



EFSA Performance Report P3

Third Reporting period 2019

January – October 2019



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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 95%
Not Achieved	■	Actual/Target less than 75%
N/A	■	Data not available for this period



Introduction

This document is the third Performance Report of EFSA for 2019 and is designed to include information in all aspects of the EFSA performance measured during the respective period of reporting against the multiannual work programme as presented in the Programming Document 2019-2021 adopted in December 2018. EFSA's Performance Indicators are set in the Programming Document 2017-2019 are structured in three levels:

- Intermediate impact (result) indicators measure EFSA's performance to achieve its strategic objectives in the long term from all related activities in a strategic area. Because of their nature most of these indicators are measured in annual or multiannual basis.
- Outcome (result) indicators measure the result of several activities towards achieving partially a strategic objective in the midterm. These indicators are measured less frequently, and information on these is included in the report only if the frequency of measurement is relevant to the quarter.
- Output indicators are the annual work programme indicators directly linked to the outputs of specific activities in a strategic area (processes or process improvement initiatives or projects) during the year.

The performance report contains data and analyses per strategic objective related to:

- The performance of EFSA towards the results expected per strategic objective. This is measured through the intermediate impact indicators, outcome indicators and output indicators that were included in the results-based approach model implemented in EFSA as of 2017;
- The progress of the work programme execution at outputs level and any variance observed representing a deviation to the initial plan;
- The current status of the projects based on relevant data such as time, costs, quality and risks parameters including how they do contribute to the achievement of the expected results;
- The forecast for the execution of the various aspects of the work programme by the end of the year;
- The comparison, whenever possible, with the performance of the same period in the previous year in order to provide elements for reflection on trends and inform discussion on future activities.

The structure given to the Performance Report follows the one of the EFSA Annual Activity Report. It is split in three sections: Work programme achievements (I), Management of resources (II) and Assurance (III), which is included only in the P2 report available in October and in the Annual Activity Report published in March of the subsequent year. The addressees of the Performance report are the EFSA Governance bodies, namely the Management Team and the Management Board, and the managerial community of EFSA.

The report is released three times per year, following the respective reporting periods in alignment with the Management Board meetings:

- Performance Report P1, analysing data as of end of April
- Performance Report P2: analysing data as of end of August
- Performance Report P3: analysing data as of end of October

The last two months of the year are included in the Annual Activity Report presented to the Management Board in March of the subsequent year.



The present Performance Report summarises the progress achieved in the 3rd reporting period (P3), measured through the performance indicators (cumulative numbers for the period January-October 2019) and compared to the annual targets set in the EFSA Programming Document 2019-2021 and the targets for the reporting period).



Performance at a glance

Overview

The overall performance for this reporting period is satisfactory, with most of the indicators measured in the period reaching their targets, as showed in Figure 1.

A general overview on the performance of EFSA's corporate indicators in P3 2019 showed that out of a total of 85 indicators considered relevant for this reporting period, 72 are either on track or better. 13 indicators register deviations from their period targets, with only three registering a 'relevant deviation' (the red areas in figure 1), and 10 registering a "moderate deviation" (yellow areas).

These results are slightly better compared to the previous reporting period, when there were five "relevant deviations" and seven "moderate deviations".

Additional 45 indicators were not measured in this reporting period, either because their first measurement is still pending (12) or because the measurement does not occur on a quarterly basis (33), whilst 14 were deleted from the original set of indicators designed in the Strategic Document 2016.

Comparing the results achieved in this period with the ones registered in P2 2019 and in P3 2018, it emerged that the percentage of indicators that met or exceeded their target (the green areas in Figure 1) is rather consistent period-on-period (85% vs 86%) but that has increased year-on-year (85% vs 69%), with the performances registered by the Outcome indicators being one of the main reasons for this increase.

At Strategic Objective level, as an upward trend is observed for SO1 for what concerns the percentage of indicators reaching or surpassing their targets (86.2% in P2 2019, slightly better compared to P2 2019 and to P3 2018). Moreover, impact indicators registered results in line with their targets. The remaining SOs, instead, registered overall slight decreases period-on-period but also showed a marked increase compared to the situation registered one year ago.

Looking deeper at the results achieved in this period, it emerged that most indicators that were on track during the P2 2019 showed results consistent with the plan also in P3 2019.

Three indicators registered a drop from the "on track" area, one being related to international cooperation (SO3) and two to budget commitment (SO5). These deviations are expected to be fully absorbed before the year ends.

Indicators that instead recovered from the deviation registered in P2 2019 and have instead registered a performance in line with their targets in P3 2019 are the timeliness of adoption in SO4, and the payment execution of differentiated and grants & procurement credits (SO5).

More details on each indicator and on the nature of their deviations can be found in the paragraphs below⁽¹⁾, as well as in the sections dedicated to EFSA's 5 Strategic Objectives.

⁽¹⁾ The three bar charts below are showing the EFSA's progresses towards reaching the goals set in its current Strategy. For transparency reasons, also the indicators that were not measured in the Period 3 (either because the measurement is carried out on an annual basis or because the indicator is yet to be defined) were reported, and indicated with the grey bars. When applicable, the most recent figure (with the year of measurement in bracket) was reported in the tables in Section I.

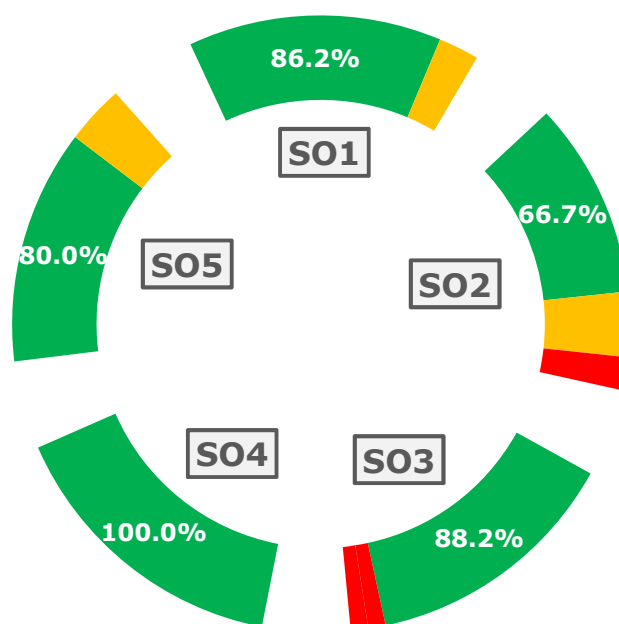


Figure 1. EFSA performance per strategic objective in P3 (January – October 2019)

Output indicators

The set of indicators that are measuring the outputs of EFSA's business-as-usual activities is almost complete (out of 37 indicators employed, 36 were measured in P3, and the remaining one was not applicable in this period, as can be seen in Figure 1). The overall performance of these indicators is consistent with the one registered in P2 2019 but has improved when compared to the results registered in P3 2018. Moreover, the majority of the deviations are minor and not worrisome. More in details, in SO1, moderate deviations were registered in the timeliness of adoption of EFSA's scientific outputs, both in the area of General Risk Assessment and in the area of Regulated Products; while an improvement has been observed in the former, it is not the case for the latter. These trends were already present in P2 2019. For what concerns the Regulated Products, areas of feed and pesticides still experience high workload and the recent/ongoing efficiency initiatives are yet to bear the expected results.

In the area of engagement of stakeholders, the satisfaction rate expressed by EFSA's registered stakeholders, is now improved, absorbing the relevant deviation emerged in P1 2019.

Only one deviation is reported in SO2, i.e. in the timeliness of adoption of EFSA's outputs, nevertheless which is being carried on since the first reporting period and not considered alarming (calculation is affected by the small number of outputs in the area). The situation remains identical to the one reported during the previous period.

A moderate deviation was registered in the timeliness of adoption in SO4, because 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.

Lastly, moderate deviations were registered in the amount of non-differentiated credits and grants & procurement budget committed (SO5) by the end of October. These deviations are being closely followed to ensure a proper budget re-allocation, and more details on these indicators can be found in the sections dedicated to the specific Strategic Objective.

Summary of Output 2019 performance by SO

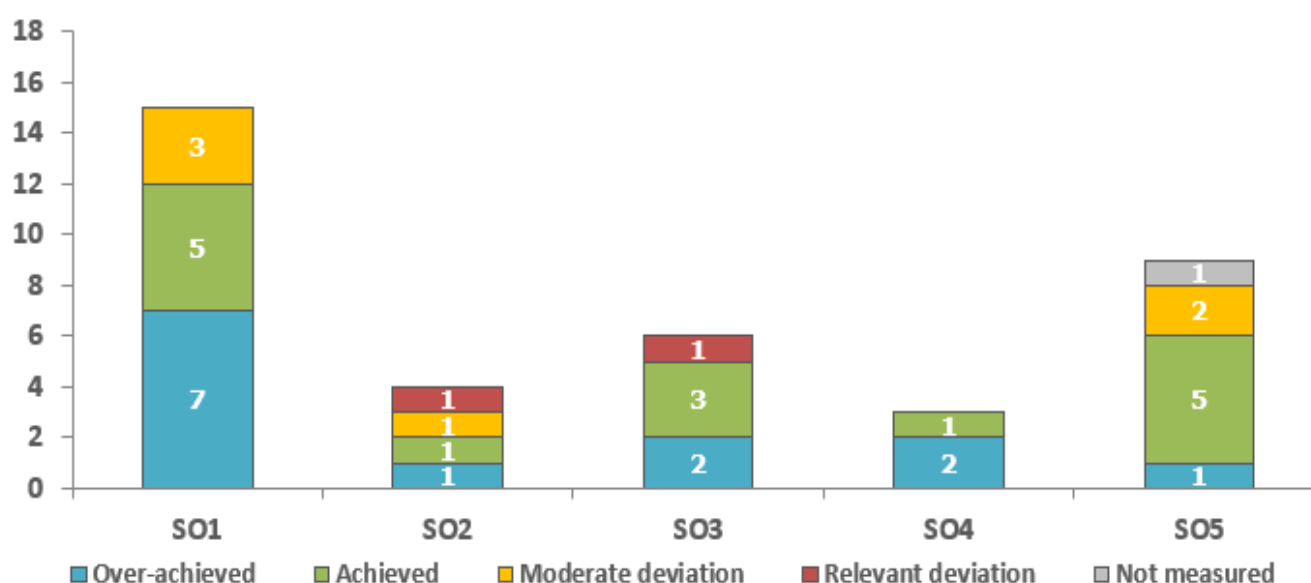


Figure 2. EFSA performance per strategic objective in P3 (January – October 2019): Output indicators

Outcome indicators

The Outcome KPIs measured in the period achieved positive results across all the five Strategic Objectives, with no deviation registered (see figure 3).

The two moderate deviations registered in P1 2019, which were registered in the area of Visibility (SO1) and connected with the social media traffic, were both absorbed in P2 2019, probably due to the boost in social interactions triggered by the communication campaign “EU and my food” that was launched at the end of April 2019. Data in P3 shows that the pace at which EFSA’s social media traffic grew in the past two months have slightly slowed down but still are above the target.



Summary of Outcome 2019 performance by SO

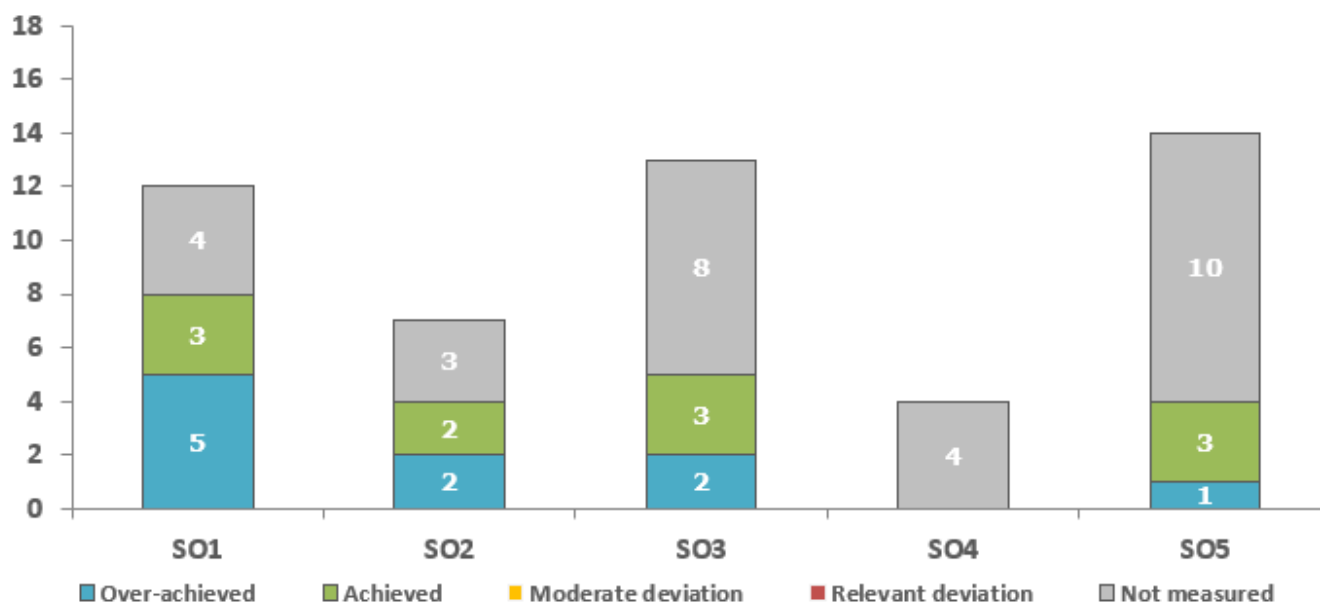


Figure 3. EFSA performance per strategic objective in P3 (January – October 2019): Outcome KPIs

Intermediary Impact indicators

Overall, the Intermediary Impact indicators (which are the KPIs that measure the extent to which EFSA is achieving the long-term objectives set in its Strategy) registered results in line with the targets set for the period (see figure 4).

The only relevant deviation is linked to the feedback that scientific experts gave to EFSA's efforts in the building and sharing of risk assessment capacity (SO3), which was below the target set, that came out from the Customer/Stakeholder feedback survey that was launched in April 2019. The next survey to evaluate this aspect is planned to be launched after the current Strategy ends but EFSA is analysing this feedback more in detail to identify improvement actions. Moreover, EFSA will explore the opportunities arising as part of the Transparency Regulation, which foresees specific resources and activities to strengthen this area.

Other two indicators that registered moderate deviations are connected with the Customer/Stakeholder satisfaction survey launched in April 2019, specifically in the areas of "communication material" and "data access and use", both of which showing a decrease when compared to the last survey, even if only by a few percentage points. Of higher relevance, the result in the area of "data access and use", which is still registering the lowest satisfaction rate across all SOs, and for which relevant efforts are ongoing and planned.

Finally, the meta-indicator on the overall performance of output indicators, which registered a relevant deviation in P2 2019, has slightly improved over the past two months and it is now in the yellow area (SO5). Its result is also better than what was registered in P3 2018.



Summary of Intermediary Impact 2019 performance by SO

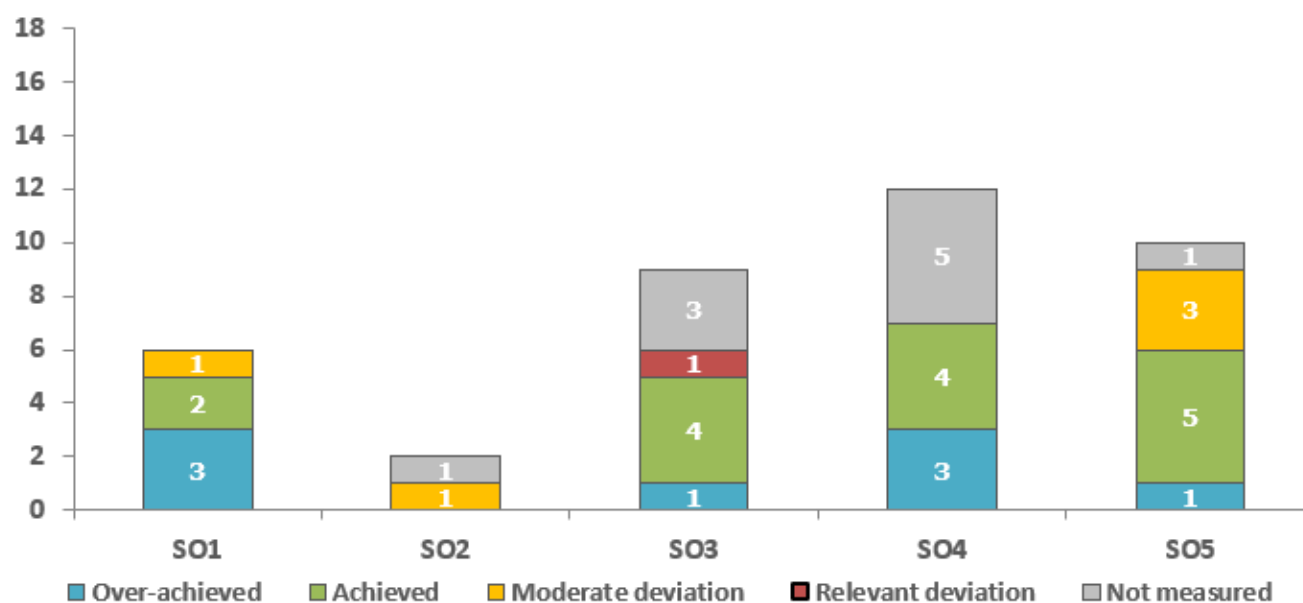


Figure 4. EFSA performance per strategic objective in P3 (January – October 2019): Intermediary Impact KPIs



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

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

Highlights

General risk assessment

Animal Health and Welfare

- African Swine fever

An update to the Scientific Opinion on ASF, considered improved and re-enforced communication on 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.

- Methodology on welfare during killing of animals for human consumption

Two opinions were published mid-November on welfare during the killing of animals for human consumption. A methodology was developed in order to provide a comprehensive overview on hazards that give rise to welfare issues during killing of animals. In addition, preventive and corrective measures are proposed to mitigate the hazards. The first opinion on poultry identified a number of hazards that give rise to welfare issues – such as stress, pain, thirst, hunger, or restricted movement. 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 on Animal Health (OIE) aimed at aligning approaches to animal welfare at slaughter.

Biological hazards

- Chronic wasting disease (CWD)

The BIOHAZ Panel and WG published an update on the Opinion on CWD, which reviewed the current state of knowledge with regard to CWD strains found in North America and Europe. It also reviewed new evidence on the zoonotic potential of CWD, concluding 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 experts were taken from North America, Italy, Norway, UK and France in drafting the update.

Food contact materials

In September EFSA 2019 the CEP Panel, with assistance from DATA unit and ECHA colleagues, adopted its updated risk assessment of five phthalates authorised for use in food contact materials (FCM),



namely DBP, BBP, DEHP, DINP and DIDP. Phthalates are used to increase the flexibility and other properties of plastic materials. Migration into food from plastic FCM, among other sources, can contribute to consumer exposure. Earlier in 2019, the draft opinion underwent public consultation, which resulted in approximately 450 contributions. It 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. Strife to provide fit-for-purpose and timely advice to risk managers was demonstrated in this task.

Regulated products evaluation

Pesticides

In November 2019 EFSA delegation provided a training to Member States on the application of the ECHA/EFSA guidance to identify Endocrine Disruptors. This workshop was organised in the framework of the European Commission training initiative “Better training for safer food”.

The discussed guidance developed by EFSA, ECHA and the JRC, was published in June 2018 and it is applicable to both biocides and pesticides. In this context, more than 70 participants joined the training session in which practical cases were combined with presentations given by EFSA and ECHA colleagues for increasing the understanding on the application of the guidance. The Guidance for the identification of endocrine disruptors in the context of Regulations (EU) No 528/2012 and (EC) No 1107/2009 aims to assist users in complying with their obligations under the Biocidal Products Regulation (BPR) or the Plant Protection Products Regulation (PPPR). Main objectives of this initiative was to engage with stakeholders and develop a unified EU training strategy ensuring and maintaining a high level of consumer protection, to improve and harmonise official controls in EU countries.

Food additives

The Panel on Food Additives and Flavourings (FAF) has developed two draft protocols, following the PROMETHEUS principles, detailing the approach and the methodology that will be followed for performing all the risk assessment steps, from hazard identification and characterisation to exposure assessment for its coming re-evaluation of sweeteners.

A public consultation on the methodology applicable to exposure assessment was launched in October, following the one on the protocol for hazard identification and characterisation which was closed in September. EFSA has invited the scientific community, stakeholders and other interested parties to provide feedback via the online submission tool on EFSA’s website by 22 November 2019. Given the complex nature of the subsequent evaluations and the potentially high public interest in this area of work, EFSA is holding a public scientific meeting to engage in discussion with all the stakeholders and other relevant parties that will take place in December 2019.

Stakeholders’ engagement and communication

Content production and dissemination

The inclusion of sodium and chloride into the Dietary Reference Values finder –[DRV finder](#)– increased the number of views of this data visualisation tool to over 40,000. Request by four MS to translate the tool means it is available in eight languages - resulting in 42% of views in non-English versions.



Performance indicators – State of play

Output indicators

Scientific Production

Overall, in the third reporting period of 2019, EFSA performed better than planned with regards to the number of scientific questions closed across the areas of General Risk Assessment and Regulated Products (554 closed vs 508 planned). This result is overall in line with the performances registered in the third reporting period of 2017 and of 2018 (questions closed were 534 and 564, respectively).

Scientific production - General Risk Assessment

In this area, EFSA closed 126 questions among scientific outputs and technical reports (see table 1), exceeding the target sets, mainly due to scientific questions closed in the plant health area. This is mainly due to inconsistencies in the planning. It is to be noted however that EFSA expects to be in line or slightly below the set target for general risk assessment by year end, since the first dossiers for commodity risk assessment of high-risk plants have been received only in the second half of 2019, and it is expected that only 2 opinions in this remit will be finalised by year end.

Timeliness of adoption of questions closed for scientific outputs is still lower than the 100% target, but has constantly improved compared to the first and second reporting periods (88.1% and 91.6% respectively) because of an overall good timeliness of questions closed in the second and third reporting periods. Similar to the 1st performance report, the production of "other publications" is slightly above the target.

The production of scientific work (questions closed) per unit and type of output is summarised in the Annex IV. Details of the work produced per food sector area in general risk assessment are shown in table 2.

Table 1: Activity and outputs indicators for SO1 – General risk assessment

ACTIVITY - OUTPUT INDICATORS					
General risk assessment					
Indicator	Target 2019	Target P3 2019	Executed P3 2019	Status P3	% Target 2019
Number of questions delivered for scientific outputs and technical reports	192	105	119	■	61.9%
Proportion of scientific/technical questions adopted within deadline	100%	100%	93.1%	■	N/A
Number of questions delivered for 'other publications' ² (external reports, event reports)	11	5	7 ⁽³⁾	■	54.5%

Table 2: Questions closed per Food sector area – General Risk Assessment

SO1 - General risk assessment			
EFSA Unit	Total per Unit	Food/feed sector area	Questions closed
Animal and plant health	83	Animal Diseases	7
		Animal welfare	2

² According to definitions of EFSA outputs <http://www.efsa.europa.eu/en/efsajournal/scdocdefinitions>



SO1 - General risk assessment			
EFSA Unit	Total per Unit	Food/feed sector area	Questions closed
		Plant Health	74
Assessment and methodological support	1	Data collection and analysis	1
Biological hazards and contaminants	20	AMR	2
		BIOCONTAM - Other areas	6
		Contaminants in Food	4
		Contaminants in food and feed	1
		Data collection and analysis	1
		Foodborne outbreaks	2
		Foodborne zoonosis	1
		Micro-organisms	1
		TSE	2
Evidence management	8	Contaminants in Feed	1
		EFSA Guidance documents	7
FEED	1	Feed additives - others	1
Food Ingredients and Packaging	4	Food additives	4
GMO	3	GMO generic	3
Nutrition	6	Dietary reference values	4
		Food for specific groups	2

Scientific Production - Regulated products evaluation

In this area (table 3) the production of scientific outputs, technical reports and other publications is exceeding the target for the third reporting period, a result which is in line with the previous reporting periods during the year. This is mainly due to anticipated finalisation of flavourings and food additives re-evaluations questions, which were planned to be closed later in the year or in 2020, and to an increased adoption rate due to efficiency gains in the feed additives area. In addition to this, more than planned questions for food contact materials were closed. The higher execution in these areas compensates for under execution in other areas, i.e. due to withdrawals of applications which were already in a quite advanced state (i.e. for MRL Art. 10), and dossiers which are currently at different stages of discussion and will probably not be closed by year end (for the approval of active substances). As a result it is likely that the overall number of questions closed by year end will be in line with or slightly above the set target for 2019.

The timeliness for regulated products is registering a further small drop compared to the second reporting period, the main delays still occurring in the feed additives and pesticides areas. Backlogs, workload and resources issues are still affecting EFSA's performance in these areas, despite the efficiencies put in place by EFSA, in particular in the feed additives area. In this respect, it should be noted that the applications processed so far following the improved procedure have shown a significant reduction in the assessment time; however, positive results regarding the timeliness of adoption are



affected by the high volume of on-going work, including the significant backlog. Concerning the pesticides area, quite some MRL applications were received as merged assessment under the renewal process, and were therefore affected by the timeline of the peer review.

Regarding the number of questions closed as reasoned opinions for the MRL Art. 12 bulk evaluations, as already anticipated during the previous reporting period, EFSA expects to close more Art. 12 questions via statements and slightly less as reasoned opinions than initially planned (24 reasoned opinions instead of 27); following discussions also with DG SANTE, it is now agreed that the indicator as currently designed does not provide a clear insight of the work on the reduction of the MRL review bulk evaluation, and is therefore being revised in the EFSA Programming Documents 2020-2023. The results presented in Table 3 already reflect the change in the indicator, counting both opinions and statements together.

Table 3: Activity and output indicators for SO1 – Regulated products

ACTIVITY - OUTPUT INDICATORS					
Regulated products evaluation					
Indicator	Target 2019	Target P3 2019	Executed P3 2019	Status P3	% Target 2019
Number of questions delivered for scientific outputs and technical reports	525	396	425	■	81%
Proportion of scientific/technical questions adopted within deadline	90.0%	90.0%	82.6%	■	N/A
Number of questions delivered for 'other publications' ⁽⁴⁾ (external reports, event reports)	3	2	3	■	100%
Number of questions closed in bulk evaluation ⁵ in the Pesticide Residue Unit (Art. 12 only)	27	20	22 ⁶	■	81%

The production of scientific work (questions closed) per Unit and type of output is summarised in the Annex IV. Details of the work produced per food sector area are presented in table 4.

Table 4: Questions closed per Food sector area – Regulated products

SO1 - Regulated products			
EFSA UNIT	Total per Unit	Food/feed sector area	Questions closed
Applications Desk	3	Feed additives - others	1
		GMO generic	1
		Pesticides - Other areas	1
FEED	93	Feed additives - applications	93
Food Ingredients and Packaging	166	Enzymes	27
		Flavourings	68
		Food additives	44
		Food contact materials	27

⁴ According to definitions of EFSA outputs <http://www.efsa.europa.eu/en/efsajournal/scdocdefinitions>

⁵ As of 2019 the term backlog has been substituted by "bulk evaluation" according to the agreement with RM: "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".

⁶ 9 questions closed via reasoned opinion, 13 questions closed as statement of EFSA.



SO1 - Regulated products			
EFSA UNIT	Total per Unit	Food/feed sector area	Questions closed
GMO	19	GMO generic	5
		GMOs applications for renewal under Reg. 1829/2003 / Commission Implementing Regulation (EU) No 503/2013	5
		GMOs applications under Reg. 1829/2003	2
		GMOs applications under Reg. 1829/2003 / Commission Implementing Regulation (EU) No 503/2013	7
Nutrition	25	Health claims Art. 13/5	2
		Health claims Art. 14	1
		Notification on traditional foods from third countries	4
		Novel Foods application	18
Pesticide Peer Review	23	Pesticides - Other areas	2
		Pesticides peer review - basic substances	2
		Pesticides peer review - confirmatory data	6
		Pesticides peer review - new active substances	2
		Pesticides peer review - renewal of approval	7
		Pesticides peer review - review of approval	4
Pesticide Residues	99	Pesticide MRL	1
		Pesticides MRL Application (Reg. 396/2005 - Art. 10)	37
		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)	23
Total questions closed in regulated products			428

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 evaluations, are not part of this backlog. For these cases, called "bulk evaluations", a work plan is agreed or pends agreement with the risk managers.

EFSA does not report on specific indicators with regards to backlogs and bulk evaluations other than MRL Art. 12, but details on the monitoring of the actual backlog numbers and the reduction per food sector area during the reporting period are presented in table 5, while current status of bulk evaluations is included in table 6.



Table 5: Regulated products - Backlog reduction⁷

Regulated products area	# in P1	# in P2	# in P3
FEED	53	47	46
– Feed additives – applications	53	47	46
GMO	4	2	1
– GMO - miscellaneous	4	2	1
PRES	30	22	22
– Pesticides MRL Application (Reg. 396/2005 - Art. 10)	30	22	22
PREV	2	0	0
– Pesticides – miscellaneous	2	0	0

Table 6: Regulated products - Bulk evaluation

Status	Regulated products area	# in P1	# in P2	# in P3
Deadlines agreed with Risk Manager	FIP	543	498	422
	– Flavourings ⁸	148	110	48
	– Enzymes ⁹	256	253	246
	– Food additives – re-evaluation	139	135	128
	PRES	146	140	138
	– Pesticides MRL Review (Reg. 396/2005 - Art. 12) - ex backlog	146	140	138
Pending Risk Manager decision	NUTRI	1548	1548	1548
	– Health Claims (Art.13.2) - botanicals	1548	1548	1548

Engagement and communication

In the area of engagement with its stakeholders, EFSA's activities are in line with the targets set; also the indicator measuring the percentage of positive feedback from registered stakeholders, which was below target in the previous reporting periods, is registering a significant improvement, since an additional event survey has been carried out showing excellent results (93% satisfaction); the year-to-date result has therefore also largely improved and the 90% target is almost met. It should also be noted that the current approach for measuring feedback in this area is under discussion, and a new approach should be envisioned by end 2019.

The number of service catalogue activities with applicants¹⁰ (meetings, webinars, info sessions etc.), which gives an insight of the performance of EFSA in terms of improved relationship with its applicants, has further increased compared to the previous reporting periods and exceeds the target with 26 meetings organised in this reporting period only.

⁷ The volume of the backlog at the beginning of year N is greater than the backlog at the end of year N-1 as "new" late questions are added in year N to the residual of the year N-1.

⁸ 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.

⁹ The number takes into account the questions closed for food enzymes applications until P3, and 6 additional questions received as of start 2019.

¹⁰ [EFSA's Catalogue of support initiatives during the life-cycle of applications for regulated products.](#)



The positive feedback from applicants on the regulated products outputs is in line with the results of the previous reporting period; the response rate seems however to still be quite low, therefore an analysis will need to be performed at year end so to understand the reliability of the data and to take action accordingly.

In the area of communication of findings, the KPI on "Proportion of scientific outputs delivered within 28 working days of adoption", which measures the timeliness of publication of EFSA's scientific outputs in the EFSA Journal is registering a small drop compared to the previous reporting periods of the year, but is still largely above the set target, confirming again the robustness of the process after the implementation of improvement measures.

Table 7: Activity and outputs indicators for SO1 – Engagement and Communication

ACTIVITY - OUTPUT INDICATORS					
Engagement and Communication					
Indicator	Target 2019	Target P3 2019	Executed P3 2019	Status P3	% Target 2019
Proportion of scientific outputs delivered within 28 working days of adoption (%)	80%	80%	90%	■	N/A
Number of (i) media and (ii) stakeholder enquiries addressed within agreed deadlines	95%	95%	97.5%	■	N/A
Number of public consultations on EFSA outputs	15	12	12	■	80%
Percentage of positive feedback from engagement activities carried out with registered stakeholders	90%	90%	85%	■	N/A
Total number of registered stakeholders ¹¹	120	117	124	■	103%
Number of service catalogue activities with applicants (meetings, webinars, info sessions etc.)	75	64	96	■	89%
Percentage of positive feedback on regulated products opinions from applicants	54%	54%	63%	■	N/A

Outcome and Intermediate impact indicators

A detailed look at the measured performance indicators shows an overall solid performance. The status of the ongoing projects under this strategic objective and their contribution to the strategic expected results is presented in Annex III.

Performance above the targets set is registered for the outcome indicators (table 8) measuring the enhanced outreach of communication: the "social media effectiveness index", and the "traffic to the EFSA website". These results are mainly due to the #euandmyfood campaign launched earlier this year which prompted higher than average increases in all areas (views, followers and engagement), confirming the positive trend observed in the previous reporting periods. In addition, improvements implemented already in 2018 boosted the visibility of the website on search engines which result to the high increase observed in the indicator "traffic to the EFSA website".

¹¹ Targets and actuals are cumulative across the years



The indicators that measure the impact, visibility and discoverability of EFSA's scientific outputs also registered results higher than the targets set in 2018.

Table 8: Outcome indicators for SO1

KPI	Indicator	Baseline	Target 2019	Target P3 2019	Executed P3 2019	Status P3
Outcome: Enhanced outreach of communication						
Social media effectiveness	Increase followers from social media platforms	40,742 (2016) ¹²	95,822	93,427	111,694	■
	Social interactions	14,881 (2016) ¹³	68,708	58,402	62,670	■
	Traffic to EFSA web content from social media	63,464 (2016) ¹⁴	69,262	58,873	59,063	■
Traffic to EFSA's web content (web metrics): number of sessions		3,184,611 (2016)	3,795,559	3,226,225	4,511,791	■
Number of subscribers to online subscription products (newsletter and alerts)		33,934 (2016)	34,409	34,358	33,655	■
Impact, visibility and discoverability of EFSA's scientific outputs ¹⁵	access	3,162,974 (2018)	3,321,123	2,822,955	2,938,675	■
	downloads	2,306,925 (2018)	2,422,271	2,058,930	2,200,000	■
	citations	18,347 (2018)	19,264	16,374	N/A	■
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	N/A	2,219 (2018)	■
	Survey feedback from SEA-registered members on the effectiveness of EFSA's stakeholder engagement activities	N/A ¹⁷	Positive outcome in 2019	N/A	N/A	■

¹² Execution for 2018 was 79,852; the incremental target for 2019 is based on last year's execution.

¹³ Execution for 2018 was 59,747; the incremental target for 2019 is based on last year's execution.

¹⁴ Execution for 2018 was 67,904; the incremental target for 2019 is based on last year's execution.

¹⁵ Linked to the WILEY Report for EFSA Journal.

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 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.



KPI	Indicator	Baseline	Target 2019	Target P3 2019	Executed P3 2019	Status P3
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 ¹⁸	N/A	N/A	N/A	N/A	■
	Proportion of EFSA's scientific outputs ¹⁹ providing direct access (links) to datasets and metadata	11.8% ²⁰ (2018)	25%	N/A	N/A	■

Regarding the intermediate impact indicators, (table 9) EFSA launched its regular customer/stakeholders feedback surveys at the end of April 2019. The results available showed how the perception of EFSA's stakeholders on the Authority's scientific outputs and the scientific Risk Assessment process was positive (all the three indicators scored satisfaction rates higher than 70%) and in line with the targets set.

The survey provided also an indication of the satisfaction on EFSA's communication materials, which was below the results achieved in 2017. Deeper analysis show that this drop can be explained by the fact that the questions' pool slightly changed survey-on-survey (with some items that registered high satisfaction rates having been removed from the survey). Moreover, in the 2019 survey the EFSA staff (invited to participate to the 2017 survey and scoring a high satisfaction rate) was not included.

Finally, the satisfaction in relation to EFSA Journal as already mentioned in P2 is exceeding expectations, as 98% of respondents declared they were very satisfied, satisfied or reasonably satisfied, and it is coherent with the indications coming from the Customer/Stakeholder feedback survey, where the EFSA Journal scored satisfaction rates higher than 90% in the dimensions of awareness, usage, and usability.

In the area of visibility, the impact of EFSA's coverage in the media can be considered overall positive as the measured index falls within the "neutral zone" according to the measurement methodology (score 15)²¹.

¹⁸ The measurement of this indicator will be possible with the delivery of the MATRIX solution

¹⁹ Scientific outputs published in EFSA Journal. The measurement will be done through Knowledge Junction unique uploaded dois (digital object identifiers).

²⁰ 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.

²¹ The measurement refers to a range -100 to +100 within which, the zone +6 to +25 is considered "area of no concern" (green), from 0 to +5 "area of moderate concern" (orange) and -1 to -100 "area of high concern" (red). For clarity the target will be updated here and in the draft PD 2020-2022 to reflect the target range.



Table 9: Intermediate impact indicators for SO1

KPI	Indicator	Baseline	Target 2019	Target P3 2019	Executed P3 2019	Status P3
Intermediary impact: Increased satisfaction of stakeholders regarding EFSA's scientific outputs (for EC/MS risk managers and stakeholders) and the scientific assessment process and communication tools and material						
Satisfaction via feedback surveys: positive and relative qualitative improvement (with regards to follow-up actions)	Risk managers (EC/MS)	81.6% (2017)	≥80%	80%	86.6%	■
	Stakeholders	74.7% (2017)	≥70%	70%	78.1%	■
	Applicants	78.3% (2017)	≥78%	78%	78.6%	■
User satisfaction rating of communication tools and materials	EFSA Journal ²²	85% (2016)	80%	80%	98%	■
	Other communication products	76.9% (2017)	≥80%	80%	73.6%	■
Impact of media coverage ²³ (EFSA's coverage in the media, including the favourability of articles)		18 (2017) ²⁴	5-25	5-25	15	■

²² Measured through the annual EFSA Journal survey

²³ See highlight on *Xylella Fastidiosa* in strategic objective 1 as example.

²⁴ The measurement refers to a range -100 to +100 within which, the zone +6 to +25 is considered "area of no concern" (green), from 0 to +5 "area of moderate concern" (orange) and -1 to -100 "area of high concern" (red). For clarity the target is updated here and in the draft PD 2020-2022 to reflect the target range.



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

Highlights

Scientific literature and data reports

Dietary surveys

Within the frame of EFSA's EU Menu project (2011-2023) - 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.

Information management programme

- Matrix

The Matrix project has been rescoped to accommodate the Transparency Regulation requirements and a new 'MATRIX Project Governance' has been established to focus on delivering the Transparency Regulation "must-do" processes and information systems by March 2021.

- DATA DoI and Open SCAIE

The OpenSCAIE and DATA DOI platforms have created an interface between EFSA and the European Open Data Portal allowing the automatic publication of metadata from EFSA collected data into the European open data platform.

Performance indicators – State of play

Output indicators

Overall the performance is satisfactory as described below. Indicators available to monitor performance in this area are presented in tables 10-12 and a summary status report for the key projects under strategic objective 2 is presented in Annex III. The production of scientific work (questions closed) per unit and type of output is summarised in the Annex IV.

The number of questions closed through scientific outputs and technical reports is above both the period and the annual target; in addition to a technical report linked to the DATA DOI project, planned to be closed by end 2018 but finalised with a few days delay in January 2019, more questions have been closed with the delivery of the "Interpreting and checking tool" and the "Catalogue browser user guide" for FoodEx2⁽²⁵⁾, which were not included in the initial plan. The timeliness of adoption, though still affected by the late adoption of the DATA DOI report in January, has largely improved since all technical reports closed in the third reporting period were finalised by the given deadline. Finally, the number of new tools is on track.

²⁵ 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>.



Table 10: Activity and output indicators for SO2

ACTIVITY - OUTPUT INDICATORS					
Indicator	Target 2019	Target P3 2019	Executed P3 2019	Status P3	% Target 2019
Number of questions delivered for scientific outputs and technical reports	2	2	5	■	250%
Proportion of scientific/technical questions adopted within deadline	100%	100%	80%	■	N/A
Number of questions delivered for 'other publications' (external reports, event reports)	10	3	2	■	20%
Number of new tools ²⁶	4	3	3 ²⁷	■	75%

Outcome and Intermediate impact indicators

A detailed look at the measured result indicators shows an overall solid performance.

Regarding the outcome indicators for SO2, no changes are observed in the measurements contributing to the data accessibility index, when compared to the previous reporting period; both indicators are still in line or above the target. The measurement for the user statistics from the data warehouse shows constant increase, in line with the previous reporting periods and with the expected year end result. Regarding this latest indicator, it is worth noting that the results coming from the Customer/Stakeholder feedback survey (launched in April 2019) showed a considerable increase (+10%) of the awareness on this platform, thus backing the result coming from the indicator. It can also be noted that the indicator measuring the number of digital objects uploaded to the SCAIE/Knowledge Junction repository, also contributing to a wider data coverage, is still performing above the target, which can be seen in connection to the promotion of the repository via social media.

In the area of evidence management the work on the definition of the remaining KPIs will continue, with the indicator on "Data quality" expected to be measured at the end of the year, and the one on "Increased maturity data interoperability" to provide its first measurement in the coming months.

The indicator on "*Share of regulated product areas covered by structured data*" is linked to the Matrix project, which has been recently re-scoped, hence the measurement has been postponed.

Table 11: Outcome indicators for SO2

KPI	Indicator	Baseline	Target 2019	Target P3 2019	Executed P3 2019	Status P3
Outcome: Improved access to data						
Data accessibility index	Number of publicly accessible data collections published without data aggregation from EFSA	1 (2016)	8	3	3	■
	Number of data collection dashboards/aggregates published	11 (2017)	19	19	25	■

²⁶ The new indicator 'Number of new tools' replaces the two former 'Number of enhancements to operational data collections' and 'Number of new data collections implemented'.

²⁷ RACE; Avian influenza; SSD2.



KPI	Indicator	Baseline	Target 2019	Target P3 2019	Executed P3 2019	Status P3
Outcome: Wider data coverage						
	User statistics from the data warehouse	421 (2017)	749	700	711	■
	Number of digital objects uploaded to the EFSA open repository (Open SCAIE/Knowledge Junction) ²⁸	500 (2017)	250	188	224	■
Outcome: Increased standardisation and interoperability of data						
	Share of regulated product areas covered by structured data	TBD	TBD	N/A	N/A	■
	Increased maturity data interoperability - EIF/IMM index ²⁹	TBD in 2019 ³⁰	TBD	N/A	N/A	■
Outcome: Improved quality of data						
	Data quality ³¹	46% (2018)	TBD	N/A	N/A	■

For what concerns the intermediate impact indicators (table 12), the indicator on “Satisfaction via feedback surveys on EFSA’s evidence management services and fostered innovative reuse of data” gathered through the Customer/Stakeholder feedback survey was slightly below the result registered in 2017 (54.5% vs 57.8%). A more in-depth analysis showed that the satisfaction rate in this area was affected by a high (20% on average) portion of respondents that were not familiar with the topic(s), a trend that was registered also two years ago. Concerning the data/evidence reused by stakeholders via citation/statistics, the measurement of the indicator remains to be defined in 2019.

Table 12: Intermediate impact indicators for SO2

KPI	Indicator	Baseline	Target 2019	Target P3 2019	Executed P3 2019	Status P3
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%	57.8%	54.8%	■
Use and reuse of EFSA’s accessible data and evidence	Data/evidence reused by stakeholders via citation/statistics ³²	TBD	N/A	N/A	N/A	■

²⁸ Number of uploaded and curated digital objects and their increase on a yearly basis

²⁹ European Interoperability framework for European public services/Interoperability maturity model

³⁰ The index was drafted based on the European interoperability framework (EIF) recommendations developed by the ISA2 programme (interoperability solutions for public administrations, businesses and citizens) and actual measurement of 2018 will be available by Q2-2019

³¹ 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.

³² Exploring for a common service provider (shared service approach) on bibliometrics to measure the impact of EFSA outputs/publications.



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

Highlights

Scientific capacity building

EFSA launched a new scheme of outsourcing targeted to individual experts, implemented via calls for expression of interest for scientific and technical support. The first such call was launched to establish a list of individuals with scientific expertise to assist EFSA in carrying out the preparatory work in the areas of novel foods and nutrient sources. This new outsourcing scheme will allow EFSA to tap into additional and flexible scientific expertise to execute specific tasks.

The call is open for 5 years and will also allow to compensate the lack of specific expertise at Panel and working group level in particular when facing high number of applications.

Strengthen capacity using innovative ways

The second of three workshops under the project of Joining Forces at EU Level on Implementation of AI was held on 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).

European cooperation and networking

The 37th meeting of the scientific network for zoonoses monitoring data, involving Member States representatives and the European Commission, took place on 21-22 October at EFSA. The main findings from the draft 2018 European Union Summary Report on Zoonoses and Food-borne outbreaks were shared as well as feedback from Member States and EFSA on the 2018 data reporting cycle with a view to continuous improvement of data reporting and compliance with reporting timelines. The draft revised terms of reference of the Scientific Network, which are due for renewal this year, were also discussed.

Performance indicators – State of play

Output indicators

Overall the performance is on track. Indicators available to monitor performance in this area are presented in tables 13-15 below and a summary status report for the key projects under strategic objective 3 is presented in Annex III. The production of scientific work (questions closed) per Unit and type of output is summarised in the Annex IV.

The number of questions closed for scientific outputs and technical reports is in line with the plan³³; regarding the other publications, additional questions were closed in the animal welfare area as a result of scientific networks activities and grant procedures, which were not included in the initial plan.

³³ Technical reports for GMO RA network and Nanotechnology network.



The indicators related to cooperation activities at EU and international level are overall meeting or exceeding the set targets, with the exception of “Number of cooperation agreements with international and non-EU country organisations”, because of a cooperation agreement which will be signed with a small delay by year end. The “Number of international cooperation activities (meetings, events, missions) (including pre-accession countries)” is again significantly exceeding the set target, due to the natural increase of such activities; this is being taken into account in order to set a more challenging target for 2020.

Table 13: Activity and output indicators for SO3

ACTIVITY - OUTPUT INDICATORS					
Indicator	Target 2019	Target P3 2019	Executed P3 2019	Status P3	% Target 2019
Number of questions delivered for scientific outputs and technical reports	6	2	2	■	33%
Number of questions delivered for ‘other publications’ (external reports, event reports)	3	2	6	■	100%
Proportion of scientific/technical questions adopted within deadline	100%	100%	100%	■	N/A
Number of MS cooperation activities (network meetings, national Focal Points’ events/workshops)	65	50	50	■	76.9%
Number of cooperation agreements with international and non-EU country organisations	2	2	1	■	50%
Number of international cooperation activities (meetings, events, missions) (including pre-accession countries)	30	28	40	■	133.3%

Outcome and Intermediate impact indicators

A detailed look at the measured result indicators shows an overall solid performance.

Building and sharing capacity at organisational level shows consistency with the plan when measured through the risk assessment agenda take-up index, with higher than target numbers in the Member States and partners participating respectively in joint projects and consortia, due to the consortia effect of partnering grants. The number of joint activities with international partners is on track for this reporting period.

For what concerns the indicators contributing to the monitoring of the “Research agenda take up index”, the number of research projects (EU and international) in which EFSA is participating (actively or passively) will be measured on an annual basis only, while the measurement of the number of research recommendations taken up in Member States, EU or international research programmes will be carried out for the first time at the end of 2019.

In the area of innovative approaches to risk assessment, the indicator will be defined in the context of the Innovation process that EFSA has set up the process is current on hold and it should run in ‘pilot mode’ in 2020.



The other indicator under definition, “*Number of research recommendations taken up in Member States, EU or international research programmes*” is expected to be ready in time with the next strategic cycle.

Table 14: Outcome indicators for SO3

KPI	Indicator	Baseline	Target 2019	Target P3 2019	Executed P3 2019	Status P3
Outcome: Building and sharing capacity within the risk assessment community at organisational level						
Risk assessment agenda take-up index ³⁴	Number of joint projects awarded in the reported period	21 (2017)	5	5	5	■
	Number of priority areas in the EU RAA covered	12 (2017)	2	4	4	■
	Number of Member States that have participated in joint projects	19 (2017)	8	7	16	■
	Number of partners (i.e. beneficiaries) participating in consortia	35 (2017)	11	10	19	■
	Number of projects non funded primarily by EFSA	0 (2017)	1	0	0	■
Number of joint activities (staff exchange, joint projects / workshops) with international partners under cooperation agreements ³⁵		5 (2016)	50	20	20	■
Research agenda take-up index	Number of research recommendations taken up in Member States, EU or international research programmes	TBD	TBD	N/A	N/A	■
	Number of research projects (EU and international) in which EFSA is participating (actively or passively)	1 (2017)	22	N/A	8 (2018)	■
Participation of MS organisations in EFSA’s work programme (science grants and procurement)	Application rate for EFSA’s open calls ³⁶	2.15 (2017)	>3	N/A	2.3 (2018)	■
	Number of Article 36 organisations applying for EFSA grants	84 (2017)	61 ³⁷	N/A	60 (2018)	■

³⁴ Baseline reflects the execution of 2017. The target is not an increase of 2017 baseline, but it is set according to plans.

³⁵ Activities under international scientific cooperation agreements not related to risk assessment agenda are reported under SO3 annual indicator “Number of international cooperation activities (meetings, events, missions)”.

³⁶ Average number of applications to be calculated in Q1 of year N+1

³⁷ As per Programming document: Target to be increased by 3% each year against basic value (actual previous year)



KPI	Indicator	Baseline	Target 2019	Target P3 2019	Executed P3 2019	Status P3
Outcome: Building and sharing capacity within the risk assessment community at individual level ³⁸						
Increased common expertise pool coverage and availability index	Number of TOTAL applicants for panel renewals	1,150 (2015)	N/A	N/A	1,079 (2017)	■
	Number of ELIGIBLE applicants for panel renewals	900 (2015)	N/A	N/A	985 (2017)	■
	Balance of applicants (total and eligible) for panel renewals, in terms of age, gender and geography	N/A	N/A	N/A	N/A	■
	Elapsed 'time to hire' for working group experts	N/A	N/A ³⁹	N/A	N/A	■
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 (moved at least one stage from non-explored to feasibility, piloting, guidance endorsed training provided, application in risk assessment)		0	TBD	N/A	N/A	■

For what concerns the intermediate impact indicators, (table 15) the current metrics that provide information on the efficiency of the risk assessment activities at EU and international level are meeting the targets for the third reporting period.

The results from the 2019 Customer/Stakeholders satisfaction survey on promoting the building and sharing of Risk Assessment capacity showed that representatives of Member States, EU, international, non-EU country organisations registered a satisfaction increase of about 15 percentage points, whilst EFSA's scientific experts registered a drop in satisfaction (-14%). These results deserve a closer look and additional analysis is being carried out.

Finally, the outreach of supporting publications on grants and procurements (external scientific reports), for which the baseline has been established in 2018, shows overall results in line (or better) to the plan.

Table 15: Intermediate impact indicators for SO3

KPI	Indicator	Baseline	Target 2019	Target P3 2019	Executed P3 2019	Status P3
Intermediary impact: Increased efficiency at European and international level						
Identification of potential incidents of duplication and	Number of MS active in sharing risk assessment plans	25 (2016)	25	25	26	■

³⁸ The indicators on the building and sharing capacity within the risk assessment community at individual level were not available during this period, as they are referring to EFSA's panels renewal that took place last year.

³⁹ Compliance measured against threshold defined in 2018.



KPI	Indicator	Baseline	Target 2019	Target P3 2019	Executed P3 2019	Status P3
divergence and resolution of issues when identified within EU (development and rollout of a database for sharing MS RA activities)	Potential duplication identified before an activity is started	Identified timely in 100% of cases	100%	100%	100%	■
	Potential divergence identified before the adoption of an opinion ⁴⁰	Identified timely in 100% of cases	100%	100%	100%	■
	Follow-up actions within 10 days of identification of potential duplication/divergence	100%	100%	100%	100%	■
Intermediary impact: Increased satisfaction of MS, EU, and international partners with regards 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)	Member States, EU, international, non-EU country organisations	56.9% (2017)	56.9%	56.9%	70.9%	■
	Individual experts	72.0% (2017)	72.0%	72.0%	58.8%	■
Outreach of supporting publications on grants and procurements	Number of page visits (visibility)	213,048 (2018)	223,700	190,145	N/A	■
	Number of downloads (usage)	201,251 (2018)	211,314	179,616	N/A	■
	Number of citations (impact) ⁴¹	2.47 (2018)	2.59	2.59	N/A	■

⁴⁰ In preparation for the next strategy cycle to elaborate on the methodology that would allow divergence identification before the adoption of a scientific output.

⁴¹ Average per article



4. Prepare for future risk assessment challenges

Highlights

Preparedness

- Update of EFSA's procedures for responding to urgent advice needs

The 2017 procedures were updated and approved in October as 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 establishing a general plan for crisis management in the field of safety of food and feed have been reflected in the update. It assures EFSA's continued crisis preparedness.

Methodology development

- 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.

- 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.

- 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's 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.

Performance indicators – State of play

Output indicators

Overall the performance is on track. Indicators available to monitor performance in this area are presented in tables 16-18 below. A summary status report for the key projects under strategic objective 4 is presented in Annex III. The production of scientific work (questions closed) per Unit and type of output is summarised in the Annex IV.

The questions closed for scientific outputs and technical reports have exceeded the target for the period and the overall 2019 targets, due to planning inconsistencies related to the technical reports in the animal health area. The same result for the period can be observed for the number of questions closed for “other publications”, since additional external reports have been finalised.

The timeliness of adoption is slightly below the set target but is registering a significant improvement compared to the previous reporting period and can now be considered on track, since all the questions closed during September and October were finalised on time.

Table 16: Activity and output indicators for SO4

ACTIVITY - OUTPUT INDICATORS					
Indicator	Target 2019	Target P3 2019	Executed P3 2019	Status P3	% Target 2019
Number of questions delivered for scientific outputs and technical reports	20	11	41	■	205%
Number of questions delivered for ‘other publications’ (external reports, event reports)	31	19	23	■	74.1%
Proportion of scientific/technical questions adopted within deadline	100%	100%	95%	■	N/A

Outcome and Intermediate impact indicators

A detailed look at the measured result indicators shows an overall good performance.

In terms of Key Performance Indicators (KPIs), only four out of 17 were measured in the period, hence the picture cannot be considered complete. Nevertheless, the information coming from the Risk Assessment Methodology Programme (RAMPRO) confirmed the good results achieved in terms of strengthening EFSA’s scientific preparedness and harmonisation: out of 32 projects active and monitored in the period, 15 did not report deviation from their current plans and further 15 projects registered deviations under control (mainly in terms of time and risks faced).

All the outcome indicators for SO4 have metrics that will be available by the end of year or are being defined and that will be measured during 2019.



Table 17: Outcome indicators for SO4

KPI	Indicator	Baseline	Target 2019	Target P3 2019	Executed P3 2019	Status P3
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	N/A	5 (2018)	■
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)	TBD ⁴²	TBD ⁴³	N/A	N/A	■
Outcome: Harmonisation of risk assessment methodologies						
	Increase in the use of cross-cutting guidance documents by EFSA Panels	TBD	TBD	N/A	N/A	■
	Use of 'compulsory' guidance documents by panels and working groups	TBD ⁴⁴	100%	N/A	N/A	■

For what concerns the intermediate impact indicators (table 18), the results emerging from the Customers/Stakeholders survey concluded in May 2019 revealed a general increase in the satisfaction for the SO4-related dimensions of Preparedness and Harmonisation, in particular for the area of harmonisation.

The statistics on the use of EFSA's guidance documents are showing results coherent with the plan and consistent with the ones registered in P1 and P2 2019.

The upward trend registered by the indicator measuring the number of registered users to the R4EU platform ("*Use of EFSA's tools*") is confirmed for P3 as well, even if at a slightly lower pace (+324 users in the first 4 months of the year, +374 users in P2 and +113 users in P3). The result is already well above the yearly target.

The remaining indicators are measured on an annual basis and they will be reported in the 2019 Annual Activity Report.

⁴² Software uploads statistics from the knowledge junction.

⁴³ Each year 10% increase compared to previous year.

⁴⁴ Compliance check on use of compulsory guidance.



Table 18: Intermediate impact indicators for SO4

KPI	Indicator	Baseline	Target 2019	Target P3 2019	Executed P3 2019	Status P3
Intermediary impact: Increased effectiveness of preparedness and response						
Preparedness with data, methods and expertise to address a risk assessment question when received and mutually agreed	% of questions for which data are readily available	79% (2018)	TBD	N/A	79% (2018)	■
	% of questions for which methods are readily available	88% (2018)	TBD	N/A	88% (2018)	■
	% of questions for which expertise is readily available	91% (2018)	TBD	N/A	91% (2018)	■
	% of questions (regular and urgent) delivered within the initially agreed timelines	94.3% (2018)	TBD	N/A	94.3% (2018)	■
Intermediary impact: Increased satisfaction of stakeholders with regards 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%	66.6%	78.8%	■
	Stakeholders (general)	66.3% (2017)	66.3%	66.3%	70.1%	■
	MS, EU, international, non-EU country organisations	69.9% (2017)	69.9%	69.9%	71.4%	■
Use of EFSA's guidance (access, downloads, citations)	Number of page visits (visibility)	362,409 (2018)	380,529	323,450	338,283	■
	Number of downloads (usage)	348,223 (2018)	365,634	310,789	310,598	■
	Number of citations (impact)	2.97 ⁴⁵ (2018)	3.12	3.12	3.13	■
Use of EFSA's methodologies (access, download, citations)		TBD	TBD	N/A	N/A	■
Use of EFSA's tools (statistical models) ⁴⁶		687 (2018)	756	745	1,498	■

Summary of follow-up actions

In the outcome area of "accessibility of EFSA methods and tools" and "harmonisation of risk assessment methodologies" work is ongoing to finalise the definition of the remaining KPIs before the end of the year. Integrating the use of EFSA cross/cutting and sectorial guidance documents into the Quality Management System will facilitate the measurement of the indicator on the "Use of 'compulsory' guidance documents by panels and working groups", and an update of the current

⁴⁵ Average per article

⁴⁶ Measuring the overall registered users in R4EU platform



documentation, foreseen to be concluded by the end of the year, is ongoing. The indicator on “*Increase in the use of cross-cutting guidance documents by EFSA Panels*”, instead, could be measured via the EFSA Journal and the methodology should be agreed before the end of the year.

Another indicator that is currently under definition is the one on the “*Use of EFSA’s methodologies*”, which is also expected to be finalised and to produce the first measurement before 2019 ends.

Moreover, taking onboard the feedback coming from the latest Customers/Stakeholders feedback survey, in the area of preparedness, EFSA is reviewing its process on urgent responses to improve reporting in RASFF to aid a more rapid response from EFSA.



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

Highlights

Defining the new strategy 2021-2027

Leveraging on the environment scan report published in the summer, work is on track for the first important milestone of the new strategy definition; i.e. preparing the draft strategic directions and reviewing EFSA's mission, vision and values, for the discussion with the Board in December. Led by EFSA's Management Team, and supported by a cross-functional team covering all EFSA Departments, the new strategy will be shaped also in close cooperation with its key partners; to this end, first consultations were launched with 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 evolving societal expectations and risk managers' needs efficiently.

Accountability, transparency, compliance and effective management

- Quality Management ISO certification

Since obtaining the initial ISO 9001:2015 certification in 2016, EFSA has undergone annual surveillance audits focusing on continuous improvement and verifying adherence to the standards prescribed. In October, EFSA underwent the recertification audit to confirm the effectiveness and conformity of the Quality Management System. Though the final audit report will be made available before the end of the year, no observations and no non-conformities were identified. The ISO 9001:2015 certification will therefore be reconfirmed. The added value of using the Quality Management System to support ongoing work related to the Transparency Regulation was positively remarked.

- Records Management Policy

The EFSA's Records Management policy was approved. It clarifies which documents (including e-mails) are to be considered records and aims to enhance EFSA's paperless approach. The new modalities will be implemented as of 2020 paving the way for EFSA's migration to the European Commission's Record Management System next year (ARES - Advanced REcords System). ARES will facilitate the implementation of the new rules and will make sure that EFSA complies with the obligatory historical archiving rules.

- European Court of Auditors review on Agencies business performance accountability of operations

As announced at the spring EU Agency Performance Development Network meeting, the European Court of Auditors (ECA) recently visited EFSA as part of a horizontal landscape review of the business performance accountability of all Agencies and EU Commission Directorates (DGs). The audit aims at assessing the effectiveness of performance monitoring mechanisms in place including reporting habits, external evaluation, stakeholder feedback and cooperation modalities. ECA will be analysing the results from across the various Agencies and DGs in the coming months providing an overall assessment of the EU performance accountability landscape.

- European Court of Auditors (ECA) financial audit

ECA performed the first part of the 2019 financial audit in September 2019. The audit covering the 2019 annual accounts and the legality and regularity of transactions will be finalised after a second ECA audit early 2020.



- Assurance governance enhanced

Within the EFSA Accountability Framework and as part of the Assurance Governance, EFSA is further consolidating all Assurance activities with the endorsement of an integrated Assurance Planning Design that will feed the EFSA 2020 workplan.

Transparency regulation preparedness

The ART programme is focusing on getting EFSA ready for when the Transparency Regulation (TR) enters into force, closing critical gaps and leaning EFSA core and enabling processes. In this context, the requirements of the implementation of new processes and adjustments to some of the running ones started. The first design of all scientific processes, mandatory by law, has been drafted with all EFSA Units contributing. This was a crucial step to meet the requirements set by the TR. A list of actions, timing and responsibilities were agreed with DG SANTE in a EFSA-SANTE mapping document and will represent the basis for mutual collaboration.

A first batch of recruitment calls have been launched (42 additional staff foreseen in 2020).

Enabling work environment

- EFSA's Business Intelligence & Knowledge Exploitation is enhanced

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. 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.

- Digital collaboration

Through the Digital collaboration project EFSA aims at improving the exchange of knowledge and expertise within EFSA's networks of staff, experts, institutional partners, and stakeholders. 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.

- Efficient transactional services delivery

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. During the reporting period the program delivered a new travel management model that enables the externalisation of the operational activities linked to meeting and mission organisation.

- Enhancing IT security

A Multi-Factor Authentication (MFA) initiative is rolled out aiming at enhancing EFSA IT security to the highest standards (also required by the new Transparency Regulation). MFA is a security requirement that works as a second security layer to reconfirm identity when logging in.

Performance indicators – State of play

Output indicators

Overall the performance is on track. The indicators available to monitor performance in this area are presented in table 19-21 below and a summary status report for the key projects under Strategic Objective 5 is presented in Annex III.

Output indicators for SO5 show overall satisfactory results: non-differentiated credits are matching the monthly plans both for commitments and payments. Commitments of differentiated credits (grants & procurement) are on track although reporting negative deviation vs plan due to postponement of



some commitments to November. The payments of differentiated credits (grants & procurement and IT multiannual projects) are above the plan.

The Service delivery index (which is the satisfaction rate expressed by end-user about the IT support provided) is at 87.1%, above the target set for 2019 (80%) and higher than the result registered at the end of 2018 (82%).

The measurement of the Transformation Performance Index has improved compared to the first reporting period (measurement could not be carried out in P2), and although the target is not yet fully reached, the deviation is minor so the result is to be considered still in line with the set target. It is worth noting that some projects in this area are facing slight deviations, mainly on timing.

Table 19: Activity and output indicators for SO5

ACTIVITY - OUTPUT INDICATORS					
Indicator	Target 2019	Target P3 2019	Executed P3 2019	Status P3	% Target 2019
Proportion of original budget committed at year end — differentiated	100%	90.8%	77.0%	■	77.0%
Proportion of original budget paid at year end — differentiated	100%	67.5%	70.1%	■	70.1%
Proportion of original budget committed at year end — non-differentiated	100%	90.3%	90.9%	■	90.9%
Proportion of original budget paid at year end — non-differentiated	90%	72.2%	71.4%	■	80.2%
Proportion of original science grants and procurement budget committed at year end	100%	90.8%	77.0%	■	77.0%
Proportion of original science grants and procurement budget paid at year end	100%	68.1%	69.9%	■	69.9%
Carry-forward of payments to following year ⁴⁷	10%	N/A	N/A	■	N/A
Service delivery index	80%	80%	87.1%	■	N/A
Transformation performance index (development project execution index) ⁴⁸	80%	80%	76%	■	N/A

Outcome and Intermediate impact indicators

The outcome indicators for SO5 related to people's management and development of a culture that reflects EFSA's values, namely "staff engagement index" and "management and leadership index", are measured annually, and the results are captured in table 20. Following the results of 2017 and 2018 surveys, EFSA has endorsed in March 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.

⁴⁷ Non-differentiated credits

⁴⁸ For the subset of key projects that were followed



A positive trend compared to both the set target and to past results can be observed for the percentage of tele-meetings in relation to total meetings, showing the effort from the organisation in enhancing collaboration via innovative tools also with scientific experts. The percentage of tele-meetings over total meetings is higher than the target set at 25% and consistent period-on-period. Looking at the data from the past two years, it can be noted how all EFSA units have increased their use of virtual meetings, with differences that can be accounted for the specific nature of some meetings.

A positive result was also registered for the occupancy rate index, as EFSA is getting ready to handle the new recruitments that are a consequence of the amendments of the General Food Law.

Finally, capabilities development in the area of performance-based management and World-class IT maturity level will be evaluated by the end of the year.

Table 20: Outcome indicators for SO5

KPI	Indicator	Baseline	Target 2019	Target P3 2019	Executed P3 2019	Status P3
Outcome: People and culture						
Staff engagement index via feedback survey (based on biannual survey - interagency framework) ⁴⁹	Total favourable	63% (2015)	60%	N/A	66% (2017)	■
	Total engagement	76% (2015)	78%	N/A	78% (2017)	■
	Organisational awareness / commitment	75% (2017)	TBD	N/A	75% (2017)	■
Management and leadership index	Management feedback survey: Line management	69%	≥70%	N/A	64% (2018)	■
	Management feedback survey: leadership	46%	60%	N/A	52% (2018)	■
	Occupancy rate (%) Statutory staff year average	95.0% (2016)	>95.5%	>95.5%	97.5%	■
	Competence management maturity level: Feedback of participants in managers' development programme	TBD	TBD ⁵⁰	N/A	N/A	■
	Competence management maturity level: EFSA's compliance with ESCO	86% (2018)	N/A	N/A	86% (2018)	■

⁴⁹ The latest staff engagement survey took place in 2017, and will take place again in 2019, with results available at the beginning of 2020.

⁵⁰ Based on targets to be agreed with the new Leadership Development Program provider.



KPI	Indicator	Baseline	Target 2019	Target P3 2019	Executed P3 2019	Status P3
Outcome: Compliance⁵¹						
Compliance index (to laws, regulations, decisions, standards, policies and procedures applicable to EFSA)	Number of 'critical', 'significant' or 'very important' findings	4 (2016)	<5	<5	2	■
Outcome: Enabling work environment						
Innovative collaboration methods supported by world class IT tools	% of tele-meetings (experts & networks) in relation to total meetings (tele-meetings + physical meetings)	15% (2016)	≥25%	≥25%	27.9%	■
	Ratio of internal to external email traffic (staff, experts, networks)	Internal / external 95 / 5 ⁵² (2017)	TBD	N/A	55/45 (2018)	■
	Social collaboration platforms (number of active working groups of experts and, active networks) ⁵³	15 (2019)	15	N/A	N/A	■
Outcome: Capabilities						
Performance-based management maturity level		Between stages 2 and 3 ⁵⁴ (2017)	Between stages 3 and 4	N/A ⁵⁵	Between stages 3 and 4 (2018)	■
World-class IT maturity level (PEMM ⁵⁶ model)		1.7 (2017)	2.0	N/A ⁵⁷	1.9 (2018)	■

The intermediate impact indicator "Sound operational performance" is overall on track in this reporting period. In particular, the three indexes that are measuring the overall performance of EFSA's three "tiers" (impact-outcome-output) of performance indicators showed a scattered picture: whilst the impact indicators are on track and the outcome ones are faring better than planned, the overall performance of the output indicators registered a deviation from the plan (83% vs 95%). It is worth

⁵¹ To be measured in the context of the new internal control framework monitoring criteria.

⁵² 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%

⁵³ 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.

⁵⁴ following the adoption of the maturity model by the EU Agencies Network

⁵⁵ The indicator is measured on an annual basis

⁵⁶ Process and Enterprise Maturity Model

⁵⁷ The indicator is measured on an annual basis



noting how this indicator still showed an improvement compared to P2 2019 (79%) and to P3 2018 (70%). The specific reasons for the deviation are explained in the relevant parts in this report across all SOs but it is worth noting that the deviation is partially caused by difficulties in splitting the annual targets across the reporting period.

"Efficiency", composed by the *"Improved ratio of effort (Full Time Equivalent) spent in operational vs support activities"*, is in line with its target, and with the *Efficiency Index*. The latter is still to be defined for the process efficiency, while the project efficiency part of the index (delivery of projects on budget, on time, in scope) registered a further drop compared to the first eight months of 2019, with the deviations registered usually being in dimension of "time". The projects that EFSA has recently launched to get ready to comply with the revision of the General Food Law are facing shortages of resources and initial delays. EFSA has reacted to this situation increasing the resources (both in terms of budget and FTEs) allocated to these projects.

Table 21: Intermediate indicators for SO5

KPI	Indicator	Baseline	Target 2019	Target P3 2019	Executed P3 2019	Status P3
Intermediary impact: Sound operational performance						
Proportion of KPIs of the programming documents	Intermediate impact	71% (2017)	80%	80%	80%	■
	Outcome	100% (2017)	90%	90%	100%	■
	Activity/output	73.5% (2017)	95%	95%	83%	■
Clean discharge achieved	Discharge is granted	Yes	Yes	100%	100%	■
	Accounts are closed	Yes	Yes	100%	100%	■
	Observations are followed up within the prescribed deadlines	100%	100%	100%	100%	■
Intermediary impact: Efficiency						
Improved ratio of effort (FTE) spent in operational vs support activities		73.4:26.6 (2016)	>75:25	>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	N/A	■
	Process maturity index: percentage of mature vs total processes	TBD	TBD	N/A	N/A	■
	Projects: improved index (delivery on budget, on time, in scope or better)	76.8% (2017)	87%	87%	75.8%	■



Summary of follow-up actions

The process efficiency indicator will be defined in 2019 as a result of the ongoing baselining of the maturity of EFSA's processes based on a standardised methodology.

Moreover, EFSA is taking actions to improve the fitness for purpose of its performance indicators, mainly focusing on metrics set at process level. This has led to a series of trainings on Process Performance Indicators organised with the aim to give a "toolbox" to Process Managers and Process Owners for setting up and manage indicators for their processes, as well as to increase EFSA's awareness and knowledge on the topic. These efforts are expected to bear fruits by the third reporting period of 2019 and to be fully integrated in the next strategic cycle.



Section II. Management of resources

1. Budget and financial management

Financial resources

As of 31st October 2019, € 71.6 million have been committed, corresponding to 90% of commitment appropriations. € 57.0 million was paid, corresponding to 73% of payment appropriations. Globally, both commitment and payment execution report negative deviations from the October forecasts although much lower than in previous months.

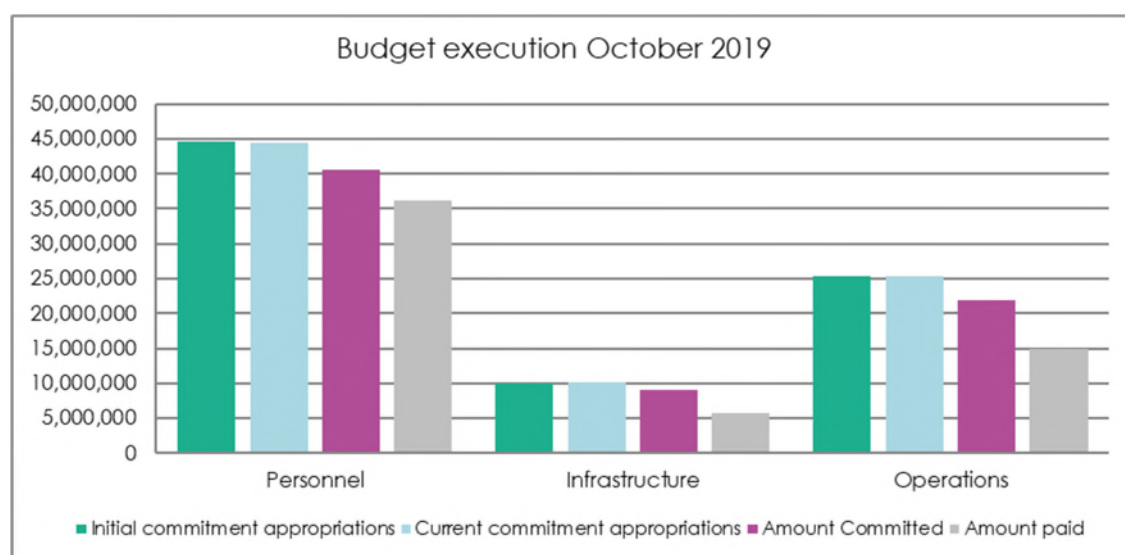


Table 18: Commitments and payments execution

Title	Initial commitment appropriations	Current commitment appropriations	Amount Committed	%	Initial payment appropriations	Current payment appropriations	Amount paid	%
Personnel	44,679,093	44,447,934	40,640,902	91%	44,679,093	44,447,934	36,232,741	82%
Infrastructure	9,892,540	10,157,042	9,095,131	90%	9,892,540	10,157,042	5,799,019	57%
Operations	25,381,809	25,381,809	21,856,537	86%	25,381,809	24,681,809	14,957,798	61%
Total:	79,953,442	79,986,786	71,592,569	90%	79,953,442	79,286,786	56,989,558	72%

Title I: commitment execution was slightly above the plan due to higher execution in staff salaries and interim services. Out of € 40.6 million, € 35.8 million were committed for staff salaries and allowances (including November salaries), € 1.3 million for European School contribution, € 1.4 million for interim services and remaining € 1.8 million mainly for SNEs, trainings, medical services and missions. Payment execution was in line with plan.



Title II: € 9.1 million have been committed out of which € 4.8 million for building infrastructure and € 3.9 million for IT equipment, services and software, with IT User support slightly below the plan. Payment execution is 3% below the plan (€ 0.7 million) mainly due to less spending in some building related cost (maintenance, cleaning and energy cost).

Title III: the commitment execution was 3% below the plan, corresponding to € 0.8 million. The under execution is reported mainly in scientific Grants & Procurement (postponement of € 1.0 million of Focal points commitment to November) and to lower extent in communications (€ 0.2 million) and operational consultancy (€ 0.1 million). The delays in commitment execution should be recovered in November. Payment execution is 1% below the plan linked to under execution in REPRO scientific meetings

Budget transfers

As of 30th November, four (4) budget transfers have been done. The first transfer has been signed in May (details can be found in Performance report P1). The second transfer was done at the end of September (details can be found in the Performance report P2).

In October, transfer of € 0.07 million from RASA to REPRO meetings has been done due to unexpected needs in ALPHA meetings budget.

In November 2019, and ED transfer linked to third regular review of budget allocation³ has been signed.

In Title I, additional budget was requested for HR consultancy and services (Organisation design project within ART Programme), interim services due to additional demand and minor amount for trainees cost coverage. The shortfalls were covered by releases from budget lines covering trainings, administrative translations, missions, recruitment cost and expenditures on entering and leaving the services (miscellaneous expenditure on recruitment, travel and removal expenses) and complementary aid for disabled. The releases were due to postponement of activities (trainings) and updated expenditure forecasts.

In Title II, additional budget was requested for the investments into building, refurbishment of premises for the reparations/renewal of building, preliminary expenditure to construction for outsourcing of works and for software development to cover the costs of the outsourcing of technical support. Minor shortfalls were reported in lines covering purchase and maintenance of IT equipment and Purchase/maintenance of software. The shortfalls were covered by the releases from budget lines covering Other expenditure on buildings, stationery, telecommunications, postal charges, purchase of furniture and IT user support. The releases were due to savings and updated forecast.

In Title III, additional funds were transferred mainly to Operational development and Control to cover consultancy cost linked to IMP and ART programmes, Impactful communication project as well as consultancy linked to new strategy development and setting of planning and reporting application. Budget was also transferred to operational IT support to cover additional cost for Matrix, End2End support and DATA DoI, translations and scientific grants & procurement. These shortfalls were covered by releases from budget lines covering scientific meetings, centralised prepaid travel for experts, missions linked to operational duties, communications, quality consultancy and events. The surplus of fund in these budget lines was mainly due to updated forecast, cancellation of activities(quality) or events not occurred (Crisis support).



Human resources management and talent selection

On 31 October 2019, 456 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), 442 posts out of the 451 available were occupied on 31 October (98.0%). In terms of statutory staff average occupancy rate, 439.6 out of the available 451 posts (97.5%) were occupied throughout the period January-October 2019 (vs the 2019 yearly target of >95.5%).

Table 22: Human resource overview (31/10/2019)

HUMAN RESOURCES	2018	2019	2019
	BUDGET REQUEST	BUDGET REQUEST	PERIOD P3
Temporary Agents and Officials Executives, Managers & Officers (AD)	218	220	214
Temporary Agents and Officials Assistant functions (AST)	101	100	98
Total TAs+Off	319	320	312
Contract Agents officer functions (CA FGIV)	92	106	104
Contract Agents assistant functions (CA FG I, II, III)	33	25	26
Total CAs	125	131	130
Seconded National Experts	15	16	14
TOTAL STAFF ALL CATEGORIES	459	467	456

2. FTEs and budget indicators per strategic objective

Table 23: Input indicators for SO1 (FTEs and Budget as full cost of all Titles)

INPUT INDICATORS			
Total SO1	Resources invested per year	Target 2019	Executed P3 2019
	FTEs	187	166
	Budget (M, €)	30.05	27.39
Scientific – general risk assessment			
Input sub-indicator	FTEs	43	41
	Budget (M, €)	9.58	8.03
Scientific – regulated products evaluation			
Input sub-indicator	FTEs	116	109
	Budget (M, €)	16.45	16.72
Communication & engagement			
Input sub-indicator	FTEs	28	17
	Budget (M, €)	4.01	2.82



Table 24: Input indicators for SO2 (FTEs and Budget as full cost of all Titles)

INPUT INDICATORS			
Total SO2	Resources invested per year	Target 2019	Executed P3 2019
	FTEs	19	14
	Budget (K, €)	3.34	3.01

Table 25: Input indicators for SO3 (FTEs and Budget as full cost of all Titles)

INPUT INDICATORS			
Total SO3	Resources invested per year	Target 2019	Executed P3 2019
	FTEs	36	26
	Budget (K, €)	9.18	5.83

Table 26: Input indicators for SO4 (FTEs and Budget as full cost of all Titles)

INPUT INDICATORS			
Total SO4	Resources invested per year	Target 2019	Executed P3 2019
	FTEs	31	23
	Budget (K, €)	8.15	4.98

Table 27: Input indicators for SO5 (FTEs and Budget as full cost of all Titles)

INPUT INDICATOR			
Total SO5	Resources invested per year	Target 2019	Executed P3 2019
	FTEs	177	163
	Budget (K, €)	28.41	26.66



Annex I. Resource allocation per strategic objective

1. Financial resources per strategic objective

Table 28: Budget allocations per strategic objective (% of the total EFSA budget)

EFSA'S STRATEGIC OBJECTIVE	EXECUTED 2018	BUDGET 2019		EXECUTED P3 2019	
	M€	%	M€	%	M€
SO1 Prioritise public and stakeholder engagement in the process of scientific assessment	32.20	41%	32.63	41%	27.39
SO2 Widen EFSA's evidence base and optimise access to its data	4.83	6%	4.64	4%	3.01
SO3 Build the EU's risk assessment capacity and knowledge community	6.50	8%	8.67	9%	5.83
SO4 Prepare for future risk assessment challenges	11.60	15%	8.77	7%	4.98
SO5 Create an environment and culture that reflects EFSA's values	24.35	31%	24.50	39%	26.66
Of which operations	9.02	11%	9.74	17%	11.71
Of which support	15.33	19%	14.76	22%	14.95
Total EFSA	79.49	100%	79.20	100%	67.87

2. Human resources per strategic objective

Table 29: FTE allocations per strategic objective

EFSA'S STRATEGIC OBJECTIVE	EXECUTED 2018	PLAN 2019		P3 2019	
	FTE ⁵⁸ / POSTS	FTE ⁵⁹ / POSTS	%	FTE	%
SO1 Prioritise public and stakeholder engagement in the process of scientific assessment	200/202	198/201	43%	166	42%
SO2 Widen EFSA's evidence base and optimise access to its data	19/19	24/24	5%	14	4%
SO3 Build the EU's risk assessment capacity and knowledge community	31/32	37/37	8%	26	7%
SO4 Prepare for future risk assessment challenges	35/36	35/36	8%	23	6%
SO5 Create an environment and culture that reflects EFSA's values	179/181	162/165	36%	163	41%
Of which operations	57/58	50/51	11%	60	15%
Of which support	122/123	112/114	25%	103	26%
Total EFSA	464/470	456/463	100%	393	100%

⁵⁸ Actual available FTEs

⁵⁹ 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 30: Expenditures

Expenditure/title	2019		P3	
	Current commitment appropriations	Payment appropriations	Executed Commitment	Executed Payment
Title I - Staff expenditure	44.45	44.45	40.64	36.23
Title II - Infrastructure and operating expenditure	10.16	10.16	9.10	5.80
Title III - Operational expenditure	25.38	24.68	21.86	14.96
TOTAL EXPENDITURE	79.99	79.29	71.59	56.99

Expenditure type	Initial commitment appropriations	Current commitment appropriations	Commitment execution	%	Current payment appropriations	Payment execution	%
Title 1 - Staff expenditure	44,679,093	44,447,934	40,640,902	91 %	44,447,934	36,232,741	82 %
Salaries & allowances	39,942,658	39,647,007	36,072,212	91 %	39,647,007	32,903,094	83 %
- Of which establishment plan posts	31,083,327	30,706,407	27,957,000	91 %	30,706,407	25,430,871	83 %
- Of which external personnel	8,859,331	8,940,600	8,115,212	91 %	8,940,600	7,472,223	84 %
Expenditure relating to Staff recruitment	407,750	357,000	303,774	85 %	357,000	242,672	68 %
Mission expenses	295,000	284,000	284,000	100 %	284,000	191,935	68 %
Socio-medical infrastructure	325,000	273,500	272,158	100 %	273,500	141,629	52 %
Training	575,000	463,750	344,748	74 %	463,750	98,620	21 %
External Services	1,800,685	2,080,101	2,030,485	98 %	2,080,101	1,326,961	64 %
Receptions, events and representation	8,000	1,000	1,000	100 %	1,000	-	0 %
Social welfare and School contributions	1,325,000	1,341,576	1,332,525	99 %	1,341,576	1,327,830	99 %



Expenditure type	Initial commitment appropriations	Current commitment appropriations	Commitment execution	%	Current payment appropriations	Payment execution	%
Other Staff related expenditure	-	-	-	-	-	-	-
Title 2 - Infrastructure and operating expenditure	9,892,540	10,157,042	9,095,131	90 %	10,157,042	5,799,019	57 %
Rental of buildings and associated costs	5,148,500	5,437,872	4,776,132	88 %	5,437,872	3,094,680	57 %
Information, communication technology and data processing	3,670,977	3,716,019	3,435,973	92 %	3,716,019	2,262,637	61 %
Movable property and associated costs	529,000	289,472	257,735	89 %	289,472	61,555	21 %
Current administrative expenditure	149,500	285,375	222,321	78 %	285,375	134,151	47 %
Postage/Telecommunications	304,563	363,304	347,205	96 %	363,304	211,370	58 %
Meeting expenses	80,000	55,000	52,913	96 %	55,000	32,424	59 %
Running costs in connection with operational activities	-	-	-	-	-	-	-
Information and publishing	10,000	10,000	2,853	29 %	10,000	2,203	22 %
Studies	-	-	-	-	-	-	-
Other infrastructure and operating expenditure	-	-	-	-	-	-	-
Title 3 - Operational expenditure	25,381,809	25,381,809	21,856,537	86 %	24,681,809	14,957,798	61 %
Regulated products	3,110,200	2,829,368	2,749,774	97 %	2,829,368	2,156,155	76 %
Risk Assessment	2,629,350	2,656,350	2,651,727	100 %	2,656,350	1,976,756	74 %
Communication	1,437,000	1,388,500	1,162,392	84 %	1,388,500	613,574	44 %
Scientific Cooperation	7,704,985	7,700,985	5,931,095	77 %	6,940,585	5,323,118	77 %



Expenditure type	Initial commitment appropriations	Current commitment appropriations	Commitment execution	%	Current payment appropriations	Payment execution	%
on & Strategy							
General operational support	10,500,274	10,806,606	9,361,549	87 %	10,867,006	4,888,195	45 %
TOTAL	79,953,442	79,986,786	71,592,569	90 %	79,286,786	56,989,558	72 %

Table 31: Budget Transfers January – November 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	-203,919.66	23,452,407.34
1101	Family allowance	3,203,000.00	-120,000.00	3,083,000.00
1102	Transfer and expatriation allowance	2,608,000.00	-30,000.00	2,578,000.00
1103	Secretarial allowance	13,000.00	0.00	13,000.00
tot. of 110		29,480,327.00	-353,919.66	29,126,407.34
111	Other staff			
1113	Stagiaires	899,891.00	92,609.00	992,500.00
1115	Contract staff	7,162,000.00	0.00	7,162,000.00
tot. of 111		8,061,891.00	92,609.00	8,154,500.00
113	Employer's social security contributions			
1130	Insurance against sickness	847,000.00	-2,000.00	845,000.00
1131	Insurance against accidents and occupational disease	96,000.00	0.00	96,000.00
1132	Unemployment insurance for temporary staff	315,000.00	0.00	315,000.00
1133	Establishment or maintenance of pension rights for temporary staff	0.00	0.00	0.00
tot. of 113		1,258,000.00	-2,000.00	1,256,000.00
114	Miscellaneous allowances and grants			
1140	Birth and death allowance	5,000.00	-4,000.00	1,000.00
1141	Annual leave travelling expenses	270,000.00	18,000.00	288,000.00
1147	Call on duties	50,000.00	-15,000.00	35,000.00
1149	Other allowances and repayments	20,000.00	-20,000.00	0.00



Title Chapter Article Item	Budget Headings Transfers from year start	Commitment and payment appropriations 2019		
		Initial	Transfers	Current
	tot. of 114	345,000.00	-21,000.00	324,000.00
117	Supplementary services			
1171	Translation and interpretation	80,000.00	22,180.00	102,180.00
1172	Payment for administrative assistance from the Community institutions	322,485.00	-70,000.00	252,485.00
1175	Interim services	1,050,000.00	349,000.00	1,399,000.00
1176	Consultancy	137,000.00	50,776.10	187,776.10
1177	Other services	211,200.00	-4,740.00	206,460.00
	tot. of 117	1,800,685.00	347,216.10	2,147,901.10
118	Recruitment costs and expenses on entering and leaving the service			
1180	Miscellaneous expenditure on recruitment	102,750.00	41,950.00	144,700.00
1181	Travel expenses (including for members of the family)	15,000.00	-10,500.00	4,500.00
1182	Installation, resettlement and transfer allowances	150,000.00	-60,000.00	90,000.00
1183	Removal expenses	80,000.00	-24,000.00	56,000.00
1184	Temporary daily subsistence allowance	60,000.00	-20,000.00	40,000.00
	tot. of 118	407,750.00	-72,550.00	335,200.00
119	Salary weightings			
1190	Salary weightings	0.00	0.00	0.00
	tot. of 119	0.00	0.00	0.00
	tot. of 11	41,353,653.00	-9,644.56	41,344,008.44
13	MISSIONS AND DUTY TRAVEL			
130	Mission and travel expenses			
1300	Mission and travel expenses	215,000.00	13,500.00	228,500.00
1301	Shuttles for missions and duty	80,000.00	-29,000.00	51,000.00
	tot. of 130	295,000.00	-15,500.00	279,500.00
	tot. of 13	295,000.00	-15,500.00	279,500.00
14	SOCIOMEDICAL INFRASTRUCTURE			
140	Restaurants, meals and canteens			
1400	Restaurants, meals and canteens	55,000.00	-13,500.00	41,500.00
	tot. of 140	55,000.00	-13,500.00	41,500.00
141	Medical service			
1410	Medical service	270,000.00	-38,000.00	232,000.00



Title Chapter Article Item	Budget Headings Transfers from year start	Commitment and payment appropriations 2019		
		Initial	Transfers	Current
	tot. of 141	270,000.00	-38,000.00	232,000.00
142	Further training, language courses and retraining for staff			
1420	Further training, language courses and retraining for staff	575,000.00	-151,250.00	423,750.00
	tot. of 142	575,000.00	-151,250.00	423,750.00
	tot. of 14	900,000.00	-202,750.00	697,250.00
15	EXCHANGE OF OFFICIALS AND EXPERTS			
152	Exchange of officials and experts			
1520	Visiting experts, National Experts on Detachment	797,440.00	-8,840.00	788,600.00
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	-8,840.00	788,600.00
	tot. of 15	797,440.00	-8,840.00	788,600.00
16	SOCIAL WELFARE			
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	-34,000.00	31,000.00
	tot. of 161	65,000.00	-34,000.00	31,000.00
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	55,576.00	1,305,576.00
	tot. of 163	1,250,000.00	55,576.00	1,305,576.00
164	Complementary aid for the handicapped			
1640	Complementary aid for the handicapped	10,000.00	-9,000.00	1,000.00
	tot. of 164	10,000.00	-9,000.00	1,000.00
	tot. of 16	1,325,000.00	12,576.00	1,337,576.00



Title Chapter Article Item	Budget Headings Transfers from year start	Commitment and payment appropriations 2019		
		Initial	Transfers	Current
17	RECEPTION AND ENTERTAINMENT EXPENSES			
170	Reception and entertainment expenses			
1700	Reception and entertainment expenses	8,000.00	-7,000.00	1,000.00
	tot. of 170	8,000.00	-7,000.00	1,000.00
	tot. of 17	8,000.00	-7,000.00	1,000.00
	tot. of 1	44,679,093.00	-231,158.56	44,447,934.44

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			
200	Building			
2000	Rent	47,000.00	-13,000.00	34,000.00
2001	Acquisition ⁶⁰	1,733,343.59	0.00	1,733,343.59
	tot. of 200	1,780,343.59	-13,000.00	1,767,343.59
201	Insurance			
2010	Insurance	39,000.00	-9,000.00	30,000.00
	tot. of 201	39,000.00	-9,000.00	30,000.00
202	Water, gas, electricity and heating			
2020	Water, gas, electricity and heating	525,000.00	0.00	525,000.00
	tot. of 202	525,000.00	0.00	525,000.00
203	Cleaning and maintenance			
2030	Maintenance	355,000.00	-2,000.00	353,000.00
2031	Cleaning	290,000.00	0.00	290,000.00
	tot. of 203	645,000.00	-2,000.00	643,000.00
204	Refurbishment of premises/Fitting out			
2040	Refurbishment of premises/Fitting out	398,000.00	315,220.37	713,220.37
	tot. of 204	398,000.00	315,220.37	713,220.37
205	Security and surveillance of buildings			
2050	Security and surveillance of buildings	770,000.00	0.00	770,000.00

⁶⁰ Amended March 2019 € 33,343.59



Title Chapter Article Item	Budget Headings Transfers from year start	Commitment and payment appropriations 2019		
		Initial	Transfers	Current
	tot. of 205	770,000.00	0.00	770,000.00
208	Preliminary expenditure relating to construction, acquisition or rental of immovable property			
2080	Preliminary to construction, acquisition or rental of immovable property	208,500.00	72,568.00	281,068.00
	tot. of 208	208,500.00	72,568.00	281,068.00
209	Other expenditure on buildings			
2090	Other expenditure on buildings	816,000.00	-85,000.00	731,000.00
	tot. of 209	816,000.00	-85,000.00	731,000.00
	tot. of 20	5,181,843.59	278,788.37	5,460,631.96
21	EXPENDITURE ON DATA PROCESSING			
210	Purchase and maintenance of IT for administration and non operational			
2100	Purchase/ maintenance of IT equipment	835,949.00	236,963.79	1,072,912.79
2101	Purchase / maintenance of software	1,095,390.00	-218,776.46	876,613.54
2103	Software development	1,024,569.00	-178,142.13	846,426.87
2104	User Support	715,069.00	246,851.61	961,920.61
	tot. of 210	3,670,977.00	86,896.81	3,757,873.81
	tot. of 21	3,670,977.00	86,896.81	3,757,873.81
22	MOVABLE PROPERTY AND ASSOCIATED COSTS			
220	Technical equipment and installations			
2200	Technical equipment and installations	95,000.00	-7,083.33	87,916.67
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	-7,083.33	87,916.67
221	Furniture			
2210	Purchase of furniture	434,000.00	-237,143.37	196,856.63
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	-237,143.37	196,856.63
	tot. of 22	529,000.00	-244,226.70	284,773.30
23	CURRENT ADMINISTRATIVE EXPENDITURE			
230	Stationery and office supplies			
2300	Stationery and office supplies	56,500.00	-23,242.93	33,257.07
	tot. of 230	56,500.00	-23,242.93	33,257.07
232	Financial charges			



Title Chapter Article Item	Budget Headings Transfers from year start	Commitment and payment appropriations 2019		
		Initial	Transfers	Current
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	136,125.00	221,125.00
tot. of 233		85,000.00	136,125.00	221,125.00
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	0.00	7,000.00
2353	Removals and associated handling	0.00	0.00	0.00
tot. of 235		7,000.00	0.00	7,000.00
239	Publications			
2390	Publications	10,000.00	0.00	10,000.00
tot. of 239		10,000.00	0.00	10,000.00
tot. of 23		159,500.00	112,032.07	271,532.07
24	POSTAL CHARGES AND TELECOMMUNICATIONS			
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	-62,370.27	97,954.73
2411	Purchase and installation of equipment	114,238.00	98,638.28	212,876.28
tot. of 241		274,563.00	36,268.01	310,831.01
tot. of 24		304,563.00	22,668.01	327,231.01
25	GOVERNANCE EXPENDITURE			
250	Governance expenditure			
2500	Management Board meetings	80,000.00	-25,000.00	55,000.00
tot. of 250		80,000.00	-25,000.00	55,000.00
tot. of 25		80,000.00	-25,000.00	55,000.00
tot. of 2		9,925,883.59	231,158.56	10,157,042.15



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						
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302	REPRO Experts meetings						
3020	REPRO Experts meetings	3,110,200.00	-368,025.29	2,742,174.71	3,110,200.00	-368,025.29	2,742,174.71
	tot. of 302	3,110,200.00	-368,025.29	2,742,174.71	3,110,200.00	-368,025.29	2,742,174.71
	tot. of 30	3,110,200.00	-368,025.29	2,742,174.71	3,110,200.00	-368,025.29	2,742,174.71

31	RISK ASSESSMENT & SCIENTIFIC ASSISTANCE						
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312	RASA Experts meetings						
3120	RASA Experts meetings	2,622,500.00	25,571.00	2,648,071.00	2,622,500.00	25,571.00	2,648,071.00
	tot. of 312	2,622,500.00	25,571.00	2,648,071.00	2,622,500.00	25,571.00	2,648,071.00

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	18,721.00	2,648,071.00	2,629,350.00	18,721.00	2,648,071.00

32	EFSA SCIENTIFIC COOPERATION						
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321	EFSA Grants & Procurement						
3210	EFSA Grants & Procurement	7,625,985.00	59,526.06	7,685,511.06	7,565,585.00	-640,473.94	6,925,111.06
	tot. of 321	7,625,985.00	59,526.06	7,685,511.06	7,565,585.00	-640,473.94	6,925,111.06

322	Scientific cooperation meetings						
3220	Scientific cooperation meetings	79,000.00	-20,500.00	58,500.00	79,000.00	-20,500.00	58,500.00
	tot. of 343	79,000.00	-20,500.00	58,500.00	79,000.00	-20,500.00	58,500.00

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



Title Chapter Article Item	Budget Headings Transfers from year start	B 2019 Commitment appropriations			B 2019 Payment appropriations		
		Initial	Transfers	Current	Initial	Transfers	Current
	tot. of 3324	0.00	0.00	0.00	0.00	0.00	0.00
	tot. of 32	7,704,985.00	39,026.06	7,744,011.06	7,644,585.00	-660,973.94	6,983,611.06

34	COMMUNICATIONS
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341	Risk Communication						
3410	Risk Communication, Web management, communication activities materials	1,202,000.00	-60,500.00	1,141,500.00	1,202,000.00	-60,500.00	1,141,500.00
	tot. of 341	1,202,000.00	-60,500.00	1,141,500.00	1,202,000.00	-60,500.00	1,141,500.00

342	External relations						
3420	External relations	235,000.00	-44,100.00	190,900.00	235,000.00	-44,100.00	190,900.00
	tot. of 342	235,000.00	-44,100.00	190,900.00	235,000.00	-44,100.00	190,900.00
	tot. of 34	1,437,000.00	-104,600.00	1,332,400.00	1,437,000.00	-104,600.00	1,332,400.00

35	HORIZONTAL OPERATIONS
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350	Operational IT Systems						
3500	Operational IT Systems	4,959,274.00	458,273.02	5,417,547.02	4,959,274.00	458,273.02	5,417,547.02
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	458,273.02	5,417,547.02	5,019,674.00	458,273.02	5,477,947.02

351	Operational support						
3511	Translation, Interpretation, Linguistic Proofreading and Editing	180,000.00	30,000.00	210,000.00	180,000.00	30,000.00	210,000.00
3512	Library	580,000.00	0.00	580,000.00	580,000.00	0.00	580,000.00
3513	Mission of staff related to operational duties	850,000.00	-92,000.00	758,000.00	850,000.00	-92,000.00	758,000.00
3514	Shuttles and prepaid travel for experts and shuttles for staff related to operational duties	2,050,000.00	-319,000.00	1,731,000.00	2,050,000.00	-319,000.00	1,731,000.00
	tot. of 351	3,660,000.00	-381,000.00	3,279,000.00	3,660,000.00	-381,000.00	3,279,000.00

352	Conferences & Outreach						
3520	Conferences and Outreach	521,000.00	58,000.21	579,000.21	521,000.00	58,000.21	579,000.21
	tot. of 352	521,000.00	58,000.21	579,000.21	521,000.00	58,000.21	579,000.21

353	Operational development & Control						
3530	Operational Development & Control	1,160,000.00	402,155.00	1,562,155.00	1,160,000.00	402,155.00	1,562,155.00
	tot. of 353	1,160,000.00	402,155.00	1,562,155.00	1,160,000.00	402,155.00	1,562,155.00

354	Quality Management						
3540	Quality Management	200,000.00	-122,550.00	77,450.00	200,000.00	-122,550.00	77,450.00
	tot. of 354	200,000.00	-122,550.00	77,450.00	200,000.00	-122,550.00	77,450.00



Title Chapter Article Item	Budget Headings Transfers from year start	B 2019 Commitment appropriations			B 2019 Payment appropriations		
		Initial	Transfers	Current	Initial	Transfers	Current
	tot. of 35	10,500,274.0 0	414,878.23	10,915,152.2 3	10,560,674.0 0	414,878.23	10,975,552.2 3
	tot. of 3	25,381,809.0 0	0.00	25,381,809.0 0	25,381,809.0 0	-700,000.00	24,681,809.0 0



Annex III. Status of projects

Table 32: 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	■
		ENRICO	■
	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 33: 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	■
	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	■
		Data collection and analyses processes on animal disease outbreaks and surveillance (SIGMA)	■
		Framework Partnership Agreement on Data Quality (implementation phase)	■

Table 34: Projects and Process improvement initiatives under SO3 – Status report

Intermediary impact	Expected result - Outcome	Project	Overall Status
Increased efficiency at European and international level	Building & sharing within the risk assessment community at individual level	Expertise Management Programme	■
		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	■



Intermediary impact	Expected result - Outcome	Project	Overall Status
	Strengthened capacity using innovative ways	Joining forces at EU level on the implementation of Artificial Intelligence	■
		Hackathon	■
		CROWDSOURCING: Engaging communities effectively in scientific assessment	■
	Reviewing and developing EFSA's scientific assessment model	FEED production model - specific training	■

Table 35: 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
		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	■



Intermediary impact	Expected result - Outcome	Project	Overall Status
		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	■
		Arthropod vectors	■
		WGS Umbrella	■
		Scientific opinion on the state of the science of pesticide risk assessment for bats	■
		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)	■
		Revision of the EFSA GD on risk assessment for bees	■
Increased satisfaction of stakeholders with regards to EFSA's preparedness, methodologies and response	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)	■
	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	■
		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 guidances	■
		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 36: 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) ⁶¹	Closed
		Travel Management Model (TMM)	■
		Data Management and Data Virtualisation (DAMA)	■
		Business Services Open Call for Tender	■
		Digital collaboration	■
		End2End Support	■
	Compliance	Records and Correspondence Management Project	■
		Objectivity Policy Project	■
		Revamp (COMPASS)	Closed
		Transactional services	Closed
	Capabilities	BIKE project	■

⁶¹ Incorporated into End2End Support project



Annex IV. Questions closed in P3 2019

Table 37: Questions closed in P3 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			36	1	7	1		55
Of which:													
– opinion of the scientific committee / scientific panel			3		3			28		4			38
– guidance of the scientific committee / scientific panel								1					1
– statement of the scientific committee / scientific panel				1						1			2
– scientific report of EFSA								7	1	2	1		11
– guidance of EFSA													
– statement of EFSA		1	1	1									3
SO1 – Technical reports – general risk assessment				1	3			47		6	7		64
SO1 – Other publications (external scientific reports/event reports) – general risk assessment										7			7
– Other publications - external scientific report										7			7
– Other publications - event report										-			
SO1 – Sub total – general risk assessment		1	4	3	6			83	1	20	8		126



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		93	163	10	21	97	15						399
Of which:													
– conclusion on pesticides peer review							11						11
– opinion of the scientific committee / scientific panel		93	163	9	21								286
– guidance of the scientific committee / scientific panel													
– statement of the scientific committee / scientific panel													
– reasoned opinion						47							47
– scientific report of EFSA						35							35
– guidance of EFSA						1							1
– statement of EFSA				1		14	4						19
SO1 – Technical reports – evaluation of regulated products	3		3	6	4	2	8						26
SO1 – Other publications (external scientific reports/event reports) – evaluation of regulated products				3									3
– Other publications - external scientific report				3									3
– Other publications - event report													
SO1 – Sub total – evaluation of regulated products	3	93	166	19	25	99	23						428
SO1 – Total	3	94	170	22	31	99	23	83	1	20	8		554
SO2 – Widen EFSA's evidence base and optimise access to its data													
SO2 – EFSA scientific outputs													
SO2 – Technical reports											5		5



Questions per strategic objective and type of output	REPRO							RASA					TOTAL
	APDESK	FEED	FIP	GMO	NUTRI	PRES	PREV	ALPHA	AMU	BIOCONTAM	DATA	SCER	
S02 – Other publications (external scientific reports/event reports)											2		2
– Other publications - external scientific report											2		2
– Other publications - event report													
S02 – Total											7		7
S03 – Build the EU's scientific assessment capacity and knowledge community													
S03 – EFSA scientific outputs													
S03 – Technical reports				1								1	2
S03 – Other publications (external scientific reports/event reports)								2	3	1			6
– Other publications - external scientific report								1	3	1			5
– Other publications - event report								1					1
S03 – Total				1				2	3	1		1	8
S04 – Prepare for future risk assessment challenges													
S04 – EFSA scientific outputs		1	1	1		3	2			1	2	2	13
Of which:													
– opinion of the scientific committee / scientific panel							1			1			2
– 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
S04 – Technical reports		1				3		17		1		6	28



Questions per strategic objective and type of output	REPRO							RASA					TOTAL
	APDESK	FEED	FIP	GMO	NUTRI	PRES	PREV	ALPHA	AMU	BIOCONTAM	DATA	SCER	
SO4 – Other publications (external scientific reports/event reports)				1			2	9	2	1	2	6	23
– Other publications - external scientific report				1			1	8	1 ⁶²	1	2	6	20
– Other publications - event report							1	1	1				3
SO4 – Total		2	1	2		6	4	26	2	3	4	14	64
Total questions	3	96	171	25	31	105	27	111	6	24	19	15	633

⁶² The number of questions closed for external scientific reports in Strategic Objective 4 for Assessment Methodology Unit in P3 is lower than the same number for P2 because of a mistake in the allocation to the Strategic Objective. The concerned questions are now correctly reported under Strategic Objective 3.



Annex V. Procurement plan 2019 status in P3

Table 38: Open collaboration opportunities

2019 EFSA Scientific Cooperation plan – procurement as of 30 October 2019 – Open procedures opportunities ⁵⁶	Indicative outsourcing tool	Leading EFSA Unit	Indicative budget	Indicative launch month	Actual launch month	Status
Development a software tool for HLA-DQ peptide modelling specifically designed for celiac disease risk assessment purposes to be available in the EFSA website for public use.	Procurement - Open Call	GMO	€180,000	Jan 19	August 19	Evaluation ongoing.
Developing, Organizing and Delivering of Training Activities under the EFSA European Food Risk Assessment Fellowship Programme	Procurement - Open Call	ENCO	Framework Contract	Launched in 2018, but failed (only one offer received after the deadline for submission of offers)	Feb 19	Contract signed
New Framework Partnership Agreement on Tasking Grant for High Risk Plants	Grant - Open call (Tasking grant)	ALPHA	Framework Partnership Agreement	Feb 19	Aug19	Evaluation ongoing
Risk assessment uncertainty	Grant - Open call	ALPHA	€200,000	Apr 19	Sept 19	Award ongoing
Experts call on Novel Foods	Call for expression of Interest	NUTRI	€100.000	Apr 19	Apr 19	List created: 2 contracts awarded
Framework for Problem Formulation	Procurement - Open Call	AMU	€210,000	May 19	June 19	Launch of NP according to Point 11.1 (a) of Annex 1 of the Financial Regulation ongoing.
Hackathon	Prize Contest	AMU	€25,000	June 19		Call cancelled
Grant agreement on a collection and analysis of toxicological data of pesticides in view of the establishment of CAGs for their effects on the kidneys, testes and hematopoietic system	Grant - Open Call	PRES	€ 70,000	June 19		Call cancelled
OECD Metapath: Incorporation of Pesticide Residue Data	Procurement - Open Call	PREV	€330,000	July 19	Aug 19	Award ongoing



Table 39: Negotiated procedures opportunities

2019 EFSA Scientific Cooperation plan – procurement as of 30 October 2019 – Negotiated procedures opportunities	Indicative outsourcing tool	Leading EFSA Unit	Indicative budget	Indicative launch month	Actual launch month	Status
Support to other mandates African Swine Fever	Procurement - Negotiated Procedure	ALPHA	€75,000	Feb 19		Call cancelled
Expert Assistance - FBO - EUSR Zoonoses 2018	Procurement - Negotiated Procedure	BIOCONTAM	€25,000	Feb 19	Feb 19	Contract signed
Pilot a working procedure for the preparation of opinions, with the scientific staff assuming a leading role in the preparation of draft opinions up to the level which currently corresponds to the draft ready for discussion in the FEEDAP Plenary - training to staff	Procurement - Negotiated Procedure	FEED	€60,000	Mar 19	Mar 19	Contract signed
Entomological survey to study the possible involvement of arthropod vectors in the transmission of African swine fever virus in Romania	Procurement - Negotiated Procedure	ALPHA	€143,000	July 19	Aug19	Contract signed
BPA Preparatory work on data evaluation	Procurement - Negotiated Procedure	FIP	€134,000	March 19	Jul 19	Contract signed
Residue Activities	Procurement - Negotiated Procedure	PRES	€60,000	May 19		Call cancelled
Medicated FEED	Procurement - Negotiated Procedure	FEED	€60,000	June 19	June 19	Contract signed
Formatting of the data on non-dietary exposure received during the open call that will close on the 10/12/2018	Procurement - Negotiated Procedure	PREV	€70,000	June 19		Call cancelled
Scientific literature search on sweeteners	Procurement - Negotiated Procedure	FIP	€125,000	June 19	June 19	Contract signed
EKE: Expert Knowledge Elicitation: e-learning methods	Procurement - Negotiated Procedure	AMU	€80,000	July 19		Call cancelled
PRIMO (Pesticide Residue Intake Model) Revision 4 (provisional title)	Procurement - Negotiated Procedure	PRES	€100,000	Sept 19		Call postponed to 2020
Art. 31 - Approval of active substances (provisional title)	Procurement - Negotiated Procedure	PREV	€50,000	Sept 19		Call cancelled

