same expert.
- A patent on chimeric gene coding for a transcription factor and expression in plants.

In terms of the outcome of the compliance checks, 7 out of 7 Institutional DoIs and 23 out of 23 Individual DoIs checked in the context of procurement and grant procedures were found to be fully compliant. The compliance check run during the first reporting period revealed that in two cases the DoI assessment by the Evaluation Committee prior to the screening by the Authorising Officer was found to be missing. This did not impact the DoI screening outcome, which was correctly finalised by the Authorising Officer.

In terms of veracity, it was found that 21 out of the 23 Individual DoIs checked were complete, while the following omissions, not leading to a conflict of interest, were identified with respect to the DoIs of two tenderers:

- Membership in the Food and Agriculture Organisation working group on assessment and comparison of available influenza Risk Models. Upon clarification provided by the team member, EFSA concluded that this is a past involvement and that therefore there was no need to declare it.
- Discrepancy between the starting date of the current employment declared in the Individual DoI and in the CV.

6. Assurance Working Group on Independence

Pursuant to Article 22 of the Decision on Competing Interest Management, EFSA's Legal and Assurance Services are advised by the Assurance Working Group on Independence (AWGI). The AWGI reports to EFSA's Assurance Council, which in turn informs the Audit Committee of EFSA's Management Board.

Five AWGI meetings took place in 2019 and focused mainly on the interpretative approaches of EFSA's regulatory framework on independence and competing interest management.

7. Activities undertaken by former EFSA staff members

7.1 Background

In accordance with Article 16 of EU Staff Regulations⁹⁴, an official, temporary agent or contract agent intending to engage in an occupational activity, whether gainful or not, shall inform EFSA within two years of leaving the service. If the activity is related to the work carried out by the official, temporary agent or contract agent during the last three years of service and could lead to a conflict with the legitimate interests of the institution, the authority empowered to conclude contracts may, having regard to the interests of the service, either forbid him/her from undertaking it or give its approval subject to any conditions it thinks fit.

⁹⁴ Regulation (EU, Euratom) No 1023/2013 of the European Parliament and of the Council of 22 October 2013 amending the Staff Regulations of Officials of the European Union and the Conditions of Employment of Other Servants of the European Union, OJ L 287, 29.10.2013, p. 15–62.



In the case of former senior officials as defined in implementing measures of the EU Staff Regulations, the authority empowered to conclude contract shall, in principle, prohibit them, during the 12 months after leaving the service, from engaging in lobbying or advocacy *vis-à-vis* staff of their former institution for their business, clients or employers on matters for which they were responsible during the last three years in the service. Each institution shall publish annually information on its implementation, including a list of the cases assessed, in compliance with Regulation (EC) 2018/1725 of the European Parliament and of the Council⁹⁵.

7.2 Overview

In the reference period, no former senior official or agent left EFSA nor informed the Authority of their intention to engage in outside activities. Furthermore, in the reference year, EFSA processed the applications of 14 staff members having left the Authority. Of these, five opted for the public sector, and nine for the private sector (see table 2). None of the activities were deemed to be overlapping with EFSA’s tasks and consequently no restriction was applied.

Table 60: Overview of dossiers submitted under Article 16 of the Staff Regulations.

Reference year	Total number of cases	Of which to the private sector	Of which overlapping with EFSA’s tasks	Restrictions applied
2019	14	9*	0	0

*IT private firm, companies providing consultancies services, private firm specialised in the development and marketing of innovative medicines, private firms providing recruitment services, private firm providing workforce project management and consulting solutions, private Engineering and Validation services company.

8. Awareness raising and training

EFSA attaches great importance to the need of establishing a corporate culture aware of the importance of ethics and integrity matters, and to the fact that the Authority comes across as a workplace intolerant of situations conducive to conflicts of interest.

Against this background, in 2019, two training sessions were delivered to EFSA staff in order to keep raising awareness about the key features of the Decision on Competing Interest Management. Furthermore, individual awareness sessions were delivered to each scientific panel. E-training sessions were also made available both to experts and staff members, including an e-learning module on “Conflicts of Interest” framed in a wider set of modules aimed at addressing issues related to “ethics @ work” for EFSA statutory staff (see table 3).

⁹⁵ Regulation (EU) 2018/1725 of the European Parliament and of the Council of 23 October 2018 on the protection of natural persons with regard to the processing of personal data by the Union institutions, bodies, offices and agencies and on the free movement of such data, and repealing Regulation (EC) No 45/2001 and Decision No 1247/2002/EC, OJ L 295, 21.11.2018, p. 39–98.



Table 61: Training activities

Training activities	
Sessions for scientific panels	11
Sessions for DoI assessors	1
Session for EFSA procurement team in the Finance unit	1
E-training sessions	2

9. IT developments

In 2019, EFSA kept improving the component of its IT solution permitting the automated processing of DoIs of staff members, members of its Management Board and experts, thereby ensuring the sustainability of the DoI tool operated by EFSA and improving its availability and efficacy. The tool relies on a proprietary interface combined with a commercial off-the-shelf software.

In the reference period, EFSA also finalised the proof of concept of the so-called “complete solution”, aimed at replacing the legacy part of the current IT solution in line with the criteria set out in the EFSA IT strategy. The implementation of the complete solution has been outsourced on the basis of a common platform provided by the Oracle Corporation.

10. Transparency

Building on already highly transparent standards, in 2019 EFSA continued making independence-related processes accessible to citizens and interested parties.

In accordance with EFSA’s Policy on Independence adopted by its Management Board in June 2017, in Q3 2019, EFSA updated and made publicly available on its website the list of “public institutions”⁹⁶. This list is instrumental in the screening of DoIs submitted by concerned individuals, in accordance with EFSA’s Policy on independence and its Decision on Competing Interest Management. In general terms, the inclusion of an entity in this list certifies that the institutional activities performed by its employees in the public interest do not create a risk of conflict with EFSA’s interest.

The list is regularly updated by EFSA with new entries based on the DoIs it receives, and the inclusion of an entity presupposes compliance with the criteria set out in Article 2(1), point “m” of the Decision on Competing Interest Management. In 2019, 360 organisations have been classified by EFSA.

In line with its Policy on Independence, in 2019 EFSA kept publishing on its website the DoIs of the members of its operational management team, comprising EFSA’s Heads of Departments as well as Heads of Unit⁹⁷.

Finally, EFSA’s Management Board discussed in March 2019 an external report assessing the feasibility of publishing individual decisions taken by the Authority in the context of the screening of ADoIs submitted by scientific experts. The Management Board decided

⁹⁶ The list is publicly available on EFSA’s website at this address: <https://www.efsa.europa.eu/en/howwework/independentscience>.

⁹⁷ The DoIs of the Heads of units and of the Heads of departments are publicly available at this address: <https://www.efsa.europa.eu/en/people/operationalmanagement>.



not to make these individual acts publicly available as they were deemed not fit for purpose.

11. Engagement

In 2019, EFSA kept participating to the interagency task force managed by the European Commission's DG SANTE, comprising also representatives of the European Chemicals Agency, European Medicines Agency, Community Plant Variety Office and European Centre for Disease Prevention and Control. This forum is instrumental in optimising the use of resources deployed by these actors to prevent competing interests, as well as benchmarking and identifying best practices.

Moreover, in the spirit of interagency cooperation, EFSA's Head of Legal and Assurance Services served as alternate Chair of the European Chemical's Agency Independence Advisory Committee.

In the reporting period, EFSA also provided constant support to internal and external stakeholders. In 2019, EFSA also engaged 22 times with members of the European Parliament, citizens, media professionals and external parties inquiring about EFSA's independence policy and competing interest management practices by providing the requested clarifications or support.

12. Conclusions

In the reference year, EFSA devoted its investments in this sector to the further implementation and improvement of its Policy on Independence. To deliver the activities described in the previous paragraphs, EFSA invested a total of 3.03 full-time equivalents and EUR 196,158.08

A comparable level of investment is expected to continue in 2020 with ongoing work on competing interest management for staff members, investigation of a complete IT solution as well as transparency.

Furthermore, margins for improvement identified in terms of implementation and compliance in the context of the *ex-ante* and *ex-post* controls are to be addressed in a manner adequate to the risk they represent.

Out of 3.670 DoIs screened by EFSA in the context of the *ex-ante* controls, 37 cases of conflicts of interest were identified and prevented. The *ex post* controls resulted in eight findings, and none consisted in a non-compliance requiring the adoption of remedial measures. (see table 4)

The qualitative analysis of the detailed findings of these operations supports the efficacy of the regulatory system currently in place and improvements in the awareness-raising and IT sectors.



Table 62: Overview of 2019 facts and figures on independence

Ex Ante Control								Ex Post Control	Awareness-raising	Resources	
No of ADoIs screened	No of conflicts of interest prevented	No of waivers granted	No of Hearing experts	DoIs screened for tenderers and participants in grant-awarding procedures	No of Staff ADoIs screened	No of staff members leaving EFSA	No of organisations classified	Non-compliance findings and actions	No of training activities	M€	FTEs
Experts: 2,976 Management Board members: 17 Total: 2.993 ADoIs	31: ADoIs	16	319	59: Institutional DoIs 179: Individual DoIs 5: conflict of interest prevented	393: statutory staff 1: conflict of interest prevented 46: candidate staff 0: conflict of interest prevented	Total: 14 Private sector: 9* Restrictions:0	360	8 non-compliances; none which leading to a conflict of interest 1 sanction	2: e-training tool for experts 1: session for DoI assessors 1: session for EFSA procurement team in the Finance unit 11 sessions for Scientific Committee and Panels	0.2	3.03

* IT private firm, companies providing consultancies services, private firm specialised in the development and marketing of innovative medicines, private firms providing recruitment services, private firm providing workforce project management and consulting solutions, private Engineering and Validation services company.